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PARTICIPATORY DEVELOPMENT - Reflecting on the Experience Gained at GTZ/in Searching for Innovation

1994 1996-1997

Michael Schönhuth
Uwe Kievelitz

PARTICIPATORY LEARNING APPROACHES

RAPID RURAL APPRAISAL
PARTICIPATORY APPRAISAL

An introductory guide

Participatory Learning
Approaches
Rapid Rural Appraisal
Participatory Appraisal

An introductory guide

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An introductory guide

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Acknowledgments

Preface to the English edition

This volume is an enlarged, updated English version of a book we wrote two years ago on participatory methods. The demand to have an English version for broader international sharing was at hand. Since there has been a fundamental shift within the whole PRA movement from "doing PRA's and "using a tool-box of methods" to "handing the stick to the insiders" to empower them to make the development process theirs, and, to change our behaviour and attitudes into a learning and facilitating mode, we had to decide whether to rewrite the whole book or only extend and actualize it at crucial points. We opted for the second solution, first because we wanted to deliver the book in time, and second because we learnt from the German version that it turned out to be a useful introduction and guide to relevant literature for practioners.

Because of this fact you will still find examples in the book, where a mobility map was drawn by outsiders, where now ideally it would be the insiders themselves who draw it, and sections, where we speak of criteria, priorities, planning, action, monitoring and evaluation, and the question would be: "Whose?" and the answer: "Theirs!". On the other hand we tried to bring in as much of the new developments and actual debates as we thought would be indispensible for a 1994 introduction into PRA approaches. Most of the new important thoughts are expressed in Chapter I.7. on "Potentials and Limitations: PRA in the 1990s."

Witzenhausen and Eschborn , 1994

Michael Schönhuth, Uwe Kievelitz

Foreword

The 1990s began and have continued as a time of rapid and radical innovation in approaches and methods for appraisal and learning in development. Earlier approaches such as rapid rural appraisal (RRA), participatory action research, agro-ecosystem analysis, and farming systems research continue to be practised and have cross-fertilised and evolved, often towards more participatory forms. With one of these, participatory rural appraisal (PRA), three major "discoveries" have taken place:

First, that "they can do it". Local people, including those who are poor and illiterate, have shown a greater ability to conduct their own appraisal and analysis than outsider professionals have known or believed;

Second, that participatory methods of "visualisation", such as mapping, modelling, scoring matrices, and linkage and causal diagramming, are powerful and popular, and valid and reliable when well facilitated and performed;

Third, that the key to participatory approaches is less the methods, and more the behaviour, attitudes, values and beliefs of outsiders. Enabling outsiders to facilitate, to sit down, listen and learn without interrupting, to observe, keep quiet, and not rush, is often not easy. It is hard for many professionals to recognise that in many respects "we" are the problem, and "they" (local people) are the solution. Help has been found through night halts in villages, through experiential learning not in the classroom but in the field, through being taught tasks by local people, and through the impact of seeing and learning what local people themselves know and can express and analyse. Participatory approaches and their labels have spread fast. This brings huge opportunities: for reversals of relationships; for personal, professional and institutional change; and for the empowerment of communities and especially of poor people through their own analysis and action. There is a potential here for a whole new generation of development initiatives which are decentralised, democratic and diverse, and for the initiation of bottom-up pressures on organisations which in turn will make them more participatory in management procedures and culture.

The dangers, too, are formidable: that participation will be distorted and destroyed by traditional top-down project routines, by imperious donor-recipient relationships, by targets, and by standardisation; that participatory methods will be routinised; that the vital key of behaviour and attitudes will be overlooked; that detailed manuals will fix and fossilise practices and understanding which grow out of date, contrasting with the flexible one-sentence "Use your own best judgement at all times", and that consultants, threatened by the demand for participatory approaches, will claim competence when they lack experience, commitment and conviction. At its worst, this could strengthen the dominance of people from the North over those from the South. Yet in PRA, the bulk of experienced trainers are from the South, and in the South. At a joint IDS/IIED workshop in May 1994, a statement was drawn up by practitioners from both South and North warning of such dangers, and suggesting standards and principles for good practice.

In this context, this sourcebook is welcome not only for its review of approaches and methods, but for going further and pointing to topics new in importance. These include conflict resolution, quality assurance, institutional reform, scaling up, and the ethics of relations with villagers. The source of information and contacts listed will also enable readers to follow up and find out more in this rapidly evolving field.

How this volume is used depends on personal choice, professional values, and institutional culture. It could be misused to reinforce top-down, North-South patterns of dominance, which is the opposite of its thrust and intention. It can instead be seen as an invitation to those who are powerful at each level to disempower themselves, to "hand over the stick", and to empower those below. For participation to be more than a nice word, the direction of change has to be decentralising towards diversity, and facilitating, sharing, and learning laterally and from below. The test is in answers to the questions:

- Whose knowledge counts?
- Whose values?
- Whose criteria and preferences?
- Whose appraisal?
- Whose analysis?
- Whose planning?
- Whose action?
- Whose monitoring and evaluation?

In sum, whose *reality* counts? How much has it been "ours", and how much can it now instead be "theirs"?

This timely and useful sourcebook points in a practical manner towards answers. Let me hope that many people will find that it opens up a new range of experience and a new sense of good things that can be done; and that if they come to this for the first time, they will be inspired to learn from others, to start, stumble, self-correct and share, and so contribute further to our understanding and practice.

28 October 1994
Robert Chambers

RRA/PRA - a brief summary

Rapid Rural Appraisal (RRA)

RRA is a social science approach that emerged in the early 1980s for applications in development cooperation. In it, a multidisciplinary team makes use of simple, nonstandard methods and the knowledge of local people to quickly elicit, analyze and evaluate information and hypotheses about rural life and rural resources that are of relevance for taking action. RRA techniques are an attractive alternative to conventional survey methods when the aim is not to systematically capture precise figures, a typically time-consuming and cost-intensive undertaking, but rather speedy and action-oriented assessment of local knowledge, needs and potentials with an aim to elaborating strategies to resolve conflicts or investigate specific problems. They are also suitable for shifting the focus of conventional surveys onto essential aspects.

Participatory Appraisal (PRA)

Internationally this is often referred to as Participatory/ Rapid/Rural/ Relaxed Appraisal, abbreviated "PRA". It is a further evolutionary stage of the RRA approach. In it, emphasis is placed on empowering local people to assume an active role in analyzing problems and drawing up plans, with outsiders mainly acting as "facilitators". Here it is no longer the external experts but rather the local people themselves who "own" the results of the study. This enables them to assume responsibility for implementing the activities based on them. PRA methods are successful within the scope of programs that support participatory development cooperation, e.g. approaches as "participatory technology development", "farmer back to farmer/farmer experimenter networks" "participatory action research", "community development" and "peoples'/popular participation".

Notes for users

How to use this brochure:

- Chapter I contains a general introduction to the history, nature and applications of RRA/PRA methods and an outlook on new frontiers for PRA in the 1990s.

- Chapter II looks at how RRA/PRA can be incorporated into the practical work of development-policy institutions (in this case the GTZ).

- Chapter III describes the basic elements of important approaches and procedures applied by institutions that have succeeded in putting the ideas of RRA/PRA into practice.

- Chapter IV contains a survey of the principal study methods used in RRA and PRA.

- Chapter V contains lists of recommended general reading by way of introduction to the topic at hand, manuals and training workshop reports, countries, application areas, contact and network addresses of institutions experienced in RRA/PRA around the world, and available publications and videos about RRA and PRA.

Recommendations for different groups of readers

➡ **Members of the general public interested in learning more about PRA and its practical application:**

1. The footnotes in the text refer to sources containing more detailed information. If you would like a general introduction to the topics dealt with here, please consult "Recommended reading" in Chapter V.

2. If you work for the GTZ, please check the bibliography to see if the titles you would like to read are available in one of the GTZ libraries. If not, find out whether they can be ordered through public or university libraries.

3. If a title is being distributed by one of the institutions listed in the directory of network addresses, you can order it there (or at least try to).

4. If you would like to be regularly informed, please subscribe to one of the bulletins or journals listed in Chapter V under "Sources available free of charge or at low cost".

5. If you would like to attend a PRA training course yourself, please contact one of the institutions listed in Chapter V under "Organizations offering training/courses in RRA/PRA methods" (grouped by countries).

➡ Planning officers, regional planners and managers in development organizations:

1. Before you decide to employ RRA/PRA in a project cycle, first carefully consider the planned focus of studies, the available time frame, and the point in the project cycle at which it could be done. Please also read the discussion in Chapter II of this brochure.

2. Consult the "Manager's Guide to the Use of Rapid Rural Appraisal" (Grandstaff/Messerschmidt 1992), published by the FAO in late 1992/early 1993, especially Chapters 4 - 7, about the qualifications that the RRA team must meet and how to negotiate contractual conditions.

3. Carefully read the introduction (Chapter I). Are you in a position to evaluate the potentials and limitations of RRA/PRA?

4. Think about which of the approaches listed in Chapter III is best suited for your tasks. Consult the literature listed there to round out your picture of what that method entails.

5. Contact PRA experts by way of one of the institutions given in the address list, or get together with colleagues within your own organization that have already gained experience with PRA in actual projects.

6. Draw up the terms of reference.

➡ Project staff:

1. Read and think about the statements made in sections 7 and 8 of the introductory chapter. Are you able to assess the potentials and limitations of RRA/PRA?

2. Think about which of the approaches explained in Chapter III is best-suited for your tasks. Consult the literature listed there to gain an idea of what the method entails.

3. Consult the country list and the list of application areas in order to ascertain whether regional and/or technical experience has already been gained with RRA/PRA that is relevant for your purposes.

4. Think about which of the techniques discussed in Chapter IV would be suited for your purposes. Familiarize yourself with the basic aspects of these techniques, and decide what expert assistance you will need for training staff and implementing RRA/PRA activities.

5. Obtain a training manual that precisely describes how PRA training program should proceed and what aids are required.

6. You can of course also apply and/or try out individual techniques in the course of your normal work. In some project situations, especially when you are on your own, this can make good sense for finding the answers to specific questions.[1] Please keep in mind, however, that teamwork is a crucial element of RRA/PRA, and that holding a PRA workshop without the support of experienced team members can turn into a farce.

7. Contact your GTZ planning officer (or the equivalent) to jointly plan further steps.

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1   Cf. e.g. Holtzmann 1986.

I. Introduction

> "Andy Inglis...led an [RRA-]team to investigate fuelwood issues in Sierra Leone, and was able to compare the results with those from a [formal] questionnaire conducted just before. He concludes that the RRA survey not only generated useful results but was probably better suited to the gathering of complex socio-economic and socio-ecological information. The results of the RRA were presented the day after the fieldwork was concluded; close to a year later the questionnaire results had still not been analyzed."
>
> (From RRA Notes 12, 1991:3)

1. The intention of this chapter

"Rapid Rural Appraisal" (RRA) or "Participatory Rapid/Relaxed/Rural Appraisal" (PRA): many of those active in the field of development cooperation have encountered these expressions at one time or another during the course of their work. But what do these labels really stand for? What is the origin of the underlying concepts? What can they be used for? What experience has been gained with these methods? What do they have in common with other participatory approaches? What characterizes them? What are their strengths and weaknesses? And how can they be integrated into the work of the GTZ and other development institutions?

In the "Multisectoral Urban and Rural Programs" division at the GTZ head office in Eschborn, we realized that there is a need for a clear and easy-to-understand introduction to this field for all those who go a step past the "heard about it somewhere" stage and want to apply PRA methods to their work. The present brochure aims at opening the "black box" of RRA and PRA methods and acquainting readers with the key concepts and the "philosophy" that lurks behind these approaches. In doing so, we use the expressions of "Participatory Appraisal" and "PRA" synonymously, since on the one hand we want to express the fact that the described approach has become internationally known under the acronym of "PRA", while on the other hand the way in which this approach is used today is increasingly evolving away from analysis and

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towards practical uses for planning and resolving conflicts in social groups. This is happening independently of rural contexts (in other words, it is no longer necessarily "rural"), and it is a long-term process (i.e. it is not necessarily "rapid"). The expression "Participatory Appraisal" is therefore the most apt designation. The PRA instruments are described in the following and a selection of the various approaches used is given in order to enable readers to make the right choices in pursuit of their practical objectives. References are also made to the literature for further reading.

2. What are rapid and participatory methods good for?

Ever since development cooperation first got under way, social and socioeconomic data have been collected within the scope of development projects. This has generally been done in the form of conventional surveys. The most well-known instrument for this is the standardized questionnaire. However, this approach has serious drawbacks. Not only are such surveys relatively staff-intensive and time-consuming and therefore expensive; they also generate unmanageable quantities of data. Projects rarely derive real benefits from such "data graveyards". Analysis of the data typically takes months - and sometimes even longer - and the results frequently fail to respond to the acute decision-making needs of projects. Moreover, in the interests of objectivity and representativity they tend to overemphasize factual information and average values. Robert Chambers[2], one of the intellectual parents of PRA, sums up the disadvantages of conventional surveys as follows:

- Preference is given to factual information over people-related information.
- Poorer people are too easily overlooked.
- The labor and expense involved are out of proportion when compared to the results obtained.
- The necessary information is elicited, analyzed and used almost exclusively by outsiders.

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2   Cf. Chambers 1991, pp. 516-517.

Nor are "quick-and-dirty" appraisals, performed by urban-based experts, preferably during the pleasant time of the year (after the harvest, during the dry season), any better. The experts, due to either complacency or lack of time, tend to stay on the main road and close to urban centers, meeting men rather than women, users of services rather than nonusers, elites rather than disadvantaged people, readily accessible and articulate persons instead of those who are timid or live in regions remote from urban centers. To cite a drastic picture painted by Chambers:

The living situation of a male farmer on a project beside a main road close to a capital city who is interviewed by an expert after the harvest differs quite considerably from that of an old widow who, starving and sick, is eking out a miserable existence during the rainy season in a remote and inaccessible area and therefore remains invisible to the expert.

Diplomatic behavior and protocol on the one hand and lack of time combined with politeness on the other also contribute to completely distorting the picture.

3. Rapid Rural Appraisal (RRA)

In the late 1970s, dissatisfaction with the results of long-term "baseline surveys", as well as of unstructured and superficial short-term studies (also known as "rural development tourism") prompted a search for more cost-effective and above all more realistic methods. In 1981, Michael Collinson described how it was possible with ease to conduct an exploratory survey to identify agricultural research priorities within the space of a single week. Nevertheless, he recommended following up such studies by exhaustive formal verification surveys to convince the "establishment" of the correctness of the results obtained[3]. Acceptance of the approach then grew, however, as workshops were held at the Institute of Development Studies (IDS) in Sussex in the late 1970s and articles by Chambers (1980), Belshaw (1981), Pacey (1981), Longhurst (ed.) (1981) and Carruthers/Chambers (1981) laid the theoretical groundwork for it.

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3   Cf. Collinson 1981, p. 444.

> RRA can be defined as a systematic, semistructured activity
> conducted on-site by a multidisciplinary team with the aim
> of quickly and efficiently acquiring new information and hy-
> potheses about rural life and rural resources.

The team itself is mixed. It can comprise scientists, agricultural extension
workers, project staff, and even civil servants and village representatives.
It is broken up into groups of two or three team members to do the actual
investigative work, with these groups being changed on a daily basis in
order to maximize the benefits derived from their different backgrounds,
knowledge and ways of looking at things. It is essential for the study to
focus on those aspects that are important for a planned intervention or
desired change. The team draws upon a set of nonstandard, simple
methods for collecting and analyzing data; these range from
semistructured interviews and walks around the area to direct
observation and analytical games. The latter are employed to assess
preferences or attitudes, and also to tap into local knowledge.

Since that time, a growing number of institutes, research centers,
development agencies and individuals have tested, modified and
reinvented the key concepts of RRA, foremost among them the
Universities of Chiang Mai ("Agroecosystem Analysis")[4], and Khon Kaen
in Thailand.[5] The development of PRA can be best traced in the "RRA
Notes" published by the IIED in London.

4. From Rapid Rural Appraisal (RRA)
to Participatory Appraisal (PRA)

Taking RRA as the basis, in recent years a new approach has been
developed by various organizations, starting with efforts in India and
Kenya round 1988, and 1989 with the production of village resource
management plans and Rapid Catchment Analysis. The new approach

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4   Cf. Conway 1988.
5   Cf. Khon Kaen 1987.

was termed: "Participatory Rural Appraisal" and spread mainly from India to countries all over the world. In India alone, hundreds of NGO's, and at least a dozen governmental organizations are using PRA today. Institutions working on an international scale like ActionAid, Aga Khan Foundation, Ford Foundation, GTZ, SDC and SIDA, to name only a few, incorporated PRA-methodologies as a part of participatory processes in their organizations. What then makes the difference between RRA and PRA?

Rapid Rural Appraisal is still essentially extractive or 'elicitive' in nature. Analysis and utilization of the results remain largely in the hands of outside experts.While RRA could therefore be paraphased as "a way of generating and applying new participatory data gathering and analyzing instruments for outsiders", PRA is "a way of thinking and behaving" that demands a reversal of roles: It stresses that those actually affected should assume an active role in conducting and analyzing their own living conditions and evaluating the results. Priority is attached to having the outsiders learn from the residents of the village or urban neighborhood in which the study is being performed, and on jointly perceiving the local living situation as the basis for cooperative planning and action.

> PRA is a way of enabling local (rural and urban) people to analyze their living conditions, to share the outcomes and to plan their activities. It's a "handing over the stick to the in-sider" in methods and action. The outsider's role is that of a catalyzer, a facilitator and convenor of processes within a community, which is prepared to alter their situation.

RRA and PRA methods are used:

- in order to ascertain needs ("felt needs");
- to establish priorities for development activities;[6]
- within the scope of feasibility studies;[7]
- during the implementation phase of projects;

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6   Cf. Collinson 1981.
7   Cf. e.g. FAO 1990.

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- within the scope of monitoring and evaluation of projects;[8]
- for studies of specific topics;[9]
- for focusing formal surveys on essential aspects;[10] and
- to identify conflicting interests between groups.[11]

The areas in which RRA/PRA have so far been applied include:

- Management of natural resources (soil and water conservation, integrated agroforestry, fishery, wildlife conservation, etc.).

- Agriculture (field crops and animal husbandry, irrigation, markets, etc.).

- Programs dealing with poverty alleviation and emancipation (women, credit needs, identification of the poorest, additional income-generating measures, etc.).

- Health and nutrition (basic health-care and food-security programs, drinking water supply).

- Village level ("bottom up") and district planning.[12]

- Institution and policy analysis.[13]

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8   Cf. FAO 1990; Feuerstein 1986; Gaymans/Maskoen 1993; Lightfoot et al. 1992;
    Quinney 1994; Rugh 1985; Shah/Shah 1994; Stephens 1988; Topsöe-Jensen 1989.
9   Cf. Subadhira 1987; McCracken 1988a.
10 Thomas/Suphanchachaimat 1987; Nagel et al. 1989.
11 Cf. Bollig 1994; Conway/Sajise (eds.) 1986, Conway/Sajise(Knowland 1989;
    Poffenberger et al. 1992, Salas 1993.
12 Chambers 1993a; Ferrazzi/Kievelitz 1994.
13 Gill 1994; Johanson/Hoben 1992; Kievelitz/Reineke 1992; Zimmermann/Sülzer 1993.

5. The key concepts shared by RRA and PRA

PRA is based on a small number of characteristic key concepts that also apply to much RRA. These principles constitute the necessary framework for the techniques used:

Triangulation

This is a form of "cross-checking" by varying the team composition, the sources of information, and the techniques applied. Each team should include members representing several disciplines and different areas of knowledge, and there should be equal numbers of men and women. Each phenomenon should be illuminated from different points of view and studied using different techniques.

Figure 1: Triangulation [based on Theis/Grady 1991, p.30]

Learning in the community

RRA means learning from, with and through members of the local community. As far as possible, the team should endeavor to see the problems "through the eyes of the affected individuals". The investigative instruments are employed together with the residents of the village or urban neighborhood, and some of them even by the groups themselves on their own. Members of the affected groups must also be represented in the team in order to ensure a minimum of insider insights. During the time spent in the study area, the team members eat and sleep in the homes of local residents. The RRA team listens, takes part in every day activities, and asks to be taught local skills. The members of the team regard

themselves primarily as catalysts for supporting a self-determined development process.

"Optimal ignorance" and appropriate imprecision

The RRA team should avoid unnecessary precision when collecting and analyzing data. Study and analysis are only performed to the extent that they are required in order to ascertain needs or identify a necessary activity. This is a striking difference between RRA/PRA and, for example, ethnographic field studies or socioeconomic surveys.

Appropriate instruments

RRA has recourse to a basket of informal but structured survey instruments that build upon one another. The techniques applied are selected based on the degree of participation they involve; in other words, they must be clear, self-evident, simple, appropriate to local conditions, and open for any modification that might be suggested by the residents of a village or urban neighborhood. It must become clear that the success of
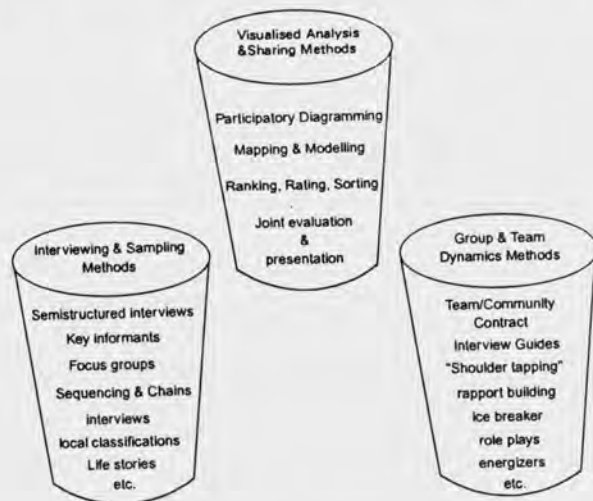
Figure 2: Baskets of methods used within RRA [based on Cornwall/Guijt/Welbourn 1993, supplied by the authors]

the action depends on their suggestions. Appropriate means, for instance, that local materials, e.g. local seed, are taken as the basis for describing quantities and setting up classification schemes[14] (e.g. for analysis of agro-ecosystems).

Sequencing

is the effective combination of instruments in a step-wise procedure. In a RRA-setting[15], the steps may be:

Step one:

Taking existing aerial photographs of the project region as the basis, the team sketches a simple map showing the most important units of the eco-system.

Step two:

The team performs its own direct observations on-site to verify and supplement the available information.

Step three:

By questioning residents, the map is supplemented by local place names and other relevant local information that had been missing.

Step four:

The resulting map then serves as the basis for going on joint walks through the area ("transects") during which the geographic distribution of the most important local resources is discussed with the residents and recorded.

Step five:

The resulting resource map is then used in talks ("semistructured interviews") with key informants or certain local groups (group interviews with specialists, focus groups, neighborhood, etc.).

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14 Cf. e.g. the Patecore Project of the GTZ, GTZ 1992b.
15 For an example of sequencing within PRA see Chap. IV of this book.

"Visual sharing"

When using questionnaires to conduct surveys, what is said by an interviewed subject is transferred to the interviewer's questionnaire, whereupon it becomes his "property". In contrast, when everyone shares in a mapping or modelling project (this is what is meant by "visual sharing"), everyone present can watch it take shape, suggest changes, point out problems, manipulate the objects used, and help create representations. It is not necessary for them to be skilled talkers or able to read and write. In participatory mapping and modelling[16] the residents of the village or urban neighborhood draw their own map or picture of their environment and/or the resources from which they derive a living.

On-site analyses and on-site presentation

The team meets each evening to discuss and jointly analyze that day's findings and talk about what is to be done the following day. This helps deepen the members' understanding of the problems and narrow the focus of the study. These repeated analyses enable them to concentrate on the problem areas, and lead to growing understanding and accumulation of knowledge. The results of the field study are evaluated by the entire team (and not just by the team leaders!) before their departure, publicly presented, and discussed with the members of the community. The results can be set out in writing. However, it is usually a better idea to present them visually with the aid of charts containing tables, graphics, pictographs, photographs or cartoons. Within the PRA approach it has also proven to be useful to present some of the results orally in the form of a play, puppet show, or story.[17] Thus to summarise, the process is as follows:

16 Cf. e.g. Gibson 1991.
17 Cf. Cornwall et al. 1989; FAO 1986; 1990, p. 83ff.
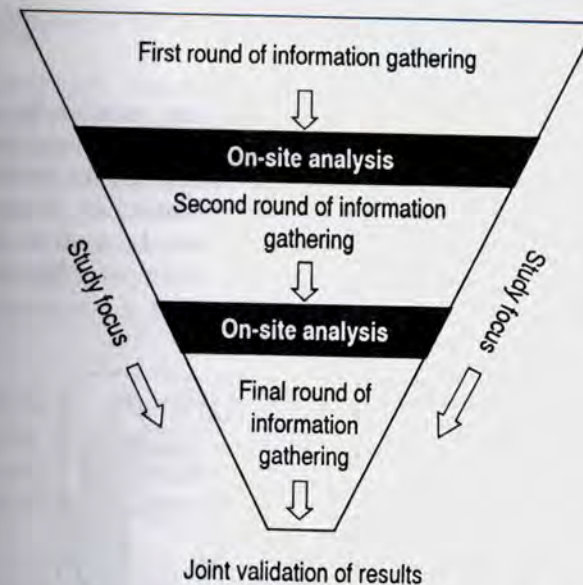
Figure 3: Narrowing the study focus by repeated on-site analyses [Theis/Grady 1991:31]

After the presentation, the community decides on additional activities to be carried out, and suggestions are made as to which group within the village, organization or urban neighborhood should implement them, as well as how, where and when.

Figure 4: "How our village became green with trees" [from FAO 1990, p.83]

Regular follow-up meetings

Models and maps made jointly on-site are excellently suited for documenting and reflecting upon the progress made in implementing the proposals made and, in regular follow-up meetings, for jointly drawing up further plans. If the community presentation is documented by photographs and tape recordings, these can also be used to disseminate what has been learned, e.g. within the scope of "farmer-to-farmer extension programs".

Figure 5: Participatory evaluation with the aid of charts. Have the objectives formulated in 1985 been achieved? [from FAO 1990, p.53]

Avoiding biases; self-critical awareness

The RRA team intentionally seeks out those who would otherwise never get a chance to speak: the poorest people, women, disadvantaged groups living in remote areas, during the rainy season, etc. The team reflects on what has been said, and also on what has not been said, and on what its members have seen and overlooked, and attempts to identify its own mistakes. Above all, the team must refrain from making any value judgments about others.

Differing focuses of RRA and PRA

RRA methods are mainly used with success in cases when donor organizations need local conditions to be assessed as quickly and efficiently as possible. RRA is also appropriate when the aim is to gain an initial orientation, to analyze a specific problem, or to focus on one issue among many. As an alternative to conventional approaches it still fits into "top-down" management schemes. RRA approaches can also be used on a regional aggregation level for situational analysis and for the preparation of policy development by regional or district planners (Ferrazzi/Kievelitz 1994).

PRA concentrates entirely on the interests of local communities and on strengthening their decision-making powers. PRA is a "bottom-up" approach, and the best way to implement it is within the scope of a community-oriented participatory project or program.

	RRA	PRA
developed in	late 1970's/1980's	late 1980's/1990's
key resource	local people's knowledge	local people's (analytical) capabilities
main innovations	methods	change of behaviour & attitudes
mode	extractive	facilitating
mode of instruments	verbal (interview, discussion)	visual (particip-diagramming)
ideal objectives	learning from insiders by outsiders	empowerment of local people
outsider's role	investigator	initiator and catalyst
insider's role	respondent	presentor, analyst and planner
a model	for participatory intervention	for interaction
who demands?	donor organization	insiders (ideally)

Figure 6: Different focuses of RRA and PRA [drawn from tables of Chambers 1994a,b,c]

6. The special prerequisites for PRA

PRA rests on prerequisites that call for a change of roles, and ways of thinking as ways of learning, regarding:

- **Whose knowledge counts?**[18]:
  From: "We know" (i.e. they learn from us) to "They know!" (i.e. we learn from them).

- **The idea of participation:**
  From: "we let them participate" to: "they take command of their own process" (i.e. "handing over the stick").

- **One's own fixation on results:**
  From: "We've done a PRA" to: "We start,stumble, admit being corrected by the people".

- **The methods:**
  From: "We use team instruments out of our rapid toolbox" to: "they can map, model, estimate, score, diagram, analyze, present, plan themselves".

- **The sharing of information:**
  From: "We share our knowledge and analysis with them" to: "We enable them to learn from each other and conduct their own analysis".

Robert Chambers has put this change of paradigm into the picture of the "Three Pillars of PRA":

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18 Cf. Chambers 1991a.

Figure 7: "The three pillars of PRA" [based on workshop charts of R. Chambers]

* unlearn
* sit down, listen, learn, respect
* they can do it
* facilitate
* embrace error

Behaviour & Attitudes

the primacy of rapport

"They"

Methods

Sharing

handing over the stick

* Map
* Model
* Estimate
* score
* diagram
* present
* analyze
* plan

* they share their knowledge & analysis
* we (NGO's/GO's) share our learning

information is visible and public added to, owned by the participants
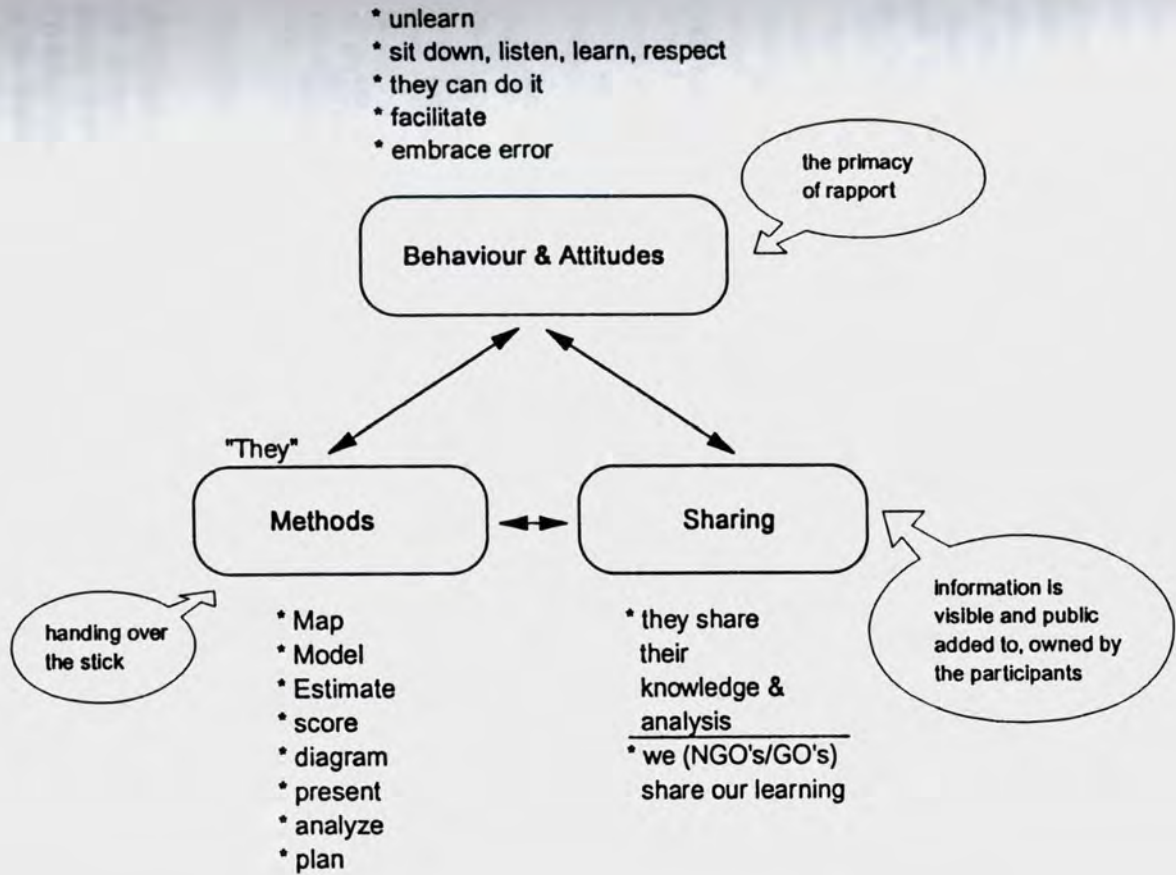
7. What does a PRA involve? - Two practical examples

Out of the wide range of PRA's, we have chosen two, one with women in a community development project from early PRA days (1990) and another that was part of a settlement planning process for earthquake rehabilitation in 1994. Both are still RRA-like in terms of having a team of outsiders working with insiders within a relatively short time frame. Nevertheless they are excellent examples of how the PRA idea and methodology can be put into practice within different project settings, and what features and problems have to be faced.

PRA in a community development project in the Gaza strip (1990)

The first example was conducted by Save the Children (SCF) in the Gaza strip in 1990.[19] It demonstrates, among other things:

- that a PRA conducted under expert guidance can rely upon indigenous investigators;
- that PRAs, although originally developed for rural regions, can be applied with equal success to urban areas;
- that when dealing with gender-specific issues it can be advantageous for all of the team's members to be of the same sex; and
- that the team can reject instruments contained in the standard set of PRA techniques if these are deemed to be unsuitable, and develop more appropriate ones to replace them.

The problem

SCF, which has been implementing projects in the Gaza Strip since 1978, realized that its own efforts to identify the needs and problems of the women living in that area had failed. It was hoped that PRA would provide answers to these questions, with the aim of designing women's projects more effectively. It was planned for the study to be carried out at two locations typical of Gaza, one in a rural settlement and the other in a densely populated urban neighborhood. The organization already had contacts with both locations, having implemented projects there.

Preparation

Before conducting the PRA training activities and recruiting the team, secondary sources such as books, magazine articles and grey literature about women in the Gaza Strip were consulted. Afterwards a team leader (a woman) conducted semi-structured interviews of key informants (e.g. representatives of women's associations and university graduates who were involved with the issues being addressed, all of them women). The interviews served to define the terms of reference more precisely, illuminate certain key areas, and establish a basis for selecting the members of the team and the techniques to be used. The key areas included, for instance, the advantages and disadvantages of projects aimed exclusively at women, and whether it would be better to move away from or continue building upon typical women's activities.

Training for the PRA

Eight women from Gaza with varying occupational and educational backgrounds were chosen to be trained for the PRA. Two of them lived in the locations that had been selected for the study. In a three-day course, they were taught about the background, methods and techniques of PRA by two team leaders who were experienced in participatory approaches, as well as one (male) ethnologist who was knowledgeable about PRA. At the same time, a plan was drawn up for the fieldwork and the techniques to be used were identified.

The PRA itself

For the actual on-site work, two instruments were chosen from the basket of the existing PRA techniques: Semi-structured interviews with individuals, key informants and groups as the basic instrument, and direct observation to crosscheck what was learned from the interviews. Two other instruments were tried, namely the "seasonal calendar" and a "life cycle diagram", but they proved to be inappropriate to the situation of women in Gaza. To replace them, two new graphical instruments were developed that made it possible to draw conclusions about the mobility of the women (i.e. how often they travelled and where they went) and their

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19 Cf. Theis/Grady 1991, pp.44-46; Report of the PRA 1991.
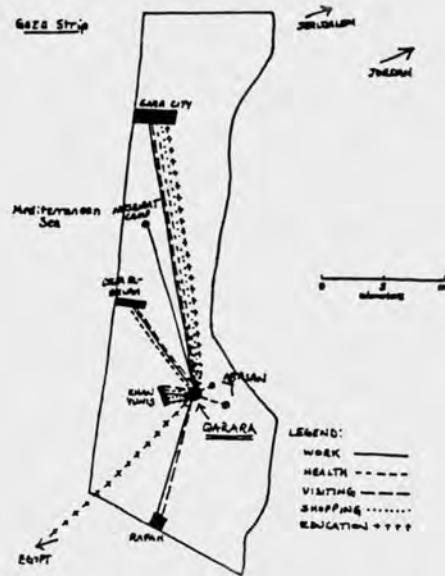
Figure 8: Mobility map for women from Quarara [average values from individual maps, from Theis/Grady 1991, p. 84]
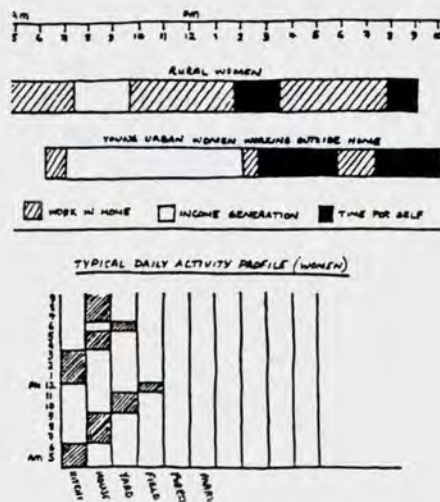
Figure 9: Typical everyday routines and activity profiles of women in the Gaza strip [from: Theis/Grady 1991, p. 105]

everyday routines (how long and how much they work at home, and how much outside of the home). These graphics were in turn used in the interviews of individuals as a basis for discussion.

The fieldwork lasted three weeks. The final report summarized the findings of the studies at the two locations with regard to the following factors: schooling, social status, domestic life and everyday routines, agriculture, standard of living, sources of income and work outside of the home, decision-making processes and community involvement, needs and problems.

Here are a few of the findings of the PRA:

- The women in Gaza are not very interested in taking part in projects that do not provide them with any immediately recognizable benefits.

- It is essential for projects and training programs for women to take account of the existing everyday limitations with regard to, for example, the amount of time available to them, suitable times of day, and acceptable sites for holding activities.

- Surprisingly, the women do not see any point in basing community-supported projects on the poorest of the poor, since in their opinion they lack the necessary time, mobility, commitment, and perseverance for implementing planned changes in the community.

The team subsequently formulated, together with the women, proposals for possible projects with the aid of a so-called "innovation assessment" technique. At the rural location it emerged that health-care centers and free school facilities for children were high on the women's list of priorities.[20] The report closes with a chapter in which the encountered problems, the weaknesses and strengths of the study instruments used, and the limits of this kind of study are depicted from the point of view of the team.

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20 Cf. Report 1990, p. 18f.

Recently increasing emphasis has been placed on the necessity of regarding PRA as the starting point for a longer-term process of planning and action, similar to sociological action research. Such approaches have hitherto primarily been taken by nongovernmental organizations such as AKRSP in India and Action Aid in Gambia and Kenya within the scope of natural resource management.[21]

Desired innovation / planned project	Advantages for the women	Advantages for the community	Sustainability of the project	Fair distribution of advantages	Technological compatibility	TOTAL	RANK
Preschool	+	+	++	+	++	7	2.
Healthcare center	++	++	++	++	++	10	1.
Dairy farm	+	0	0	+	0	2	4.
Center for sewing courses	++	0	0	+	+	4	3.

Evaluation scale: from 0 to ++

Figure 10: "Innovation assessment" by the women of Gaza [based on: Report 1990, p. 18]

PRA in situations of crisis and disaster (earthquake rehabilitation in India 1994)

The following example[22] shows the participatory potentials that PRA methodology offers in situations, where there is no time for entering into a long process with intended beneficiaries, as is the case in crisis or disaster situations.

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21 Cf. P. Shah 1993; Ford et al. 1992; Kabutha et al. 1991.
22 Based on the personal account of the convenor of the workshop Meera K. Shah, to whom we are very much indebted for sharing her experience with us.

1. Background

The PRA workshop, conducted by Meera Shah in February 1994 in district Latur, Maharashtra (India), was part of an earthquake rehabilitation program undertaken by national and international agencies after the disastrous earthquake that afflicted parts of India in 1993. It was designed, because it was felt that the program had hitherto lacked a "participatory" perspective.

2. Set-up of the Workshop

25 participants, most of them from Latur district offices, first discussed for one whole day their different concepts of and experiences with "participation". They learned about the background of PRA and the necessary reversal of attitudes, ways of thinking and learning. They discussed on the powers of visualmethods vs verbal methods, ground vs paper in participatory data gathering and analyzing, and tried out some of the tools of PRA (transects, mapping etc.). On the second day the participants discussed, how to operationalize their shared concepts of "participation" for practical program work. The two-day classroom session was followed by a village exercise in one of the villages that had been selected for relocation.

3. The village exercise

The selected village comprised of 110 households of different caste and ethnic groups. To understand the local people's concerns, the group started with a village transect, accompanied by villagers, who pointed out the significant features of their old village. One of these features was a "hierarchy of open spaces" ranging from a big square in the village centre to medium sized open squares in front of temples and little common spaces within clearly defined clusters, inhabited by extended families. Seperate discussions were held with men and women, to elicit the history and the changes in the village. The reason why relatively few insiders joined the exercise on the first day was due to a common outsider mistake: The group had arrived in the village and started to work in day time, when most people were out on work. The villagers expressed, that they would prefer to have any group activity or meeting late in the evening.

On the second day maps of the old village were prepared, separately by men and women. It was interesting to note, that women were more reluctant to use paper. Instead they took more time to discuss. Men and women then were asked to identify and classify various village groups, taking pieces of paper with the name of every hosuehold-head written on each of them. Different groups (old men, young men, women) were classified according to caste and religion, with remarkably similar results. After a visit to the new village site (within walking distance from the old) people were asked to prepare options for the new village layout. While the discussion with the men showed a preference for straight roads and accesss by road for every house, the women concentrated a lot on screened water points, which they categorised into drinking water, water for washing and drinking water for cattle. One reason given for this was, that they didn't want to be observed or teased by men during their washing nor cattle drinking from the same water points where people fetched water.

After long plenary discussions people prepared different options for the new village layout. One was a neat cluster type, where every cluster comprised of the three house categories the government had offered within the programme, and to place all members of a group in one cluster. The other option, a grid model, was very similar to a layout, the town planning department already had carried out in nearby villages.

The younger men favoured the grid type, some older men and women opted for the cluster. Since there was no agreement among the team members on what the villagers really wanted, it was decided, to get several different options prepared by the town planners, for the people to react to.

100 men and 60 women attended the presentation of these plans. A badly designed cluster layout was rejected, as they didn't like the design, as was another option, because "it did not look beautiful" in the words of the residents. Astonishingly enough the majority even of the women opted for the "beautiful looking" grid lay out, with its rectangular, straight roads and lined- up houses. The town planners seemed to be satisfied, because this was nearly identical to their original proposal.

Actually, from some clarifying questions, the workshop convenor got the impression, that the people might not have been able to visualize the two-dimensional layouts rightly. And she was right! One of the team members came up with a fourth option. It was a mix of the grid and cluster layouts, and also considered the hierarchy of open spaces and screened water points. A simple 3-D model was prepared during the weeekend. When presented, the people immediately accepted the new option in its basic features, because they understood it, and discredited the grid model. The young men this time appreciated the little open spaces, and asked for more of them. The residents now were asked to select their neighbours themselves, given the condition that changes on the plan would be made, where preferences collided. People tried to accomodate all members of the different groups, as identified by them earlier, in one area, because they found it much easier to handle everyday but also religious duties, when relatives lived nearby. The final model, taken as a basis for the reconstruction, was left with the people, so they could check up their results, whenever they wanted.

7. Potentials and limitations: PRA in the 1990s

Together with its predecessor RRA, PRA has emerged from a developmental process lasting nearly 15 years, and has now reached a stage in which it has become virtually impossible to keep track of its proliferating techniques, methods and application areas. Because the organizations that have been involved in developing it have shared their knowledge and experience very openly with all interested experts and practitioners and passed them on in numerous workshops, PRA approaches have come to enjoy widespread use around the globe.

The methods and techniques of PRA are variable, in many cases locally developed, and adaptable. They support participatory planning, and aim at shifting decision-making responsibilities to local people. Originally developed for rural areas and within the scope of exploratory studies during the planning phase of projects, today they are successfully used in all phases of the project cycle for which the attitudes and knowledge of local people are important. They have also proven their effectiveness in urban areas,[23] and even for studying government and nongovernmental

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23 Cf. Moser 1989 for general information; Collier/Santoso 1992; Colombani et al. 1992; Gibson 1991a; Voigt-Moritz 1991.

organizations.[24] The enlightening and cooperation-promoting effects of PRA training workshops are not limited to project staff. Civil servants have often been impressed by the creativity of local people, and the breadth of local knowledge they have encountered within the framework of such workshops in conjunction with time spent in the "problem areas" of their countries.[25] It is impossible to overestimate the importance of the group dynamic or "synergistic effects" of such events, which have so often been extolled in recent years.

Quality assurance

Born out of practice, PRA's informal, experimental and open-ended character is its greatest asset. It is also its Achilles' heel. If done badly, the PRA approaches are contributing to the sellout and debasement of the idea of participation. Some of the dangers of the rapid spread of PRA:

- if it's getting fashion/fad: started by a minority of development practioners, PRA for some people now has become a fashionable label, to satisfy public expectations for "participatory" approaches in development work;

- if it gives way to routines/ruts: normal professionalism demands for routinization. The danger that PRA's inert qualities are instrumentalized to business-as-usual-work is evident;

- if it engenders an automatization-bias, according to the motto: "We've done a PRA and therefore we will have participation / development...";

- it is used as a "one-off" event instead as introduction of a continuous learning process.

How to avoid rapid spread bringing low quality will be one of the major challenges in the next years. To agree for common quality standards and guidelines to "train the trainers" are first steps in this direction.[26]

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24 Cf. Honadle 1979; Kievelitz/Reinike 1992 and 1992a; Zimmermann/Sülzer 1993.

25 Cf. e.g. Leurs 1989; FSRU 1991; Johansson/Hoben 1992.

26 Cf. RRA Notes 19; for criteria of trustworthiness in PRA Pretty 1993, 1993a; Absalom 1994.

The importance to have a 'contract' at the beginning

The group dynamics stimulated by PRA- field workshop give rise to hopes and expectations. The community should not be used simply to test out one's methods. To clarify the expectations and hopes of insiders and outsiders at the very beginning of the process, is a step hitherto too often neglected in PRA. What are each party's strengths and constraints, which expectations can be met, and how far a follow-up of the process initiated by the study group be guaranteed?

Jones and Townson (1993:11) in a report on participatory on-farm trials in Sri Lanka question the view, that farmers like to play the "games" of RRA and PRA, if they do not see that they affect crucial issues of their living conditions: "We are the farmers. What use are these games to us"? If the PRA-worker does not have an answer to that, he or she should be careful to start at all! The most sustainable PRA's are those, who are demanded for by the people themselves.

To avoid "false expectations" Edwards in a discussion note pleads for "a clear expression of one's limitations or parameters" before starting a PRA process:

> "It is up to us to explain the purpose and intent of our work. In particular, we should be absolutely clear about what we can or can not do for the communities concerned. (..)We have access to certain resources and knowledge whilst villagers have their own sets of knowledge and resource. Prior to starting work it is necessary to clarify what participation means for the programme (...) Villagers interact with numerous 'outsiders' many of whom have specialized roles. Villagers expect to bargain with the outsiders just as they in turn expect to bargain with the villagers. Being clear about each others confines and conditionalities is essential in the negotiation process" (1994:3).

PRA as action research

This leads directly to questions of PRA training as action research. Minimum requirements for training situations, that are designed to prompt action of and together with local people are:

a) seeking explicit general agreement of the community and a possible partner organization to cooperate with a group of trainees and trainers, and discussing the necessary arrangements well in advance;

b) clarification of the intentions, the potential focus and content of the training among all parties concerned, most practically by means of a community/group evening at the beginning of the training and

c) reflection of the local power structure, the choice of the local partner, and the implications of this choice.[27]

A problem that arises together with this is, how a team should deal with demands or ascertained needs that run contrary to their own ideals or the ideology of the donor organization. For example, the wish for a tract of forest to be cleared in spite of ecological arguments against doing so, or construction of a paved road that makes little sense in the opinion of outsiders. Is it generally better to give in to such demands, or should they be "filtered out", as was proposed at an Indian workshop? It would probably be more important and more correct to stress participation in the sense of everyone being involved on an equal footing in the process of forming opinions and taking decisions, and to highlight and overcome differing views by means of simulations, play enactment of alternatives, and/or real actions.[28]

Exposure for everyone?

Neither local nor external experts always find it easy to travel to the most remote areas during the inhospitable time of year. Nor are many readily willing to spend days or weeks sharing the lives of the residents of villages or squatter settlements. It can therefore sometimes be a problem to find suitable individuals who are willing to join the team.[29] The candidates must also be able to empathize and demonstrate enthusiasm if they are to successfully cope with conflict situations. In spite of the

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27 Cf. Kievelitz/Forster 1994.
28 Cf. Bierschenk et al. 1992, pp. 203-206, as well as other articles in this volume; see also section on conflict management in the next chapter.
29 Cf. e.g. Grandstaff/Messerschmidt 1992 about correct selection of team members.

"non-technical" approach involved, such an undertaking can be far more nerve-racking, strenuous and stressful than a normal survey. On the other hand, it gives rise to considerably more intensive encounters and, as participants consistently report, many gratifying and deeply satisfying moments for both sides.

How rapid is not slow enough?

Another question that has to be answered is the problem of how to resolve the methodological paradox of "rapid" and "relaxed" in actual practice: for some investigators, the key concept of "optimal ignorance and appropriate imprecision" begs the question as to what they should refrain from ignoring and how much imprecision they can allow without again being criticized for practicing "rural development tourism". A well-meaning critic put the question like this: "How rapid is not slow enough?"[30] Does "normal professionalism not give way to again rushing, with these rapid methods? It is in the vein of "process orientation" that PRA now takes this argument into consideration.[31]

PRA vs survey vs longterm ethnographic studies

PRA sometimes may not be a total substitute for normal surveys, but a growing literature suggests, that surveys rarely produce precise data, and there are almost always participatory alternatives to questionnaires.[32] RRA or PRA and surveys may complement one another when they are applied successively to focus attention on individual aspects dealt with by a larger survey.[33] PRA cannot replace the long-term ethnographic studies and backup research for projects that are so urgently required in the field of development cooperation. This is also borne out by some recent development of the World Banks social policy department, which at least partly has been moving in this direction.[34]

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30 Cernea 1990, p. 12.
31 Cf. Cornwall, Guijt, Welbourn 1993.
32 Cf. Gill 1991; 1993a; Hoeper 1991; Inglis 1991; Mukherjee 1994; Rhoades 1990.
33 Cf. Nagel et al. 1989.
34 Cf. Salmen 1987; 1992; 1992a.

It would also be useful to differentiate among the techniques used for PRA on the basis of the preliminary information they require. Techniques exist that can be used on the first day of a study without having any knowledge of local conditions. Others may call for profound and intimate familiarity with local conditions.[35] A review of the practical experience gained with PRA techniques reveals very little about their time dependencies.

Visual sharing, visual perception and the availabilty of information

One of the cores of PRA, "visual sharing" of realities, raises questions on the cross-cultural nature of visual perception[36] and the role of power distance in societies that may prevent some people to share their realities with the more powerful persons within their community. The point is still open for discussion among practitioners.[37]

It is one thing to develop and disseminate visual appraising, planning, monitoring and evaluating instruments to empower non-literates to express their own needs, it is another, that literacy might again play a crucial role, when it comes to the point of negotiating claims with officials of GO's and NGO's.

"Planning, decision making and the search for alternatives depend very much on the availability of information. This is the one thing that the poor do not have access or entitlement to, that remains in offices, panchayats etc.", as Kavita Srivastava, an Indian action researcher stated recently (1994: 37).

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35 Cf. Welbourn 1992, pp. 19, 23 about caste societies.
36 Consult for a discussion of this Segall/Campbell/Hesrkovits 1971; Luyendijk 1981 or the whole bunch of literature on "visual literacy/visual communication".Gill (1993) recently has made an interesting contribution to the cultural bias of some participatory techniques.
37 Cf. Welbourn 1992 for this within caste societies; Chambers'experience in India indicates instead, that PRA, with the help of the facilitator, could function as a counteract to existing power distances (personal comm.).

Different systems of knowledge

Local knowledge is shared within a PRA process. But every (cultural) knowledge system has its own theory of what constitutes and what counts as knowledge, and who is designed as qualified to know (Scoones/Thompson 1993:9). Knowledge is not dispersed democratically, neither between insiders and outsiders nor in the community itself.[38] It is even something that for many cultures is not expressed in the public domain,[39] and it may involve acts of secrecy, and areas which are quite sensitive and difficult for outsiders to grasp.[40]

Conflict management

Entering any organizational or group context as a change agent, will always challenge existing power structures. The issue of conflict arises around limited resources. There is some contradiction between "handing over the stick", and trying to give a forum to those who would otherwise never get a word in. There are examples of PRA-training workshops where men were challenged by the mere fact that women should make proposals in the public. Here the commitment of the outsider is very important. He or she has to leave the role of the facilitator and enter into that of a conflict manager between groups or at times that of a advocate of the powerless ones.

A possibility to handle situations like this is, to start the process separately for poorer and richer people, women and men, confront the views in a second step and leave them for open discussion. The Latur earthquake rehabilitation example used this method. A discussion process of this kind can last hours or even a day. Patience and sensitivity on the facilitator's side is needed there.

Another possibility of managing conflicts, that might have enormous effects on the respective groups, is to enabling people to analyse a given situation, from the other's point of view. Meena Bilgi from AKRSP, India,

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38 Cf. examples of outsider-insider conflicts in Salas 1993; Fre 1993; Jodha/Partep 1992.
39 Cf. Fairhead 1990.
40 Cf. Huizer 1991 concerning the topic of witchcraft.

did this with men, to judge the daily routines of their wives, with interesting results.[41]

PRA in the Northern setting

RRA und PRA are approaches which have been mainly developed in Southern countries and by organizations in the South. It is increasingly apparent that such approaches and their accompanying learning programmes are equally useful for social and organizational questions in industrialized countries, as they are based on general group dynamical and pedagogical principles which have proven their usefulness worldwide in many areas (e.g. business administration and management etc.).[42] PRA-type methods have been used, e.g. for agricultural and social questions in some European countries, in the Australian landcare movement for ecological rehabilitation, and in urban neighbourhood rehabilitation programmes in Great Britain.[43] This needs to be referred.

PRA and theory

A desireable step is the implementation and utilization of innovative and unconventionally obtained knowledge from the various fields of PRA applications for the purpose of formulating social science theories like those that have been sketched in a paper by Jamieson 1985.[44] Initial steps have already been taken in this direction at Australian universities.[45] Recent efforts to link PRA to soft systems thinking[46] and organization theory, to open it to the sociolology of knowledge,[47] and to connect it with the experiential learning paradigm and action research systems[48] are promising.

41 Cf. Bilgi 1992.
42 Experience of PRA in a northern settings exist for the UK, USA, Norway, Austria, Switzerland and Germany. At the Institute for Sociocultural studies (ISOS) University of Kassel we are presently launching a project to gather and further develop the experiences with PRA in the South and community development in Germany.
43 Cf. the entries under "Austria", "Australia", "Canada", "Switzerland", "UK", "USA", Chap. V, pp. 109ff
44 Cf. Jamieson 1987.
45 Cf. on this aspect: Checkland 1981; Russell/Ison 1991.
46 Cf. Ison n.d.
47 Cf. eg. Scoones/Thompson 1993.
48 Cf. e.g. Bawden 1989; Kievelitz/Forster 1994; Pretty/Chambers 1994

Follow-Up: Participatory M&E

Adding the study of PRA methods to university curricula would have the advantage, that more study capacity and time be devoted to the follow-up effects of PRA missions. The capacity of PRA itself to support participatory M&E is getting more attention. PRA-evaluation studies on the relative success of PRA-processes[49] or approaches where local people themselves monitor their process[50] already exist.

PRA can, with its sensitive set of instruments geared to the attitudes, capacities and knowledge of local people, contribute to strengthening a self-sustaining, autonomous development process. It can also be specifically employed to thwart such tendencies:[51] the better the action and decision patterns and the more precisely the real power structures and decision-makers of a group are known, the easier it is for outsiders to carry out their intentions against the will of the insiders. The responsibility of the investigators increases with the suitability of the tools employed. PRA is such a tool!

From methodology to process: Towards the institutionalization of PRA into organizational settings

A review of PRA literature shows that much of the case-studies on PRA are directly written field reports of PRA-training workshops, designed to train participants in rationals, methodology and instruments of the approach. The experiences with workshops, that let a great impression on the participants, but did not change anything in projects or programmes, led to intensified efforts, to integrating PRA-workshops into a whole process of institutional or organizational development.

A discussion between four experienced PRA practitioners last year saw at least four points to be crucial for this:

49 Cf. e.g. Varkevisser et al. 1993 (RRA); Pretty/Thompson/Kiara 1994.
50 Cf. e.g. Enfants du monde 1993; Shah/Shah 1994 (for training).
51 Cf. e.g. Jonson 1991 on the political context of PRA.

step	Exploratory Pre-study	Short Workshops	Study visits	Village Contract	Pra-Field Workshop	Feed Back Exhibition	Post-Training Action Plans
content	understanding context	on behaviour & attitudes	collaboration seeking through local GO's/NGO's (BOA)	Community/Group evening on hopes, expectations, contents & focus of field workshop	interactive learning experience analysis, planning	in town to present the proposals to officials	to ensure 'transfer' of experience into every-day work

Networking
HIGH-LEVEL SUPPORT ALLIANCE

encouraging core groups to spread

"SCALING UP"

from local to regional level

ORGANIZATIONAL DEVELOPMENT PROOCESS

- redefining roles for
  professionals
- redefining
  strategies
  for organizations

deepening

widening

TOWARDS A SUSTAINABLE LEARNING PARADIGM

Figure 11: Possible steps of a PRA process within organizational settings

- a prestudy period of exploratory action (to get acquainted with the field);
- feedback sessions with rural people presenting their results to officials in the capital city (policy addressing);
- support of the PRA-trainees within their own institutions (networking and seeking high level support);
- redifining roles of professionals and redefining structures and strategies of the organizations (institutionalizing the process).

An outline of such a process could contain the following steps:

1. Prestudy (to get acquainted with the field);

2. short workshops on behaviour and attitudes with interested participants of different organizations;

3. fund raising (external agency);

4. seeking collaboration through local (GO/NGO-)organizations, prepared to integrate the rationals of PRA into their projects/programmes;

5. contacting appropriate village settings;

6. contracting with people (hopes and expectations as expressed in a first village meeting or in a discussion with village officials);

7. either looking for existing village institutions to provide for the follow-up of the process before it starts, or facilitating the formation of village institutions and training village analysts who develop expertise in appraisal, planning, implementation and M&E.[52];

8. field training workshops together with villagers and participants of the introductory "behaviour and attitudes"-workshop (participatory analysis and planning);

9. feed-back sessions in the town with contracted villagers to present their proposals to officials;

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52 Cf. Shah/Shah 1994. Scoones/Thompson instead state: "Rather than create new local institutions, that recreate hierarchy and development rhetoric of the 'project', work with existing groupings (village networks based on kinship, gender, affinal or other common interest ties" (1993:18).

10. development of post training action plans to ensure the transfer of participants' experience into the everyday work within their organizations. [53];

11. encouraging supporting core groups to spread (networking, lateral linkages/high level support seeking);

12. scaling up of the process from local to regional level.

How much time does the whole process take until you reach the last step of "scaling up"? In a case, where process consultation of this kind was put into practice within an GO-setting, the contracted consultants advised, not to expand too quickly after the first positive results and to try and adapt three to five years (!) with examples, before implementing the approach for a whole region.[54]

Taken seriously, PRA gradually affects the whole organizational culture. There is, unfortunately some evidence that the installment of PRA-networks within hierarchical structures awakens the immune mechanism of the organization. PRA-discussion circles - once labelled by their TOT-colleagues - easily are sorted out before they get to a critical mass. Local nongovernmental organizations therefore have certain advantages when it comes to the adaption of their structures to a more participatory mode. [55]

Participatory Appraisal (PRA), Land-Use Planning and 'Scaling Up'

Sustainable land-use has become one of the important topics in both Northern and Southern countries over the last decade, and the approach of land-use planning has concurrently gained wider recognition in the development debate in recent years. Land-use planning can be understood as a process of taking decisions in order to achieve a sustainable, environmentally compatible, socially desirable and economically viable form of utilizing land. It should be dialogue-oriented and aimed at finding ways of reconciling the interests of all concerned and affected parties.

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53 Cf. P. Shah 1994.
54 Cf. Pretty /Thompson/Kiara 1994; for other examles of scaling up: National Irrigation Admin., Philippines, experiences aslo in Vietnam and India (J. Pretty, personal comm.).
55 Cf. Thomas-Slayter 1992. ActionAid would be a good example for that.

In other words, when promoting sustainable land-use planning the main focus is to set in motion processes that will lead to improved decision-making and reaching of a consensus on the use and promotion of privately, communally or state-owned land. Main issues involved are:

- optimally utilize existing natural potentials in a sustainable manner;

- reach agreements on restrictions for land utilization where there is a risk that it could be overused or jeopardize other areas (e.g. when a catchment areas is afflicted by erosion problems); and

- arrive at decisions between competing interests (e.g. farmers and pastoralists).

As a rule, different levels of aggregation can be addressed, ranging from the household level to the community or local group (e.g. nomadic herders) and the region (e.g. a watershed, or a regional market system) up to the national and international level (e.g. climate change).

Experience gained in the areas of environmental protection and sustainable resource management has shown that the local level constitutes a major area of resource management, since it is there where crucial decisions are taken in favour of, or against, sustainable land use. Thus, in order to promote sustainable land use it is advisable for projects and programs to conduct activities at this level; it is usually insufficient to concentrate on regional planning questions or regional/national policy situations only for improving land use. PRA has proven particularly effective as an entry point into local level land use planning, as it supports a common view on the resource situation, and helps to open up public debates on necessary action. Next to other analytical RRA and PRA "tools", maps and models, produced in a participatory fashion, can be a particularly useful basis for coming to publicly accepted decisions on changed land use or land conservation practices. Alternatively, it is also quite feasible to make aerial photographs which are publicly analyzed the starting point for participatory land use planning, as has been demonstrated in projects supported by GTZ in Burkina Faso (GTZ 1992 b).

One question of great importance with regard to land-use issues has to do with so-called scaling up: how can the results of local land-use planning

efforts be utilized at a level above the community, thus also permitting larger-scale decisions to be taken? Where PRA is concerned, this involves two problems. One is how to spread the effects of participatory appraisals over a whole region, taking into consideration the implications regarding compilation and integration of results, organization of PRAs, quality control, costs etc. The other issue is how to deal with conflicting land-use interests on a scale spanning more than one village, e.g. in the case of farmer-pastoralists debates on land access, within the scope of participatory approaches.

The discussion on these issues has so far come to the following preliminary conclusions:

On the one hand, the process of participatory land use planning, from PRA to evaluation of activities, needs to be developed in such a way that it can be carried out by local organizations more cost-effectively - without sacrificing quality - than initial pilot appraisals. Chambers has recently described several possibilities for a lateral spread effects of PRA by means of NGO's (Chambers 1993 a, b; 1992). Another possibility is the regional spread through the commitment of the respective governmental institution(s) in charge. While there is still limited evidence for such forms of 'bureaucratic reorientation', the case of the Kenyan catchment approach to Soil and Water Conservation, mainly supported by the Ministry of Agriculture and the District Administration over the past five years, in a PRA mode with the support of IIED, is a hopeful example (Pretty/Thompson/Kiara 1994).

On the other hand, it is important to learn as much as possible from pilot appraisals conducted at the local level, so that the political decision-making process can take account of important conditions and associated problems at the national or regional level. This primarily involves questions of rights to land and/or utilization of resources which quite often pose major obstacles to the introduction of sustainable land-use practices. Projects at the regional and local levels can help identifying problems and trying out possible solutions on a pilot basis, thus paving the way for national or regional reforms. Positive examples of this kind of 'scaling up' to the level of policy reform, stem from Tanzania (Johansson/Hoben 1992), where pastoral land legislation was influenced by information from local PRA's, as well as from Nepal, where an RRA "squad" regularly provides qualitative data from local communities in preparation of national policies in the agriculture and health sectors (Gill 1992, 1994).

8. Areas for future action

Pretty and Chambers (1993) recently outlined three areas, where substantial change could lead to a new learning paradigm and sustainable development of which PRA would be part of:

The claim for new learning approaches and environments

Professsionals who are confronted with local complexity and diversity in their extension work have to move from a teaching to a learning mode. Institutions who train professionals will have to provide "creative learning environments", conditions in which learning can take place through experience, open equal interacting and through personal exploration and experimentation (Pretty 1994*:5) with the help of participatory approaches and methods.

The claim for new institutional settings

To encourage open learning environments, the whole institution has to shift towards participatory methodes and decentralised, lean management structures with flexible, self-empowered and autonomous project teams, who are able to deliver their services and respond according to expressed needs of a given local setting. In short, this would be the outline of a "learning organization".

The claim for new roles for outsider professionals

Given this there are new roles for outsider professionals to assume for the future:

- Convenor for groups;
- catalyst and consultant to stimulate, support and advise;
- facilitator of farmer's own analysis;
- searcher and supplier for materials and practices for farmers to try;
- tour operator to enable farmers to learn from one another (farmer back to farmer).

"New methodologies for partnership, dialogue, participatory analysis and sharing; new learning environments for professionals and rural people to develop capacities; and new institutional environments" (Pretty 1994:6f) are the areas for future action. The most promising results for sustainable development are to expect, when all three work together. If you view the three areas as connected circles, the most sustainable solutions lie in the overlapping central sector:
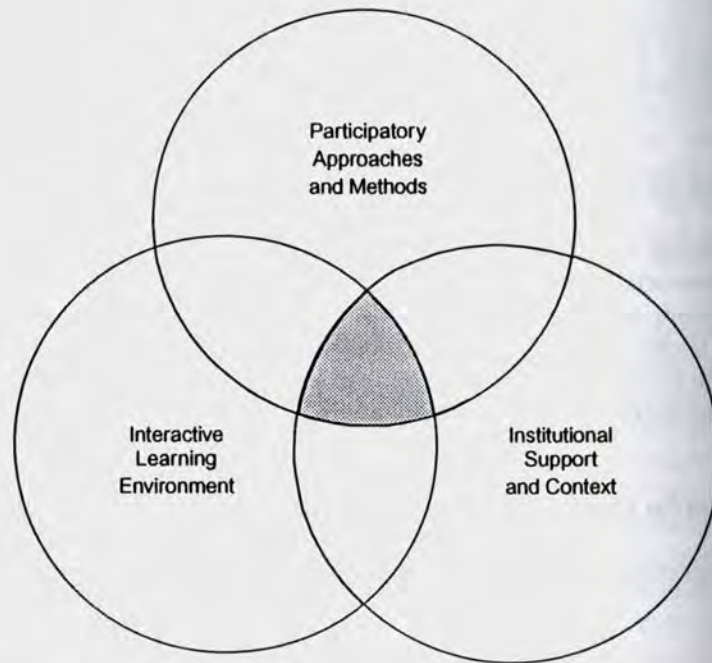
Figure 12: Conceptual Framework for a New Learning Paradigm
(Pretty/ Chambers 1993)

II. PARTICIPATORY APPRAISAL (PRA) IN THE PROJECT CYCLE

In the previous chapter, PRA was depicted as an approach with the aid of which participation can be improved when planning and implementing development projects. With the enormous flexibility that it grants for analyzing different problem areas and conflicts, PRA is a highly effective instrument for putting the ideal of participation into practice.

The various methods of RRA and PRA, which are presented in the next two chapters, can be employed in various stages of the preparation and implementation of programs and projects:

1 The appraisal and project preparation phase, which endeavors to analyze and define the core problem that a project is intended to help overcome.

2 The implementation phase, during which project activities are carried out. It is particularly important to utilize PRA methods at the beginning of a project or program, when the necessary flexibility to concretice project concepts and to focus activities on the needs and interests of the local population, still exists.

3 The evaluation phase, which can be considered to include both internal project monitoring and external evaluation.

PRA methods not only lend themselves well to being incorporated into these phases of the project cycle, but can also be combined with the GTZ instruments for project management, such as objectives-oriented project planning (ZOPP), the monitoring system, and project progress review. It can contribute to raising the quality of these instruments where participation of target groups in the course of the project cycle is concerned.

1 RRA and PRA in appraisal and project preparation

In July 1992 a new procedure for project identification and planning was introduced at the German Ministry for Economic Cooperation and the GTZ. With the aid of this modified procedure, it is now possible to assess project proposals submitted by a partner institution more flexibly than was the case in the past. The main alternatives are:

● Conventional project appraisal, usually lasting several weeks.

● Provision of advice to a partner institution for development of an appropriate project concept and formulation of an application for assistance.

● An open orientation phase with intensive situational analysis and elaboration of a more comprehensive project concept.

In all of these cases RRA and PRA methods can be used to good advantage to derive a better understanding of the problem situation. More open, exploratory RRA/PRAs are particularly helpful. An orientation phase lasting six to twelve months provides an ideal situation for conducting an RRA that takes a "heuristic" approach. For example, the predominating agroecosystems of a region can be defined and described, or an initial overview of the shortcomings of the public health-care system can be derived.

When advising a partner institution, "Rapid Organizational Appraisal" (ROA, or RR) can be employed in order to determine its most important weaknesses in connection with public or private services. For example, such a procedure could be used to reveal the structural and financial obstacles to decentralization and strengthening of local governments. This in turn could lead to a project or program focusing on advise for and development of local organizations. "Topical RRAs or PRAs" are useful in such cases, in other words appraisals that are precisely focused on individual aspects of a later project concept, leading to participatory elaboration of that concept.

In cases where there is considerable lack of clarity about the future realization of a project, it might be advisable to utilize an RRA approach rather than opt for a PRA process which might not be sustained if a project will not be realized. However in cases where project cooperation seems already almost certain, a PRA approach, which will most likely establish equitable working relations and which can stimultate self-help and empowerment, might be the best option.

However, in all cases where a PRA approach is taken as a first step it should be made clear to the local population/organization that, regardless of a future project cooperation, a PRA process of self-analysis can help the people to improve their "claim-making capacities" vis-a-vis the local administration.

2 PRA in the implementation phase

In the various stages of project implementation, the entire diversity of RRA/PRA methods can be used: either alternatively to more conventional and often more problematic methods like "baseline surveys" or socioeconomic studies; or as an additional step, like when using an RRA to focus a farming system approach (cf. Nagel et al. 1989).

Another aspect is the use of PRAs within the scope of planning and monitoring. The shortcomings of objectives-oriented project planning (ZOPP) with regard to involvement of local people have become more apparent in recent years (cf. Kohnert/Preuß/Sauer 1992). The same weaknesses apply to the monitoring process, and examples of participatory monitoring and evaluation are still rare. In both cases, PRA can be useful for allowing local people and/or local organizations to express their views and to influence decision-making. The PRA toolbox (see Chapter IV) includes a repertoire of different kinds of events that can be held for participatory planning and conflict resolution, the results of which can in turn be dealt with in official ZOPP workshops. In the same way, in recent years special methods have been developed to permit the involvement of target groups in actual monitoring of project activities.[56] For instance self-help organizations and NGOs can be encouraged to critically review the quality of their own work and their functional problems.[57]

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56 Cf. Douet/Lecomte 1988; Gohl 1992.
57 Cf. Stephens 1988; Enfants du Monde 1993.

3 PRA in the evaluation phase

In connection with evaluations, PRA methods can lead quickly to an intimate understanding of problems; at the same time, they are able to stimulate the participation of local people and organizations. It is even possible to conduct a Rapid Participatory Evaluation focusing on certain problems within the limited time available for a project progress review, carried out by part of the team of evaluators reinforced by local counterparts and representatives of the target group (cf. Rugh 1985).

Another possibility is for a PRA to be initiated by a project itself immediately prior to the arrival of an evaluation team, both to serve as a self-evaluation and to generate information as inputs for the BMZ or GTZ team.

In all of these cases, PRA can have a very positive institutional side-effect: it can give decision-makers and project executing personal a better understanding of the social reality of the project or program region. It is therefore always a good idea to involve such political decision-makers or project managers in conducting PRAs. In this way, such an appraisal can function as an "Exposure Program" for policy makers, administrators and foreign consultants.[58]

It is important to observe a few practical rules when using PRAs in the project cycle. To begin with, the question of the topical focus of an RRA or PRA has crucial importance. A few basic principles can be formulated for this: every RRA or PRA requires a precise problem focus. In other words, the main issue should always be clear, and should concentrate on a sensibly delimited area, also in the case of appraisals with an heuristic orientation. Particularly in connection with large and complex projects or programs, they should focus on one or two major areas. Similar statements apply to RRA/PRA approaches for monitoring purposes.

The terms of reference for such activities should include the following elements:

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58 Cf. Chambers 1992c, 1991b; Kochendörfer-Lucius/Osner 1991.

- An explanation of the reasons an institution has for conducting an RRA or PRA.
- A clear definition of the problem and the objective being pursued by the RRA or PRA.
- A description of the focus of the appraisal (e.g. regional or social) as well as of the tasks, work areas, etc. that the institution in question will not carry out and may therefore affect the possible results of an RRA/PRA (e.g. "no project measures will be implemented in the field of material infrastructure").
- Stipulation of the main areas to be dealt with by the appraisal (this does not mean, however, that the appraisal is exclusively limited to these areas).
- Stipulation of the methodological focuses of the RRA or PRA (e.g. ranking techniques, surveys of indigenous knowledge, play enactments, etc.).
- Stipulation of the groups of persons to be included in the team (e.g. representatives of local government, local merchants, etc.).
- The final product that should have been achieved by the end of the RRA or PRA (e.g. identification of agroecological zones; final report and training manual for PRA, initiation of a counseling process for participatory learning etc.).

Another important consideration when conducting RRAs and PRAs touches upon the frequently asked question: "are specialists needed?" The first chapter has shown that professional knowledge (including expertise on social processes, counselling, mediation etc.) as well as participatory attitudes are indeed required to conduct RRAs and PRAs in a professional manner. It is therefore indispensable in most cases to include at least one specialist to help draw up the plans for carrying out the PRA within its specific project context, and to get those involved started, usually in the form of a focused training program lasting several days. There are now a number of organizations whose services can be taken advantage of for such cases and in most regions of the world, qualified regional training personnel or consultants are available. Most of the best international

trainers come from the South. The lists in Chapter V are intended to be of assistance in locating consultants. Some of the persons working in the planning and development divisions of the GTZ can also be helpful for this; their names are also listed in Chapter V. However, sociological institutions and NGOs in many countries already have RRA/PRA specialists of their own. We recommend that you (also) get in touch with these. In addition, in connection with PRA training and implementation events, the opportunity should always be utilized to teach local consultants how to apply such methods.

The third consideration has to do with the question of costs. Although a relatively large number of country-specific and problem-specific variables must be taken into account here, it is nevertheless possible to make a few statements about the general magnitude of expenditures involved for a PRA training event or one analytical step of PRA over a period of about 2-3- weeks. It should be borne in mind here that PRA is not understood as a one - time event, but as a participatory process with periodical times of intensive analysis, planning, and/or monitoring. The table on the next page summarizes the principal cost categories that must be budgeted for one such analytical planning event, as well as the personnel and materials you must normally expect to need. It can be readily seen from this that a good RRA/PRA also has its price (in terms of both money and time). As a rule, however, the costs are significantly lower than those of a conventional survey. Moreover, investments in a good PRA are also justified by the gains in resolving problems and conflicts, and because participation is promoted by it.

Overview of the cost categories of a PRA

Cost category	Quantity
1. Staff training	
* (Foreign) trainer	2 weeks x 1-2 persons
* Staff time	1 week x 6-8 persons
* Accommodation	Rent for one week
* Food	21 meals x 8-10 persons
* Training material	10 copied binders
* Transport costs for on-site training	Gasoline
2. Preparation	
* Staff time	
* Material	2-3 weeks x 1-2 persons
	Material cost
3. Implementation of the PRA	
* Staff time	
* Supervision time	1.5 weeks x 8 persons
* Transport costs	1 week
* Accommodations	Gasoline
* Food	Rent for 1.5 weeks
* Material (flipcharts, cardboard, paper, cards, etc.)	30 meals x 8 persons
* Auxiliary services (cook or the like)	Material costs
	1.5 weeks x local wage rate
4. Follow-up costs	
* Reports	
	1 week x 8-10 persons +
	1 week x 1-2 persons
* Presentations (on-site; administration)	2 days x 3 persons
* Copies of report	Printing costs

This table is based on experience gained within the scope of a social stratification survey in the Philippines (Kievelitz 1992a). RRAs were carried out in a total of 12 scattered settlements, for the most part concurrently. As a result, the element of supervision took on particularly great importance. In order to avoid placing a burden on the local population in this extremely impoverished region, each team rented a small room in the village and purchased its own food, hiring a woman from the village to cook their meals.

III. VARIOUS METHODOLOGICAL APPROACHES USED IN ACTUAL PRACTICE

1. The shared basis - a historical survey

The methods briefly sketched in the following illustrate differences, especially regarding the degree of participation involved and the techniques employed. However, all of them build upon the same basic ideas and share a common historical background, the main strands of which are summarized here so that the various approaches can be placed in their proper contexts.

Technology transfer within the scope of the Green Revolution in the 1960s was a failure in heterogeneous, poorly developed areas having little in the way of natural resources. It was on the basis of this experience that the concept of "Farming Systems Research" (FSR) evolved.[59] FSR took the existing farming systems, with all of their complex problems and constraints imposed by local conditions, as the starting point for initiating a desired technological development. In doing so, FSR made use of classical survey methods with their enormous production of data and the approach of developing technological innovations "for farmers". Scientists like Paul Richards (1985) and Roland Bunch (1985), by contrast, demonstrated that farmers in the developing countries are in fact quite innovative within the scope of their subsistence-level activities, and actually do experiment on their fields. Thereafter, farmers were increasingly involved in the study process within the scope of "on-farm-trials". "Farmer First"[60] was the model of this participatory focus within FSR.[61] Scientists and farmers were now working together within the framework of "participatory technology development" (PTD) to find appropriate solutions to technological problems, drawing upon indigenous knowledge and the existing abilities of farmers.[62] The "Beyond farmer first approach" developed recently[63] places the "Farmer

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59 Cf. Gilbert et al. 1980; Shaner et al. 1982; FSSP 1987.
60 Cf. Chambers/Pacey/Thrupp 1989.
61 Cf. also Farrington 1988; Farrington/Martin 1988; Ashby 1991.
62 PTD plays, for example, a central role in the work of GATT and ELEIA; Cf. ELEIA 1988.
63 Cf. Scoones/Thompson 1993.

first approach" in light of recent research concerning the social construction of knowledge and relations of power. Formal scientific and local rural knowledge are now regarded as bodies of knowledge representing contrasting multiple realities, produced within particular settings.

A similar development can be traced in the field of "action research". Action research is a "learning-by-doing" approach developed by social psychologists during the 1940s. In it, the researcher learns about group or transformational processes by actively taking part in everyday activities of the studied person or intentionally attempts to influence them. In Germany, "Action Research" (Aktionsforschung) became known during the late 1960s in connection with Paolo Feire's educational approach for promoting political awareness among suppressed and disadvantaged groups in Latin America.[64] In general, Participatory Action Research (PAR) supports self-determined, autonomous processes of change[65] and, for example, has constituted an important pillar of the "Peoples Participation Program" of the FAO since the early 1980s.[66]

Anthropology has also had a major impact on the development of PRA approaches: with its holistic field research methods based on participatory observation and geared towards lengthy study periods, with its important distinction between internal and external views, and with the emphasis it places on culturally determined fields of perception, local classification schemes, and tapping the wealth of indigenous traditions and indigenous knowledge.[67]

The ethnographic approach has mainly found expression in the "Rapid Assessment Procedures" (RAP)[68] and so-called "Rapid Ethnographic Assessment" (REA).[69] But the "Beneficiary Assessment" approach of the World Bank[70] and the "Community Baseline Studies"[71] and the

"Consultation and Popular Participation Approach"[72] of the Development Studies Unit (DSU) in Sweden are also in line with this tradition.

The immediate ancestors of PRA were the approach of Agroecosystem Analysis (AEA), which was developed by Conway et al. in Thailand and played a major role in developing its various instruments (transects, informal mapping, diagramming, innovation assessment), and of course Rapid Rural Appraisal (RRA), which in actual practice overlaps with AEA. These approaches can still be used effectively today, especially when it is essential to take quick decisions, e.g. when dealing with natural disasters or within the scope of refugee aid. The PALM methods of MYRADA in India are largely identical with PRA.[73]

64 Cf. Freire 1968.
65 Cf. e.g. Zamosc 1986; Whyte 1991.
66 Cf. Huizer 1989.
67 Cf. e.g. Brokensha/Warren/Werner 1980.
68 Cf. Scrimshaw/Hurtado 1988.
69 Cf. Bentley et al. 1988.
70 Cf. Salmen 1987, 1982.
71 Cf. Freudenthal/Narrowe 1991.

72 Cf. Rudqvist 1991.
73 Cf. RRA Notes 13 and 14.

Defects of Green Revolution and TOT

Figure 13: Methods and development lines based directly or indirectly on PRA
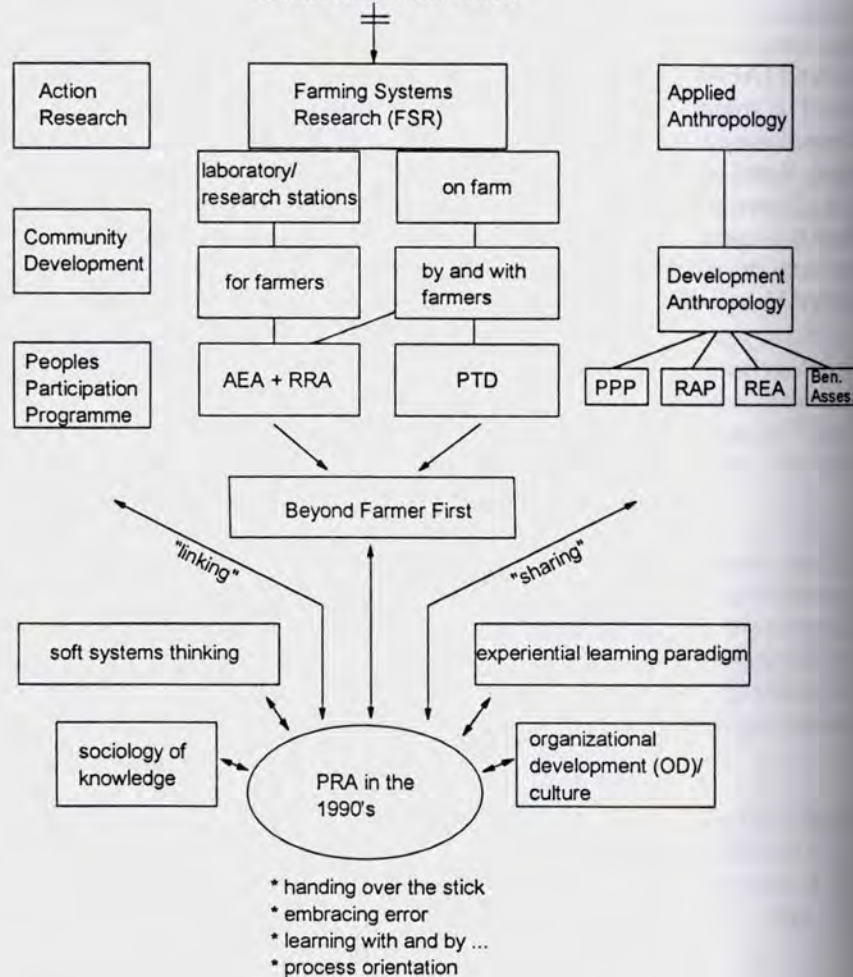
RRA - Rapid Rural Appraisal
PPP - Popular Participation Programme (DSU)
RAP - Rapid Assessment Procedure (WHO)
REA - Rapid Ethnographic Assessment
Ben. Asses. - Beneficiary Assessment (World Bank)

2. Survey of important approaches

2.1 RAPID RURAL APPRAISAL (RRA)

Other designations:

Low-cost diagnostic methods; Rapid Appraisal for Rural Development; Diagnostic rapide d'exploitations agricoles; diagnostic rapide en milieu rural (french); Diagnostico rural rapido (DRR) and Sondeo rapido (SRR, span.)

Agroecosystem Analysis; related procedures:

Diagnosis and Design; Sondeo; Rapid (Rural) Reconnaissance; Rapid Organizational Appraisal

Origin/developed by:

Various individuals and organizations; was initiated in 1979 at the IDS in Sussex and had its breakthrough at the 1985 KKU conference in Thailand. RRA had already been used for several years at the FSR center there.

Areas in which it has been successfully applied:

Natural resource management, fisheries, education, health care and nutrition, local markets. It has meanwhile been successfully used in all known application areas.

Project phase:

All (from project identification to evaluation)

Procedure:

See Chapter I, Introduction, sections 3 and 4

Special features:

The focus is on teamwork (in combinations that change daily, an interdisciplinary team carries on-site studies within a manageable time frame) and the key concepts of RRA (triangulation, learning from the community, optimal ignorance and appropriate imprecision, appropriate instruments, on-site analysis and presentation).

Actors:

Primarily the interdisciplinary RRA team

Tools/techniques:

Analysis of sources; direct observation, transects; semi-structured interviews; maps; seasonal calendars; block, bar, flow and Venn diagrams; decision trees; ascertainment of innovative needs and potentials using matrices; etc.

Assessment:

Suitable for evaluating, diagnosing and identifying rural situations, particularly when quick and effective action is called for (e.g. within the scope of emergency aid); also suitable for gaining an initial orientation in a project region, for analyzing a special problem, or for focusing on certain issues, as well as within the scope of monitoring and evaluation. Still compatible with "top-down" management; less suited for participatory community development programs.

Publications:

a) **Theoretical/basic:** Chambers 1980; KKU 1987; McCracken/ Pretty/ Conway 1988; Chambers/Pacey/Thrupp 1989; Grandstaff/ Messerschmidt 1992; Gross/Gross 1993; Longhurst 1981

b) **Practical/case studies:** KKU 1987; RRA Notes 1-16ff

Contacts:

IDS, England; KKU, Thailand (see list of "Useful network addresses")

2.2 DIAGNOSIS AND DESIGN

Origin/developed by:

ICRAF (International Center for Research on Agroforestry), Kenya

Areas in which it has been successfully applied:

Agroforestry, watershed management

Project phase:

Above all for design of projects and programs

Procedure:

Multiphase set of diagnostic (informal) surveys and planning discussions at the village and organizational levels for the purposes of analyzing problems and existing knowledge and developing an action plan for the community and foresters

Special features:

The diagnostic surveys are intended to capture information about problems and development possibilities, reveal functional relationships, and determine the best possible and most socially compatible long-term combination of indigenous and exotic plant species (sustainability!).

Actors:

Local groups and experts in cooperation

Tools/techniques:

"Minimum data sets"; flow diagrams dealing with socioeconomic influences and dependencies on natural resources (trees, water)

Assessment:

"Diagnosis and Design" is essentially an adaptation of the "Farming Systems Research and Extension" approach to integrated agroforestry.

Publications:

a) **Theoretical/basic:** Raintree/Young 1983; Raintree 1986, 1987

b) **Practical case studies:** ditto; ICRAF 1983

Contacts:

ICRAF, Kenya (see list of "Useful network addresses")

2.3 AGROECOSYSTEM ANALYSIS (AEA)

Related approaches:

Rapid Rural Appraisal

Origin/developed by:

Conway et al. in the early 1980s in Northern Pakistan within the scope of the Aga Khan Rural Support Program (AKRSP)

Areas in which it has been successfully applied:

All levels of agrarian ecosystems, i.e. systems in which human beings intervene in order to derive food or other products (rice and wheat fields, farms, villages, valleys, catchments, districts, countries, global regions, world). The preferred study level is that of the village.

Project phase:

In the orientation and planning phase

Procedure:

First: study of sources (secondary data review), then: field residence, resulting in a series of agroecosystem diagrams. Time: 2-3 days per village. A set of identified key issues leads to additional studies or development activities.

Special features:

An agroecosystem is created and shaped by the combination and interreaction of ecological and socioeconomic processes. Analysis of the diagrams gives rise to a table of the most important factors influencing the "system properties". The system properties are: 1) productivity (net output of an evaluated product), 2) stability of productivity under normal conditions, 3) sustainability of productivity under stress, and 4) equitable distribution of production and the resources and inputs required to achieve it.

Actors:

Study team

Tools/techniques:

Analysis of sources; direct observation; diagrams (maps, transects, seasonal calendars, graphics, block, bar, flow and Venn diagrams); decision trees; identification of innovative potentials and needs by means of matrices

Assessment:

AEA is suitable during the orientation and/or planning phase of a project for capturing as many of the natural and human factors influencing an agrosystem as possible. It can also be used to identify areas characterized by conflicts or cooperation and dependencies.

Publications:

a) Theoretical/basic: Conway 1985, 1986; Conway/Pretty/McCracken 1987

b) Practical/case studies: Conway 1987, 1989; Conway (Sajise 1986; Conway/McCracken/Pretty 1988

Contacts:

AKRSP Pakistan (see list of "Useful network addresses")

Conway (University of Sussex, Brighton, UK)

2.4 SONDEO

Origin/developed by:

P. E. Hildebrand and Sergio Ruano during the late 1970s at the Instituto de Ciencia y Tecnologia Agrícolas (ICTA) in Guatemala

Related approaches:

"Samuhik Brahman process" (Group trek, Mathema/Galt 1988)

Areas in which it has been successfully applied:

Development of agricultural technology (within the scope of Farming Systems Research)

Project phase:

Project identification and planning phase

Procedure:

Six to ten days in the field in changing groups (3-10 representatives of various disciplines). Informal interviews; no questionnaires. Repetitive processes; joint talks after each half- or whole-day sequence of interviews. Discussion and determination of further study areas

Special features:

The multidisciplinary approach and the changing teams make it possible to get the most out of the knowledge and viewpoints of the participants. Sondeo can be applied to many areas, and is particularly well-suited for focusing formal surveys on specific issues. It also lends itself well to letting a team gain an initial orientation in a project region.

Actors:

Study team

Tools/techniques:

Interviews of individuals and small groups, transects, field walks

Assessment:

An approach that is well-suited for heuristic tasks (identification of problems and issues) in connection with agricultural production systems

Publications:

a) **Theoretical/basic:** Hildebrand 1981, 1986; Hildebrand/Ruano 1982

b) **Practical/case studies:** Galt/Al-Kadi 1992; Hildebrand/Ruano 1982; Guerra 1992; Xon Cordova 1992

Contacts:

ICTA, Guatemala (see list "Useful network addresses")

2.5 RAPID ORGANIZATIONAL APPRAISAL (ROA)

Similar approaches:

Rapid Reconnaisance Approach (RR)

Origin/developed by:

George Honadle of Development Alternatives Inc. (DAI), for USAID staff to provide them with a means of conducting studies on the organizational and administrative structures at the target-group level (irrigation associations) and project level (integrated rural development projects). This approach was termed RR. In recent years different authors tried to combine these original ideas with methodological experiences from RRA and PRA.

Areas in which it has been successfully applied:

Analysis of organizational culture (in companies, administrative units, grass-roots organizations) and organizational landscapes (groups of organizations)

Project phase:

Appraisal and planning phase; as an introduction to organizational consultation and organizational development

Procedure:

An interdisciplinary team of researchers (4-8 persons; business economists, psychologists, sociologists, ethnologists) conducts studies lasting 2-4 weeks in small face-to-face groups, taking a heuristic approach to gaining an understanding of their organizational culture (with an emphasis on capturing qualitative data). Triangulation: 1) review and analysis of existing written sources; 2) interviews of groups and key informants on a confidential basis; 3) direct observation. Especially steps 2 and 3 can be creatively combined with several of the classic RRA or PRA methods like transect walks (through the organization), social mapping, focus group discussions or the like.

Special features:

In addition to triangulation and teamwork (see RRA), another important instrument is discreet measurement of key indicators (in other words, the investigator applies certain criteria in order to draw conclusions about phenomena that cannot be directly studied). Intensive dialogue with the co-workers is also important (in RR using the "Informal Delphi Technique" (group discussions to reach a consensus)). RR is particularly well-suited for studying organizational structures.

Actors:

The team members

Tools/techniques:

Measurement of key indicators ("proxy indicators"); direct observation; interpretation of sources; dialogue (with groups or key informants)

Assessment:

RR and ROA appear to be particularly well-suited when the resources that can be drawn upon for analysis are limited and all that is wished is to collect initial data about the culture of an organization. Within the GTZ, work is currently under way to draw up a set of terms of reference for ROA missions and profiles of the requirements that ROA team members must meat; an effort is also being made to develop the basic concept further for providing advice for organizational development.

Publications:

a) Theoretical/basic: Honadle 1979; Kievelitz/Reineke 1992, 1992a; Rosen 1991; Zimmermann/Sülzer 1993

b) Practical/case studies: Ford et al. 1992; Honadle 1979

Contacts:

Uwe Kievelitz (GTZ, Division 425); Rolf-Dieter Reineke (GTZ, Division 403); Michael Schönhuth (ISOS, University of Kassel); M. Howes (IDS Sussex)

2.6 PARTICIPATORY RAPID/RELAXED/RURAL APPRAISAL (PRA)

Other designations:

Méthode Accéleré de Recherche Participative (MARP); Diagnóstico Rural (Rápido) Participativo

Similar approaches:

Participatory Learning Methods (PALM); Participatory Assessment, Monitoring and Evaluation (PAME)

Origin/developed by:

Developed concurrently around 1988 at the National Environment Secretariat (NES) in Kenya and the Aga Khan Rural Support Program in India

Areas in which it has been successfully applied:

Successfully used in all known application areas

Project phase:

All: from participatory projects identification (Participatory Assessment) to participatory evaluation

Procedure:

Cf. Chapter I, Introduction, sections 6-7

Special features:

PRA concentrates on the interests of local communities and on strengthening their decision-making abilities while promoting changes in the attitudes of outsiders regarding their role in the study process (i.e. only serving as a catalyst for development and no longer as its engineer). The focus is on learning from, with and through community members and their self-determined development.

Actors:

The participating groups of an urban neighborhood or village together with externals/outsiders

Tools/techniques:

All of the techniques mentioned in this brochure (see Chapter IV) with the active involvement of the participating groups

Assessment:

PRA approaches can be best implemented within the scope of community-oriented participatory programs or projects. Owing to their flexibility, participatory nature and open-endedness, they yield the most promising results within organizational structures that are not hindered by top-down management. NGO's therefore have been the prime users of PRA up to date. Recently, this trend begins to change significantly.

See sections 7 and 8 of the introduction for more detailed information on the potentials, limitations and future of PRA.

Publications:

a) Theoretical/basic: Chambers 1992, 1992b; NES 1989, 1991; Theis/Grady 1991

b) Practical/case studies: Guijt 1992; Guijt/Neejes 1992; Heaver 1992; Mascarenhas et al. 1991; NES 1991; Theis/Grady 1991

Contacts:

"PRA" (IDS), Brighton; MYRADA, Bangalore; OUTREACH, Bangalore; IIED, London

2.7 PARTICIPATORY LEARNING METHODS (PALM)

Origin/developed by:

MYRADA in Bangalore, India around 1989 (a nongovernmental organization that has been active in rural development since 1968 in some 2000 villages in Southern India)

Similar approaches

LEARN (Local Environmental Analysis and the Assessment of Rural Needs: Nijforti et al. 1989; Biesbruick/Guijt 1990)

Approach development (Scheuermeier 1988)

Areas in which it has been successfully applied:

Participatory planning of natural resource development at the village level and in urban neighborhoods; participatory project management and integrated rural development programs dealing with health care, poverty alleviation and the situation of women and children; rural credit management; customs and coping with local conflicts; participatory impact monitoring and assessment of development programs.

Project phase:

Project identification and monitoring

Procedure:

Some externals take part in a PALM training workshop, which typically last 5 days: day 1 (introductory studies): history of the village, site plan, infrastructure; day 2 (simple exploratory studies together with all village residents willing to participate): resources, living situation, trends, preferences; day 3 (complex exploratory studies): seasonal dependencies; income distribution using ranking techniques; classes and cast stratification, conflicts, their reasons and effects, etc.; day 4 (integration): joint listing of priorities; determination of responsibilities for activities; day 5 (conclusion): operational plan, documentation

Special features:

PALM uses the key RRA concepts, but emphasizes participation by village residents and the function of the externals as catalysts and partners for self-determined development. The aim of PALM is to go beyond "appraisal" and arrive at participatory analysis and a common understanding of rural conditions. The focus is on learning from and with local people. In order to avoid stimulating false expectations, PALM training workshops are only held at locations where development projects are already being implemented or are being planned.

Actors:

All village residents willing to participate actively, plus the externals

Tools/techniques:

Above all, geographical and historical transects, participatory mapping; seasonality diagramming, ranking and scoring, as well as the other well-known RRA/PRA techniques[74]

Assessment:

With 25-30 externals, the PALM village studies involve a relatively large team. In this form, PALM is tailored to conditions in India. The number of aspects dealt with and the depth of the studies, which are conducted within a short space of time, mean that the externals must be familiar with local conditions and sociocultural structures.

Publications:

a) Theoretical/basic: Mascarenhas 1992

b) Practical/case studies: Mascarenhas et al. 1991

Contacts:

MYRADA, Bangalore (see list of "Useful network addresses")

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74   A summary Cf. Mascarenhas et al. 1991.

2.8   PARTICIPATORY ACTION RESEARCH (PAR)

Similar approaches:

Action Research; Aktionsforschung

Ah-hah a new approach to popular education (GATT-Fly 1983)

Theatre for Development

Origin/developed by:

Action Research developed as an academic discipline of social psychology in the United States during the late 1940s. Action Research became known as a result of Paolo Freire's educational approach to raising the political awareness of disadvantaged groups in Latin America. Participatory Action Research was developed in social science circles in Latin America, and has been used since the early 1980s in the FAO's Peoples' Participation Programs.

Areas in which it has been successfully applied:

Community development and rural organizations, adult education; above all, for conscientization and mobilization in grass-root movements

Project phase:

In the project identification phase; for advising local groups in connection with the planning and implementation of concrete self-supporting small-scale projects, regarding the identification of conflicting local interests and structural contradictions and in connection with the political feasibility of articulated needs; as PMOE, also in the community process of "Monitoring and Evaluation"

Procedure:

PRA is a "learning-by-doing" approach in which the investigator places his/her knowledge at the disposal of local groups. The following is expected of an action researcher: awareness of one's own limitations and value orientation; willingness to empathize with and share in the problems and needs of local people; knowledge of their history and political and economic situation. The action researcher then engages in a

dialog with the local groups, and works together with them in small discussion groups to search for solutions to their problems.

Special features:

Studies of dependencies at the local, national and international levels are intended to reveal solutions for disadvantaged groups to enable them to become more independent and able to negotiate when dealing with various strategic groups.

Actors:

Local population groups together with the action researchers

Tools/techniques:

Evaluation of official and locally available sources; social stratification techniques; group interviews; strategies for resolving conflicts

Assessment:

PRA has proved to be particularly useful for joint efforts to identify and come to terms with group conflicts with an aim to mobilizing local groups to further their own interests.

Publications:

a) **Theoretical/basic:** Fals-Borda/Rahman 1991; Hoskins 1986; Huizer 1989; Rahman 1984 (ed.); SEARCH 1992 Whyte 1991

b) **Practical/case studies:** Dunn/McMillan 1991; Huizer 1989; Lamerink/Mazariegos (n.d.); Zamosc 1986

Contacts:

The East/West Centre, Hawaii; FAO, Rome; G. Huizer, Catholic University, NL-6500 Nijmewegen, Netherlands

2.9 PARTICIPATORY ASSESSMENT, MONITORING AND EVALUATION (PAME)

Origin/developed by:

FAO (Rome)/SIDA (Stockholm) in 1988 within the scope of their "Forests, Trees and People Participation Programme"

Similar approaches:

Participatory Monitoring and Ongoing Evaluation (PMOE), Process Documentation Research (de los Reyes 1985; Volante 1985)

Areas in which it has been successfully applied:

Agroforestry at the community level; has also been modified for numerous other areas (health care, irrigation system management, fisheries, nutritional issues, etc.).

Project phase:

Best when applied at the beginning of a project/program (participatory assessment), but can also be used for participatory capture of baseline data and for Participatory Monitoring, as well as at the end of project phases (Participatory Evaluation)

Procedure:

The concept of PAME involves three components, with the aim of achieving participation in projects: new ideas (externals encourage a community to find their own answers), new methods (a joint process of identifying relevant information), and new techniques (no technique is applied unless it has first been modified to be appropriate to local conditions).

Special features:

The goal of the overall process is to largely shift decision-making powers to the local population during all project phases. PAME quite consciously refrains from trying to achieve complete agreement within the "target" group, instead working to strengthen the willingness of existing groups to cooperate. FAO/SIDA have developed a generously illustrated educational "user manual" that is suited for use by everyone involved in

projects (both insiders and outsiders) who wants to jointly implement the PAME approach (see below).

Actors:

The decision-makers in PAME are the "insiders", in other words those who belong to the local community. The external project employees ("outsider") encourage and support them as they are able.

Tools/techniques:

The manual, which is entitled "The community's toolbox" (FAO 1990), offers a selection of 23 techniques many of whom are also used in PRA approaches. However, they have been modified in such a way that they can all be applied by the local community itself.

Assessment:

By means of its practical manual with a vivid depiction of ideas, methods and techniques, PAME offers an excellent starting point for all practitioners who would like to incorporate the PRA idea into their work. The simplicity and accessibility of the portrayal and its manual-like character, however, should not be allowed to create the erroneous impression that PAME can be initiated without the assistance of individuals trained in participatory techniques.

Publications:

a) **Theoretical/basic:** FAO 1990; Rugh 1985 (self evaluation)

b) **Practical/case studies:** ditto; Enfants du Monde 1993; Pretty/ Thompson/Kiara 1994; Shah/Shah 1994

Contacts (Resource Persons):

Marilyn Hoskins/Augusta Molnar/Carla Hogan-Rufelds; FAO/SIDA Forest, Trees and People Programme

2.10 ETHNOGRAPHIC APPROACHES

Related approaches:

Beneficiary Assessment (BA): World Bank

Rapid Assessment Procedure (RAP): UNICEF

Community Baseline Studies (CBS): DSU, Sweden

Rapid Ethnographic Assessment (REA): John Hopkins University

Origin/developed by:

The Beneficiary Assessment Approach was described in 1987 by L.F. Salmen in a World Bank publication (Salmen 1987), and is currently in its practical trial phase (Salmen 1992, no date). The "Rapid Assessment Procedure" was developed within the scope of UNICEF's food security and basic health care programs (Scrimshaw/Hurtado 1988), and was rapidly disseminated by way of the universities of the United Nations. The Development Studies Unit (DSU) of the University of Stockholm is working with the "Community Baseline Studies" approach within the scope with its government consultancy work (Freudenthal/Narrowe 1991). "Rapid Ethnographic Assessment" constitutes an approach developed under the auspices of John Hopkins University in Baltimore; it involves a number of methods for performing quick ethnographic surveys that were first applied in the "Dietary Management of Diarrhea" (DMD) program, an interdisciplinary research project in Peru and Nigeria.[75]

Areas in which it has been successfully applied:

BA and CBS in all areas in which it is know to have been used at the "community" level; REA and RAP primarily in the fields of basic health care and food security

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75 Bentley et al. 1988.

Project phase:

Predominantly in the early phases of projects; they yield the best results when social structures and processes as well as sociocultural framework conditions (the sociocultural setting) form the focus of a study, e.g. within the scope of so-called "baseline studies".

Procedure:

What all of these approaches have in common is the ethnographic method of "participatory observation" during lengthy time periods to gain an understanding and insights into the complex nature of local social structures. The importance of teamwork and the degree of participation vary among the individual approaches (e.g. there is no explicitly team-oriented approach in BA and CBS).

Special features:

The ethnographic approaches provide a considerably better-founded and more complete picture of local relationships than normal PRA/RRA techniques. Being conducted over lengthy time periods with involvement of the externals in the everyday life of the local people, it is possible to closely study processes and interactions and gain an understanding of everyday structures, even those that only manifest themselves below the surface. Ethnographic approaches increase the ability of both sides to engage in intercultural communication when they are used for cultural translation and mediation work.

Actors:

Outsiders that take part in the everyday live of local groups during a certain period of time

Tools/techniques:

Study of sources; use of key indicators; semi-structured interviews with key informants and groups; direct observation with records being kept of observations; ranking techniques; participatory observation (self-reflecting involvement in everyday activities and events); documentation of material, social, and legal conditions and family ties; daily field notes

Assessment:

Ethnographic approaches are excellently suited when there is sufficient time, i.e. when quick results and the gaining of an orientation in order to take action do not have priority. In such cases, they are the best alternative. Within their study focus, they penetrate, illuminate and access cultural traditions and local knowledge more extensively. They can help to reveal structures that would otherwise remain undetected since they are not talked about (e.g. concealed power structures, the role of women, "invisible" social security systems, functional survival strategies, differing systems of perception, factors related to local traditions that influence explanations and decisions by applying their own, unique, logic, etc.). The advantages of these approaches are due to the fact that the outsider concentrates on listening and therefore learning about local conditions ("listen to the people"). As a rule, their weaknesses are a lack of team orientation (no different points of view and backgrounds) and only indirect participation by local people (in the final analysis, the researcher retains the responsibility for making decisions on collecting and evaluating information). For the most part, the investigator does not produce any results until after his/her time in the field has come to an end. Ethnographic methods appear to be less well suited when quick action is called for (with the exception of REA).

Publications:

a) Theoretical/basic: BA: Salmen 1987, 1992, no date (1992); CBS: Freudenthal/Narrowe 1991; Rudqvist 1991; REA: Bentley et al. 1988; RAP: Scrimshaw/Hurtado 1988

b) Practical/case studies: BA: Salmen 1987; CBS: Freudenthal/Narrowe 1991; REA: Bentley et al. 1988; RAP: Scrimshaw/Hurtado 1988; Scrimshaw/Gleason 1992

Contacts:

BA: see List of institutions (Chapter V) "World Bank"; CBS: ibid., "DSU"; REA: Margret E. Bentley, Department of International Health, John Hopkins University, School of Public Health and Gygiene, Baltimore, Maryland, U.S.A.; RAP: see List of institutions (videos, Scrimshaw/Hurtado)

IV. The RRA/PRA "TOOLBOX": A SELECTION OF THE MOST IMPORTANT STUDY INSTRUMENTS

1. General remarks

A practice shared by all of the institutions that have used RRA and PRA approaches in their work in recent years is careful testing of existing techniques, modification of them for new areas of application, and introduction of new instruments when required. As a result of this activity, tried-and-tested instruments exist alongside others that have not been tested as thoroughly; there are generally applicable techniques and those whose utility is restricted to certain local conditions. In the following, techniques are presented that have either been used extensively for some time in various parts of the world in different cultural contexts, or which because of their variability lend themselves to a broad range of different applications. Before proceeding, however, the following must be said:

1. Only the most important characteristics of each technique are described. If you wish to use them in your own work, you should consult the indicated literature first.

2. The use of individual RRA/PRA study techniques does not automatically turn a study into a PRA. The techniques are aids for capturing and analyzing information of relevance to action in a participatory process. It is only within the scope of the key concepts discussed in the introduction that they become integral components of PRA.

3. Sequencing: PRA is an approach, which combines a number of participation-enhancing methods in order to initiate and support a process of (self-)analysis and planning. The effective combination of methods in a stepwise procedure is called sequencing. It is very important to consider the specific sequence of methods carefully at the beginning of each RRA or PRA in order to foster the analytic power and group-dynamics of the approach. An example of a complex sequencing of methods for a PRA in Pakistan is given in the following figure:
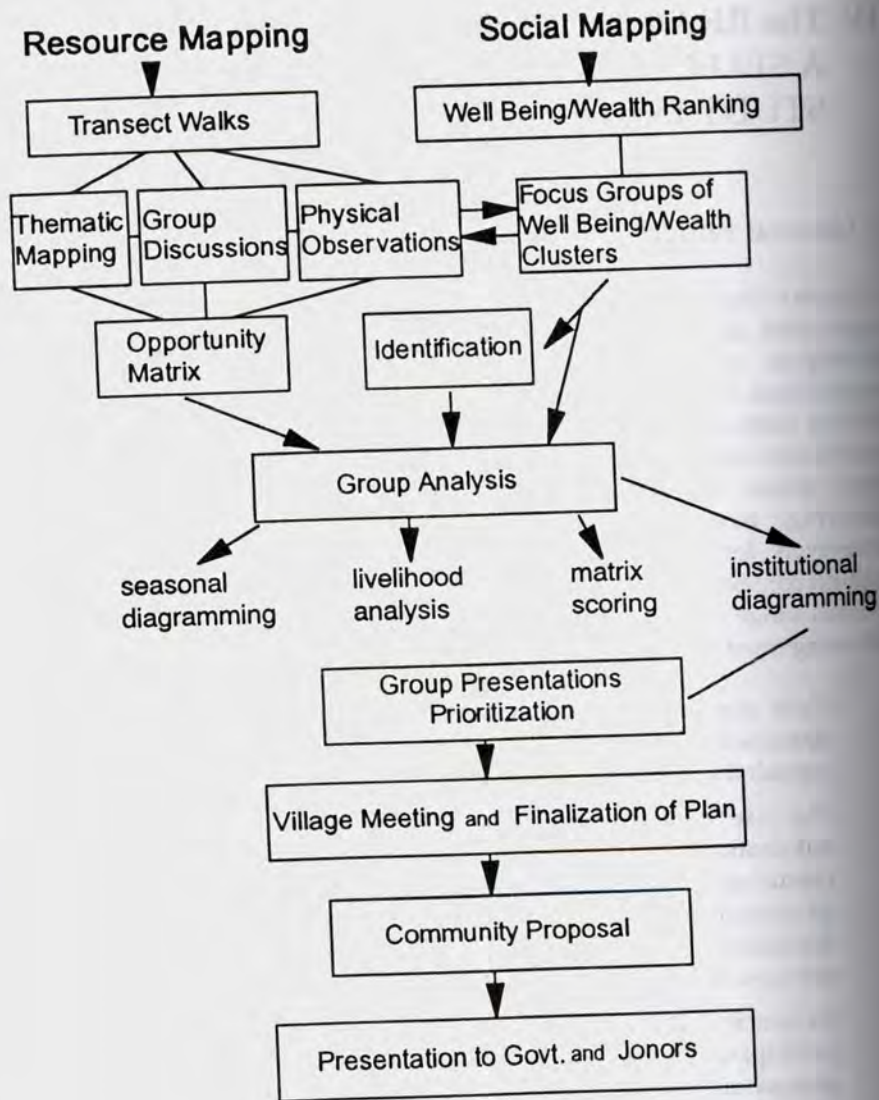
Resource Mapping

Social Mapping

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Resource Mapping                    Social Mapping
        │                                 │
        ▼                                 ▼
┌──────────────────┐          ┌───────────────────────┐
│  Transect Walks  │          │ Well Being/Wealth Ranking │
└──────────────────┘          └───────────────────────┘
   │    │    │                           │
   ▼    ▼    ▼                           ▼
┌────────┬──────────┬──────────┐  ┌──────────────────┐
│Thematic│  Group   │ Physical │  │ Focus Groups of  │
│Mapping │Discussions│Observations│→│ Well Being/Wealth │
│        │          │          │  │ Clusters         │
└────────┴──────────┴──────────┘  └──────────────────┘
        │                                 │
        ▼                                 ▼
┌──────────────┐              ┌──────────────────┐
│ Opportunity  │              │  Identification  │
│   Matrix     │              └──────────────────┘
└──────────────┘                      │
        │                             ▼
        └────────┐   ┌────────────────┘
                 ▼   ▼
          ┌──────────────────┐
          │  Group Analysis  │
          └──────────────────┘
          │      │      │      │
          ▼      ▼      ▼      ▼
     seasonal  livelihood  matrix  institutional
   diagramming  analysis  scoring  diagramming

          ┌───────────────────────┐
          │  Group Presentations  │
          │    Prioritization     │
          └───────────────────────┘
                    │
                    ▼
          ┌──────────────────────────────────┐
          │ Village Meeting and Finalization of Plan │
          └──────────────────────────────────┘
                    │
                    ▼
          ┌──────────────────────┐
          │  Community Proposal  │
          └──────────────────────┘
                    │
                    ▼
          ┌──────────────────────────────┐
          │ Presentation to Govt. and Jonors │
          └──────────────────────────────┘
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Figure 14: Parmesh Shah: A participatory appraisal and planning sequence

2. Tried-and-proven RRA/PRA study instruments

0. The best PRA instrument: Handing over the stick!

Seek good rapport with the people. Start by what people know. Learn to unlearn. Encourage local people eliciting and using their own criteria and categories for analysis and planning. Embrace and learn from errrors. Have confidence that they can do it. Think of the three pillars of PRA: Sit down, listen, don't interrupt. Try, not to impose your values, categories or common sense onto settings you have not enough knowledge of.

Point in time:

At any time in your professional life

1. Secondary data review (review of secondary sources)

These include:

Project documents, scientific documents, the results of earlier studies, annual reports, statistics, topographic and geomorphological maps, satellite images and other official and unofficial documents, as well as travel guides, newspaper articles and other "contemporary" documents

Procedure:

Secondary sources are already existing, published or unpublished, data about the object under study. The documents should be reviewed and evaluated at government agencies, universities, libraries, development agencies, marketing societies, etc. The information obtained should be collected in a smaller set of documents including written summaries, copies of maps and photographs that can be used by the RRA/PRA team to get its initial bearings when beginning their work in the field.

Point in time:

The documentation should be compiled by the team leaders prior to traveling to the study location, but after the basic study topics have been

discussed and agreed upon with the commissioning institution and the affected groups.

Hint:

Don't spend too much time studying secondary sources. You are going into the field to learn from the people, not to teach them.

Aerial photographs brought into the village serve as a basis for participatory analysis with farmer to identify soil types, land tenure and the like. They are also a precious gift for people, if you leave them there.

Helpful literature:

General: McCracken/Pretty/Conway 1988; on evaluation of satellite images: Carson 1987; tips on training: Theis/Grady 1991, p. 47

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2. Identification of key areas and use of key indicators (proxy indicators; unobtrusive measurement)

Procedure:

RRA and PRA make use of unobtrusive qualitative measurement instruments in order to operationalize important phenomena. With the aid of key questions, the central problems and study areas are identified. Afterwards a study plan is drawn up that also stipulates certain study techniques for individual study areas. Criteria are defined for phenomena that cannot be observed directly (e.g. aspects related to political and social structures): the relationship between subsistence and cash crop production, access to resources (equipment, land ownership/leasing of land), family size and composition. Some of these criteria, e.g. standard of living, can be "measured" using indicators that are simple to observe: the living situation by noting the condition of house roofs, building materials used and/or geographical location (urban neighborhood, marginal or central site). In participatory approaches, these assessments are made by means of so-called "ranking/rating/sorting" techniques by local groups themselves in the form of games (see the section dealing with these techniques).

Local indicators come to the fore with participatory approaches: What are local people's criteria for living standard, well-being etc, and how do they differ from those, we assume for them?

Point in time:

Before travelling to the field and during the initial stage after arrival in order to identify key study areas or certain groups in the village or neighborhood (e.g. the "neediest"), or to make social phenomena "observable"

Hints:

The proper use of key indicators requires extensive practice. Training is absolutely essential. Often it is better to start with the eliciting of "local indicators", i.e. local people's criteria (see above).

Helpful literature:

Rudqvist 1991, p. 7; Theis/Grady 1991

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3. Semistructured interviews (non standardized, less-structured, nondirective interviews; guided interviewing)

These include:

- Community interviews
- Group interviews (household/group interviews and discussions; focus group sessions)
- Key informant interviews
- Individual interviews (Individual respondents)
- Sequencing and chains of interviews

Procedure:

Semistructured interviews constitute the single most important instrument in RRA, and also play an important role in PRA. This type of interview does not have a predefined structure. The starting point is merely a check-list containing 10-15 key questions. New question

complexes can arise from the answers given by the interviewed persons, who may also ask their own questions. Topics are dealt with as they arise.

Point in time:

During all phases of the fieldwork, beginning as soon as the key study areas and key indicators have been established

Hints:

⚠ The interviewed persons must be carefully selected; the same applies to the place and time of the interview (it is usually best to conduct it in familiar surroundings in the house or in the fields, but not at times of day when the interview would interfere with the work routines of the interviewed person(s).

As a rule, the interviews should be conducted by at least two interviewers, with one person taking notes only. Start the talks with the traditional greetings. Introduce yourself, explain as much as necessary about the aims of the interview, the intentions of the commissioning institution and the objectives of the study. Make a point of showing that you have come in order to learn something. Start each question with something that is tangible or observable. Use these question words: who?, why?, what?, where?, when?, and how?. Use formulations like "What would happen if...?" ("key probes"): e.g. "Let's suppose that my goat enters your garden and eats your vegetables; what would you do...?"

- *Group interviews* can be performed with randomly encountered persons (at a market booth, in a coffee house...) or with systematically selected groups (on the basis of gender, age, occupation, etc.). The size of the group should be manageable (no more than 8-10 persons) so that all of its members will have a chance to say something.

- With *community interviews* all of the residents of the entire village or urban neighborhood are invited for the purpose of collecting information and ideas of relevance for the planning, implementation and evaluation of development projects.

- *"Focus group" interviews* are a special form of group interview with a specific problem "focus". Of prime importance is the

communication process, which is put into practice by following a series of simple rules (a homogeneous group of 6-10 persons free of mutual dependencies, voluntary participation, a neutral location, a neutral moderator, etc.). "Focus group" interviews are successfully used both for eliciting the attitudes and values of participants within the scope of market research and for health care and family planning, and are also used to good effect for consultancy and self-help promotion within the scope of regional rural development. Farmer-scientist focus sessions (FSFS, cf. McGrath et al. 1992) are a more two-way learning oriented communication version of focus groups.

- In *key informant interviews*, persons are interviewed who are representative or typical of certain viewpoints and/or categories (groups, positions, functions related to project activities), and who are able to provide the information required to illuminate certain issues.

  An interview sequence or chains of interviews comprises several successive interviews with persons involved in the various stages of a process (e.g. the steps along the path from producing to marketing a product); or community interviews, followed by focus group sessions and key informant interviews.

Note: To illustrate group discussion dynamics there is an easy method with which you can elicit who talks most and who talks less: Put all participants names on a piece of paper. Draw/form a circle round a name every time this person speaks up during group discussion.[76]

Helpful literature:

General: FAO 1990, p. 104; Friedrich 1986 (GTZ); Grandstaff/ Messerschmidt 1992, p. 13; Limpinuntana 1987; Pretty et al. 1992a; Rudqvist 1991, pp. 13-29. Tips on training: Theis/Grady 1991, pp. 52-60

Community interviews: Kumar 1987, 1987a; Rudqvist 1991, pp. 23-26

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76 Chambers personal comm.

Focus group interviews: Folch-Lyon/Trost 1981; Görgen 1992; Kumar 1987, p. 13ff; McGrath et al. 1992; Rudqvist 1991, pp. 18-22

Key informant interviews: Rudqvist 1991, pp. 13-17; Kumar 1987, 1989

4. Observation techniques

These include:

- Direct observation (informal observation)
- Participatory observation (participant observation)

Direct observation

Procedure:

This involves the intensive and systematic capturing of observable phenomena and processes within their natural surrounding. As a rule, the results of direct observation should be cross-checked with key informant interviews to verify their correctness. Tape recordings, cameras and notebooks are helpful aids, although they should never be used without the consent of the affected individuals. The "data" acquired in this way should be systematically ordered and presented in the form of "transects", "seasonal calendars" (see the section on this technique), etc.

Point in time:

At any time during the stay in the field - day or night!

Hints:

Direct observation must be as discrete as possible. If cameras or other equipment are taken for official events, permission must be obtained in advance and if necessary the photographs themselves approved.

Helpful literature:

Galt 1987; Honadle 1979; Rudqvist 1991, pp. 27-29. Tips on training: Theis/Grady 1991, p. 49ff

Participatory observation/do-it-yourself

Procedure:

One of the central objectives of participatory observation is to gain an understanding of and to a certain extent even to learn to share the views of a local community by taking part in its everyday activities. In ethnological research, with its holistic approach, this is typically done by individual investigators over lengthy periods of time. With respect to projects, experience gained (e.g. by DSU, Stockholm and also by the GTZ) has shown that if the investigator is familiar with the terrain then a limited study focus can yield highly promising results after just 2-3 months. The most important documentation instrument is the taking of notes every evening, recording the results of all talks, observations and impressions of each day.

Point in time:

In all project phases in which there is not an acute need for action and in which decisions are to be based on a deeper understanding of sociocultural conditions.

Hints:

Within PRA, it is best to rely on the extensive experience and "trained senses" of sociologists/ethnologists with considerable field experience. A focused field study is also useful when preparing for a PRA. The focus can be local conceptions of "wealth", "poverty", "participation", "development" or any other overall issue, where our categories might differ from that of local people.

Helpful literature:

Rudqvist 1991, pp. 37-42; Salmen 1987; Chapter III, section 2 of this brochure: "Ethnographic approaches"; on the advantages of participant observation against interviewing informants see: Bleek 1987

5. Participatory diagramming, mapping and modelling

These include:

- Transects (systematic walks through the area, resulting in cross-sectional maps)
- Seasonal calendars
- Timelines, historical profiles and time trends
- Chapati or Venn diagrams
- Decision trees
- Participatory mapping (social, health, farm, field, mobility etc.)
- 3-D Models
- Other applications

Diagrams and maps are used for planning, joint discussion and analysis of information by community members (PRA) or with the participation of outsiders (RRA). They can be made equally well with paper and pencil as with seeds, stones or sticks on the ground, and therefore figure among the most commonly used and most variable instruments available within the scope of PRA. Jointly fashioned models also give less articulate members of the community the opportunity to participate in finding solutions to problems.

Transects

(transect walks; transect analysis; cross-section mapping/drawing)
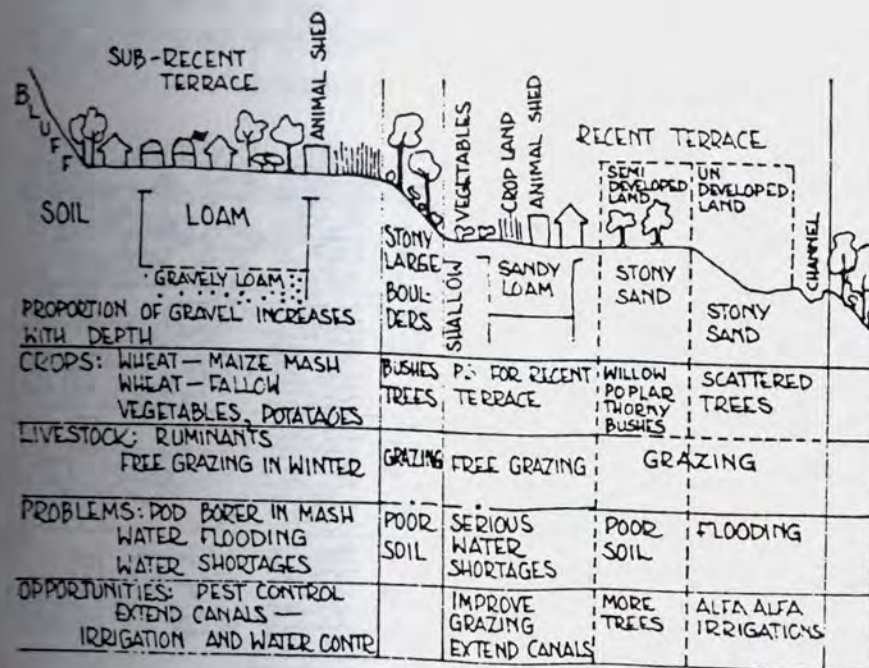
Figure 15: Transect of a village in northern Pakistan [from: Mascarenhas 1992, p. 12]

Procedure:

In RRA this is the most important technique after semistructured interviews. It is used with varying degrees of success in PRA.[77] The area under study is systematically traversed together with informants (e.g. from north to south or east to west; or from the highest to the lowest point). Everything encountered or noticed or mentioned by an informant

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77 Cf. e.g. Guijt 1992.

is discussed and recorded. Transects give rise to simple maps distinguishing different microzones/units (e.g. slope/level terrain; forest/field/village), land-use units (natural sites and vegetation, cultivated land), and their problem areas from one another (stresses, supportability, erosion proneness, etc.). On the basis of a current map prepared in this way, historical transects can also be drawn up in talks with key persons (usually older individuals) showing the situation 10, 20 or 30 years ago.
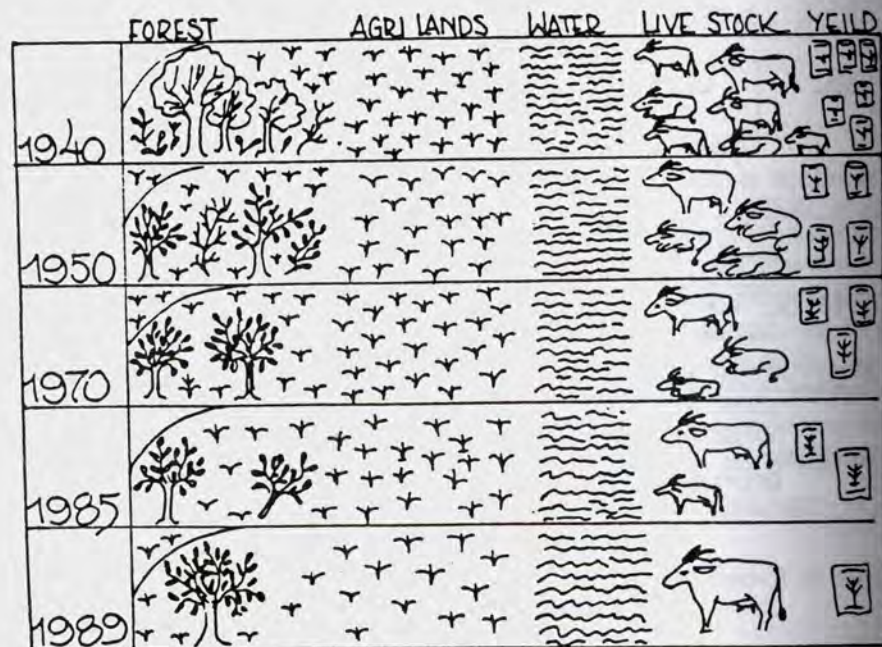

Figure 16: Historical transect drawn by residents of the village of Ardanarypure [from: Mascarenhas 1992, p. 13]

Point in time:

During the first phase of the fieldwork (followed later by historical transects)

Hints:

⚠ Transects have proven their usefulness in rural areas for gaining an initial orientation and exploring problems. In urban areas they do not reveal as much. Transect maps are intended to generalize. Excessively detailed information should be avoided. Approximate information about distances is helpful. For the designated microzones, at least answers to the following questions should be provided: soils, developed/undeveloped land, crops, problem areas, outlook/development possibilities.

Helpful literature:

Conway 1989 (diagrams); Mascarenhas 1992; tips for users: Theis/Grady 1991, pp. 56-89

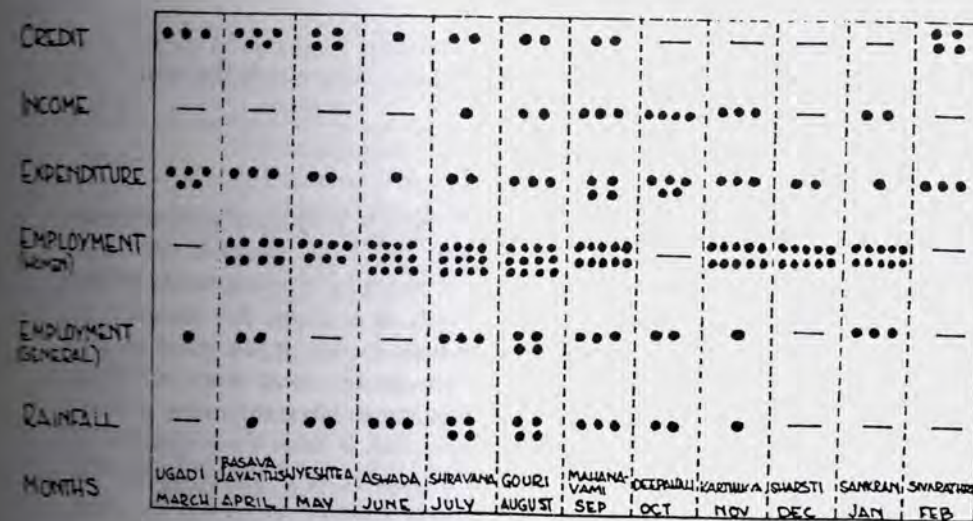## Seasonal calendars (seasonality diagramming) and livelihood analysis

Figure 17: Seasonal calendar prepared with the aid of seeds by residents Sof the village of Basapura [from: Mascarenhas 1992, p. 15]

Procedure:

Seasonal calendars are compiled on the basis of interviews and group discussions using sticks of various length, stones, seeds to visualize and create the calendar together. Relatively complex interconnections and relationships between natural seasonal cycles (rainy seasons, temperature) and their impacts on human activities are jointly depicted in simple graphics arrayed one under the other. In this way, connections between climate, the frequency of diseases afflicting human being, animals and plants, cropping sequences, the development of prices for cash crops, the labor invested each month in fieldwork, the proportion of wage labor done by men and women, etc. can be visualized.

In addition, interrelationships between relative income, expenditure, credit and debt can be visualized by this. A livelihood analysis of this kind, conducted in a *Zambian* village through a poverty assessment program, showed for example, that school fees for children were collected at the very time of the year, when relative income for the parents was lowest.[78]

Point in time:

The interviews can be started at an early stage. Afterwards the results are discussed together in the group.

Hints:

⚠ In addition to a 12- or 18-month scale (e.g. June to May or June of one year to December of the following year), also use local seasonal divisions. Enable analysts to present information numerically by using seeds, stones etc. to enable comparisons between month or seasons. For instance, in order to assess how much work is done each month, it is a good idea to ask these questions: "What month do you do the most work in? What work do you do then? What is the next-most labor-intensive month? What must be done then? What would you say, is there three-quarters as much work to be done, or only half or a quarter as much as in the first month?" Repeat this sequence for the four months in which the most work is done. Continue in the same way for the four least labor-intensive months, and then compare the four intervening months with one another.

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78   R. Chambers 1994 (personal comm.).

Compare statements made in the interviews with available statistical sources, and discuss any discrepancies discovered within the community until a consensus emerges. Do not insist that your statistics "must" be correct.

As the example from the Gaza project in Chapter I has shown, it is not always worth the effort to prepare a seasonal calendar. Like with other instruments, the usefulness of this technique depends on the specific context. In order for local people to quantify aspects themselves, the best approach is to have them place seeds, small fruits, stones, etc. on the ground. Small wooden sticks can be broken to different lengths to designate relative lengths or heights (e.g. in the form of a bar diagram).

Helpful literature:

FAO 1990, p. 103; Mascarenhas 1992, p. 15; Mascarenhas et al. 1991 (Figs. 15-20: photographs); NES 1991, pp. 35-41; user tips: Theis/Grady 1991, pp. 90-94 seasonal calendar); pp. 108ff (livelihood anlysis).

Timelines, historical profiles, time trends

Year	Events
1865	Founding of the village
1856	Building of the mosque
1931	1st great flood in the village
1940	Measles in the village
1941	1st grat circumcision (male and female)
1943	2nd great flood in the village
1949	Meningitis epidemic
1967	Building of the central mosque
1980	Conflagration in the village
	Another conflagration - 2 farms destroyed

Figure 18: Timeline of the village of Dobang Kunda, Gambia (abridged) [from: ActionAid/IIED 1992, p. 26]

Procedure:

Timelines and historical profiles are used as a simple means of visualizing key historical events and major perceived changes (e.g. with regard to resources and factors such as soil erosion, population growth, climatic changes). These historical events and the associated experiences often have a major impact on that current decisions that indigenous groups make. It is important for outsiders to take account of this knowledge and the underlying experiences if they wish to understand local decision-making processes with an aim to implementing desired activities.

Point in time

Local timelines and historical profiles should always be completed prior to discussing possible project/program activities and innovations. In participatory approaches, they have also been quite helpful as "icebreakers" in the PRA process.

Hints:

Timelines and historical profiles are developed in the course of group discussions. In connection with all events that have prompted the people to adopt changed attitudes, they should be asked about the solutions they have applied and alternative solutions discussed where these have been unsuccessful.

Helpful literature:

NES 1991, pp. 25-34

Social mapping
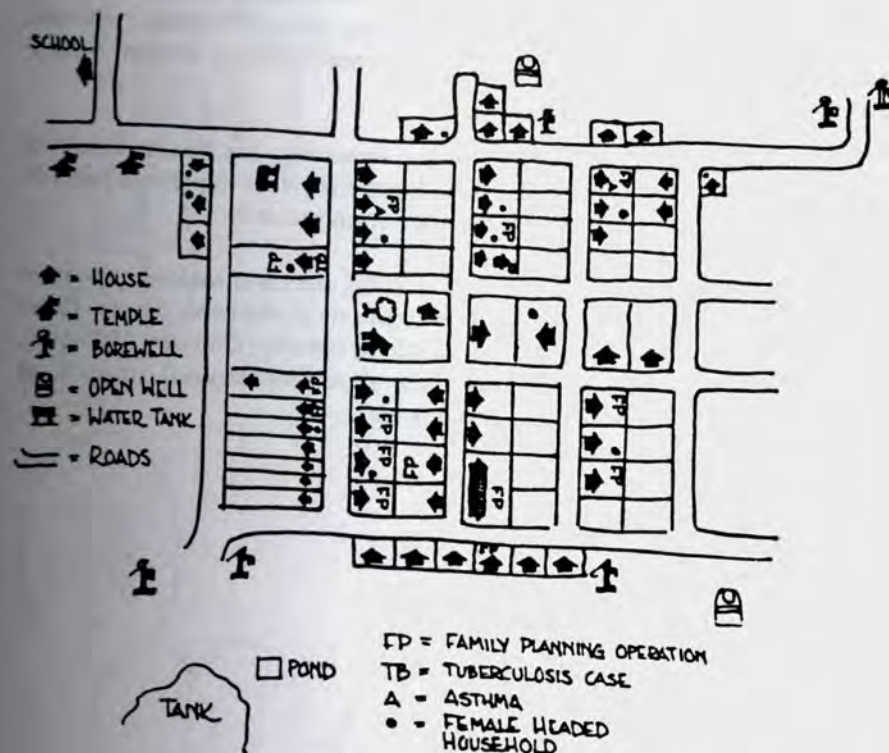
Figure 19: Social mapping; map depicting the social structure of the village of Ramenahally, drawn by village residents [from: Mascarenhas 1992, p. 14]

Procedure:

Maps showing the social structure of a village or urban neighborhood provide information about residential structures and conditions, public infrastructure (roads, utilities, water supply, etc.) and the social situation of the households (chronic diseases, malnutrition in children, incorporation in public programs, households consisting of individuals who have no family, etc.).

"Social mapping" can also include sociograms. These depict interpersonal relationships within a group. These relationships can be of a family, business or other nature. Sociograms help understand decision-making processes and mutual dependencies. In the form of village network mapping they portray formal and informal fabrics within village institutions.

Another interesting mapping technique especially for health issues is **"Body Mapping"** (cf. Cornwall 1992), diagrams which represent parts or all of the body, drawn by people on paper or on ground.

With **flow diagrams** (diagrams using arrows), decision making processes can be shown. They branch to different options at decision points. These are known as decision trees (cf. McCracken/Prettyy/Conway 1988:44ff). In the form of **impact diagrams** they show multicausal impacts of intended activities or existing dependencies.
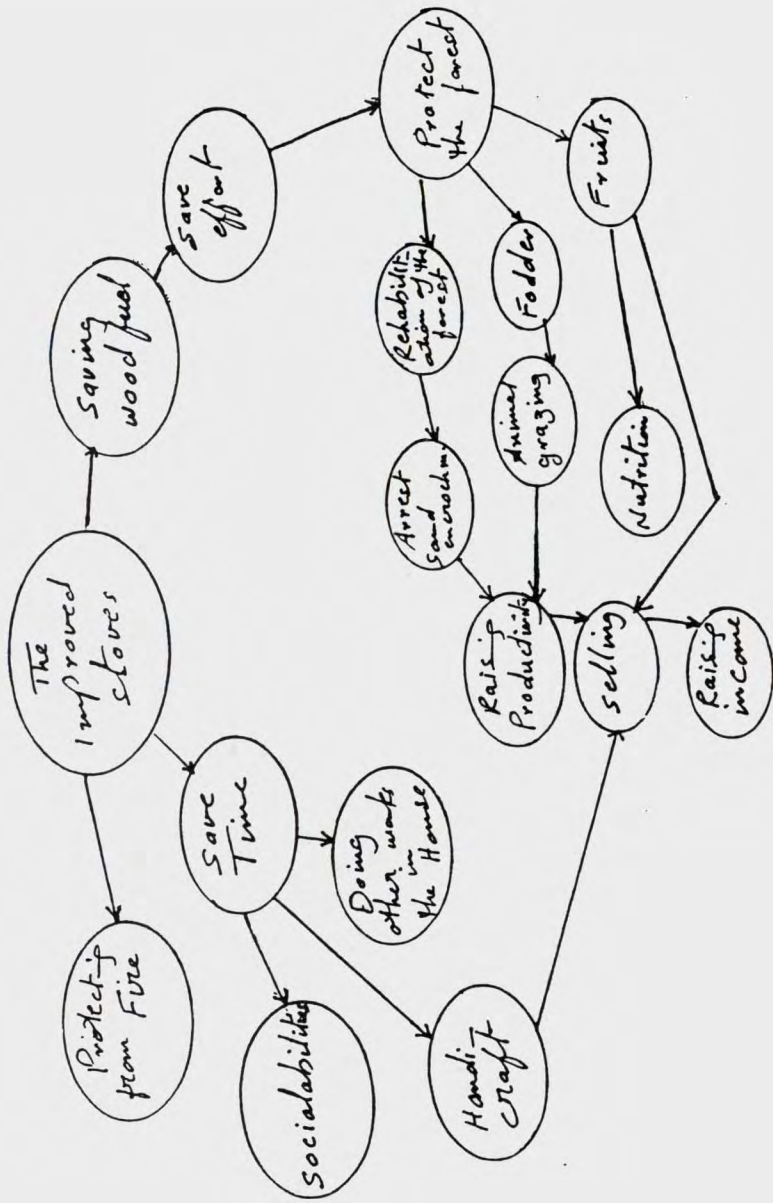
Figure 20: Impact diagram: Contribution of Improved Stoves to Raising Income in Burbur Village (* RRA Notes 19:88)

Flow diagrams can also be used after drawing natural resource maps, to depict nutrient flows and cycles.

Figure 21: Diagram to depict farm components and integrated nutrient flows on a Philippine village farm (L. Ignacio)

"Chapati" or "Venn" diagrams

In these diagrams showing intersecting sets in the form of circles of different size, the links between different key institutions and/or persons in or within communities and organizations can be represented, and thus also their importance for decision-making processes. The size of the circles depicts the relative importance attributed to them, the closeness depicts the sort of relationship (far or near), this institution has got to the group. The following examples show men's and women's view of village relationships to respective institutions. Look how different some of the key institutions are viewed on a gender scale:

Figure 22: Venn diagram depicting men's view of institutions affecting the village life, and their relative importance

Figure 23: Venn diagram depicting women's view of institutions affecting the village life, and their relative importance

Point in time and hints for users:

⚠️ Maps that provide information about the social infrastructure can be prepared at a relatively early stage since official data and what can be learned from observation are usually sufficient for this purpose. Maps depicting systems of social relationships and decision-making processes call for intimate familiarity with the local situation. To a certain extent, they also touch upon the private spheres of the affected individuals. However, although they assist the study team in acquiring a better understanding of social interactions, there are limits to how far they can be integrated into participatory approaches.

Helpful literature:

Mascarenhas/Kumar 1991; Mascarenhas 1992 (social mapping); Limpinuntana 1987, McCracken/Pretty/Conway 1988, p. 44ff (decision trees); Theis/Grady 1991, p. 112ff (flow diagrams, Venn diagrams).

Models

Procedure:

The fashioning of scale models has proven to be a particularly helpful technique for enabling community members to take part in decision-making processes that would otherwise have little or no say. A particularly successful example of the use of models is provided by Dalifort, a pilot project that was initiated in a slum in Dakkar in 1986 within the scope of a three-way dialogue involving the World Bank, the Senegalese Housing Construction Ministry, and the GTZ. In a kind of planning game involving a model of the area fashioned using "scissors, glue and paper", the residents were enabled to jointly plan cost-effective modernization of their neighborhood, take decisions about actions, and assume responsibility for the costs themselves.

Models in general can be used advantageously for the resolution of conflict issues, e.g. decision making regarding irrigation management, as people can actually envisage the consequences and implications of decisions, and can mediate alternatives. Models might be very useful early on, especially if the focus is on natural resources.
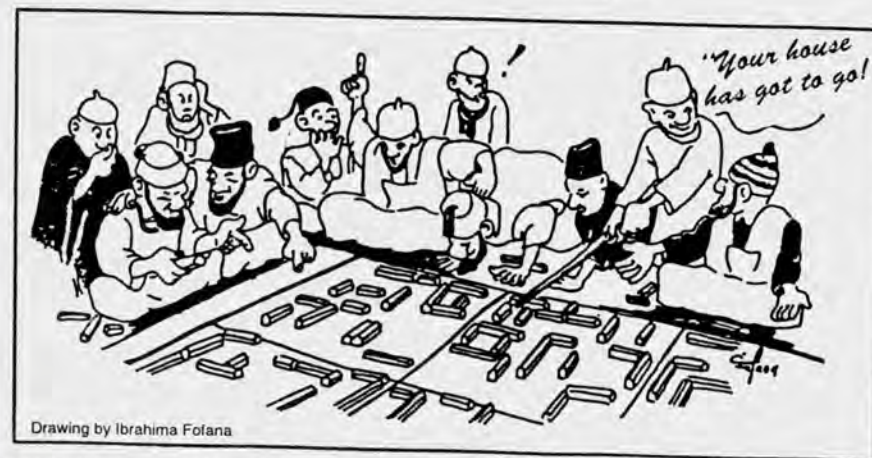

Drawing by Ibrahima Fofana

Figure 24: Participatory planning game using a self-created model
[from: E+Z 1992 (11): 15]

Point in time:

Usually in the second half or towards the end of the fieldwork. When planning of actions and changes is concerned.

Hints:

⚠ Models should not be made "too well". The models should be large enough (at least 2x3 m) and it should be possible to fashion them using very simple materials, preferably local ones. Avoid intervening in the decision-making process while the model is being prepared. Suggest that models also be made showing the situation 20, 30 or 50 years ago.

Helpful literature:

Gibson 1991; Mascarenhas/Kumar 1991; Voigt-Moritz 1991 (on the Dalifort project; cf. also his article in E+Z 33 (1992) 11)

Other applications

In addition to the examples mentioned, new forms of diagrams are continuously emerging. By way of example, readers are referred to the "mobility map" presented in Chapter I (Gaza project; Theis/Grady 1991, pp. 83-85) and the "daily routine diagram" (Theis/Grady 1991, pp. 103-106), as well as analytical diagrams dealing with sources of livelihood etc. (e.g. monthly expenditures, sources of income, household members, possession of farm animals).[79]

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6. Ranking/Rating/Scoring/ SortingTechniques

These include:

- Ranking of preferences
- Ranking by pairs/complex ranking
- Matrix ranking/ matrix scoring
- "Wealth"/Well-being ranking/social stratification

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79 Theis/Grady 1991, pp. 107-11.

Ranking/scoring techniques are analytical instruments with the aid of which important problems and preferences can be qualitatively studied; they can also be used to capture "hard data" such as the incomes or standard of living of individual community members. By asking them to perform a relative assessment of evaluation ("B earns more than I do, while C earns less than I but more than D, etc.") it is possible to dispense with direct questions like "How much do you earn?". Ranking results supplement interviews in group discussions. They are also useful in connection with decision-making processes in the group (which of the available options is most important to us, which is the second most important, etc.). Ranking techniques have been widely used in cognitive ethnology.[80]

Point in time:

Ranking on the use of resources (preferred crops, trees) or activities in all phases; rankings of persons (social data) should be delayed until the second half of the stay in the field.

Hints:

⚠ Let the people proceed in their own way when establishing rankings. Make use of local measurement units and names. See if you can make use of local games (e.g. board games). Be patient and don't force the pace. The playful nature of these techniques should always be emphasized.

Ranking of preferences

Procedure:

Preference rankings can be used to quickly identify problem areas and the preferences of individuals and compare them with the assessments of others. Whether the aim is to rank favorite foods or the principle problems afflicting agricultural production, the preferences can be identified by assigning scores (e.g. when comparing 5 different foods or problems: 5 = favorite/most important, 1 = least delicious/least important).

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80 Cf. Weller, Romney 1988.

Hints:

⚠️ The units or objects to be ranked (not exceeding the number of five or six) can be most effectively collected by means of a brainstorming session, or by first interviewing key informants. Afterwards, each individual or the group as a whole performs the rankings. With process-oriented topics, it can be interesting to repeat the rankings at the end of your stay in the field and discuss any changes that have occurred in the views of the participants.

Maxwell and Bart (1993:7) pointed out some of the methodological problems of ranking: "Ranking results should not be used to make inferences about the size of relative preferences nor is it permissible to sum scores across or columns to obtain an overall ranking (1993:7). In the last years there has therefore been strong argument to shift from fixed ranking techniques (1=best, 5=worst; or 5=most important, 1=least important, cf. Fig*16) to open scoring, allowing an open ended number of points distributed per column or row, or "restricted scoring" allowing a fixed number of points per criterion. This helps to avoid the common mistake adding up 'ordinal data' in which ratios between any two intervals are not known.

EXAMPLE OF PREFERENCE RANKING

CONSTRAINTS TO AGRICULTURAL PRODUCTION

Problem	Respondents A	B	C	D	E	F	Total Score	Ranking
Drought	5	5	3	5	4	5	27	a
Pests	4	3	5	4	5	4	25	b
Weeds	3	4	4	1	3	3	18	c
Costs of inputs	2	1	2	2	2	2	11	d
Labor shortage	1	2	1	3	1	1	9	e

5 = most important, 1 = least important

Figure 25: Preference ranking of problems in agricultural production
[from: Theis/Grady 1991, p. 69]

Ranking by pairs/complex ranking

In ranking by pairs, a maximum of five or six selected types are noted on cards and shown to an interviewed subject two at a time (e.g. asking the question "Which do you prefer" or "Which is a bigger problem") until all of the possible combinations have been gone through. The subject is also requested to explain his or her decisions in a single sentence. The results are entered into a table. The hints for the seasonal calendar (5b) contain an example of complex rating.
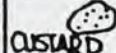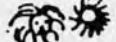
Hints:

⚠️ When using real objects instead of cards (e.g. fruit), make sure that they all exhibit the same level of quality. Present the results of the table evaluation to the interviewed persons, and let them check and if necessary correct your results.

Matrix ranking/Matrix scoring

In matrix ranking a class of objects (e.g. different tree species) is evaluated by applying different criteria (suitable as firewood, for building, because of its fruits, as medicine, because of the shade it provides, etc.) and assigned a value between 5 ("well-suited") and 1 ("poorly suited"). In matrix scoring the weighing of criteria is not fixed to an exact amount (1-5) but is left open to the analyst. Matrix scoring has now largely taken over from matrix ranking.

	COBBLER	TAMARIND	LEAF PLATE	CUSTARD APPLE	BRICK MAKING	FIREWOOD	PONGEMEA
TIME consu.	● ● ●	● ● ●	● ● ●	● ● ●	● ● ● ● ●	● ● ● ●	● ●
PROFITS	● ● ● ● ●	● ● ● ●	● ● ●	● ● ● ● ●	● ● ● ●	● ●	●
LABOUR	●	—	●	—	● ● ● ●	●	●
BANK LOAN	● ●	—	—	—	—	—	—
HARD WORK	● ●	● ●	● ●	● ● ●	● ● ● ●	● ● ● ●	● ●

STAFF: ELIAS
SURESH
PADMOVATH

PARTICIPARTS: P. LAKSHMINARAYANA
KRISHNAPPA
GANGULAMANA
GANGOJAMANA

Figure 26: Matrix scoring performed by women from a village in Northern Pakistan
by applying criteria they had previously selected themselves
[from: Mascarenhas 1992, p. 16]

Wealth/Well-being ranking/social stratification

Example of Wealth Ranking Scoring Table

Household Number	Scorer A	B	C	D	Average Score	Wealth Groups
39	20	20	11	25	19	richest
33	20	20	11	25	19	
14	20	20	22	25	21	a
40	20	20	22	25	21	
16	20	40	22	25	26	
12	20	20	44	25	27	
18	20	40	33	25	29	b
28	20	40	33	25	29	
24	40			25	32	
41	20			50	35	
21	20	40	56	25	35	
46	20	40	56	25	35	
42	20	40	44	50	38	
30	20	60	56	25	40	
8	20	40	56	50	41	c
9	20	40	56	50	41	
37	40	40		50	43	
31	40			50	45	
22	20	60	56	50	46	
15	40	40	56	50	46	
27	20	60	56	50	46	
17	20	60	67	50	49	
23	40	60	56	50	51	
36	40	60	56	50	51	
47	40	60	67	50	54	
11	40	60	67	50	54	d
20	40	80	67	50	59	
4	40	60	67	75	60	
43	40	60	67	75	60	
6	40	60	67	75	60	
38	20		67	100	62	
19	40	60	78	75	63	
32	40	60	89	75	66	
35	60			75	67	
25	40	80	89	75	71	e
10	40		78	100	72	
7	60	80	89	75	76	
45	80	40	100	100	80	
48	60	80	89	100	82	
44		80	67	100	82	
5	60	100	89	100	87	
2	60	100	89	100	87	
13	80	80	100	100	90	f
3	60	100	100	100	90	
34	60	100	100	100	90	
26	80	80	100	100	90	
1	80	100	89	100	92	
29	100	100	100	100	100	poorest
# of wealth categories	5	5	9	4	5	

Figure 27: An example of a wealth ranking scoring table
[from: Theis/Grady 1991, p. 75]

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Wealth/well-being ranking is one of the most widely and successfully used types of ranking. It is employed to capture differences in standard of living as perceived by the people, thus making it possible to gain insight into relative social stratification. "Wealth" or "well-being" is defined in each society using different criteria. At the same time, the way in which individuals behave, assess themselves and others, and deal with the situation are greatly influenced by the prevailing ranking system. Consequently, statements derived from qualitative "wealth ranking" often reveal much more than censuses, no matter how fastidiously the latter are performed.

Procedure:

After preparing a list of all households and numbering them in sequence, each household and its number are copied onto a card. Key informants who know all of the households are asked independently of one another to place the cards in stacks corresponding to their affluence categories based on their own criteria. Let them explain their criteria. For more information about evaluating the results in tables, please refer to the excellent instructions given in the sources listed in the bibliography under "Wealth ranking".

Hints:

In many cases, wealth ranking is a tried-and-proven means of obtaining results in a minimum of time for the purpose of illuminating differences in wealth and problems resulting from them, and/or in order to identify suitable "target groups" in poverty-oriented programs. However, it is also hampered by problems:

- It usually fails in densely populated areas with a rapid turnover of residents, since the people there do not know one another well enough.
- The technique also becomes unmanageable when more than 100 to 150 households are involved.
- Wealth ranking is problematic in communities having an egalitarian ideology, since the residents justifiably resist being assigned to "wealth groups", even if these allegedly exist according to "objective" criteria.[81]

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81 Cf. Welbourn 1991 on caste societies.

- Information might be intentionally distorted by the interviewed person, if he or she perceives that the information given might have consequences in terms of later project support (e.g. wealth ranking to identify recipients of welfare programmes).
- With the shift from RRA to PRA there was also one from wealth ("objective criteria") to well being (subjective criteria, more open to local categories that might even not been known/made explicit to the outsider).

It therefore is advisable first to discuss with people, what them make feel, that some people are 'better off' than others. For example "landownership" might be no good criterion, if there is no-one in that household to care of this land.

In any case, it is crucial for the playful character of wealth ranking to dominate. Women and men often have differing perception categories, and the same holds for different occupational groups (merchants, laborers). It is therefore advisable to carry out separate wealth rankings for each group.

When wealth rankings fail to yield useful results, it is best to resort to "social mapping" techniques or use key indicators.

Sources on ranking techniques:

Ranking/rating/scoring/sorting in general: FAO 1990, pp. 107-111; Theis/Grady 1991, pp. 61-76 (explanations and training tips for all of the techniques listed here). On preference ranking: Pretty/Chouangcham 1988; Ethiopian Red Cross Society 1988 (complex ranking). On problem ranking: Bunch 1982. On matrix ranking/scoring: Mearns 1988. On the shift to open/restricted scoring: Maxwell/Bart 1993. On wealth/wellbeing ranking: Grandin 1988; RRA Notes 15 (the entire issue); Drinkwater 1993; Sharrock et al. 1993; Theis/Grady 1991, Tung/Balina 1993; pp. 72-76 (training tips); Mearns 1992. On social stratification: Canoog/Kievelitz 1989; Canoog/Kievelitz/Steigerwald 1990; Kievelitz 1990

7. Techniques that make use of local approaches for capturing and disseminating knowledge

These include:

- Indigenous technical knowledge and local classifications (folk taxonomies)
- Ethnobiographies biographies, life-stories interpretation, case studies, folklore, songs and poetry
- Genealogies

Indigenous technical knowledge and local classifications

Procedure:

Within the scope of Farming Systems Research (FSR), existing local knowledge and experiences gained by farmers with external influences - during years of experimenting with different varieties on their fields are not always taken into account. Yet whether local classifications are taken advantage of for mapping or modelling (e.g. in the PATECORE project of the GTZ: GTZ 1992b), or the willingness of farmers to experiment is utilized for innovations (e.g. Hahn 1991), an important prerequisite for the success of a PRA is always complete integration and utilization of existing know-how. Local taxonomies and classifications are often more precise and based to a greater extent on astute observation than those applied by outsiders. Another advantage of using local categories is that this facilitates a dialogue and joint elaboration of viable, appropriate solutions. It is best to sensitize oneself by reading existing case studies and study reports (see literature).

Point in time:

In all phases of a PRA

Helpful literature:

General: Brokensha/Warren/Werner 1980; Bunch 1982; P. Richards in Entwicklungsethnologie 1 (1992); Scoones/Thompson 1993 (Beyond farmer first)

Ethnobiographies, case studies, lifestories interpretation; folklore, songs and poetry

Procedure:

Examples of these knowledge resources can be found scattered through the ethnological literature on various ethnic groups. They reveal much about the value, history and everyday practices of a group. However, in order to understand them it is necessary to be familiar with the local language. Case studies can also fall within the scope of PRA when personal histories of interviewed individuals are recorded. It is useful to resort to poetry, sayings, etc. when members of the PRA team belong to the local ethnic group.

Point in time:

If appropriate literature exists, these sources should be utilized prior to the PRA by way of preparation, and during the PRA by team members who are familiar with the local language.

Helpful literature:

On biographical analysis in PRA: Box 1989. Examples of successful ethnobiographies are: Shostak 1982 (from the life of a Kung bushwoman); on the meaning of sayings: Yankah 1989; on lifestories interpretation: Kochendörfer-Lucius/Osner 1991: on genealogies: Mosse/Mehta 1993; RRA Notes 17, 18.

8. Joint evaluation and presentation of results

This includes:

- Analytical, written, visual or acoustic forms of presentation (working papers, graphics, wall paintings, posters, photographs, tape recordings, videos, drawings and discussions)
- Popular theatre (dance, song, drama, pantomime)

Results can be presented in writing (in the form of reports, working papers or case histories), orally (in the form of a show or performance) or

visually (by photographic documentation, drawings, videos, cartoons, etc.). All three forms can also make use of graphic depictions.

Analytical, written, visual and acoustic forms of presentation

Procedure:

The most commonly used mode of analytical presentation is graphical depiction. For the sake of illiterate persons, it is a good idea to portray results using symbols, pictographs or pictures. The public presentation at the end of a PRA is preceded by a final analysis and graphical/visual analysis of the PRA results. The final semistructured public meeting presents, analyzes and corrects the results of the PRA. For example, within the framework of a so-called "innovation assessment" or "sustainability analysis", it can lead to jointly elaborated recommendations for future activities and tasks to be performed in the village or urban neighborhood.

Point in time:

At the end of a PRA phase or the overall PRA

Helpful literature:

FAO 1990, Chapter 7; Theis/Grady 1991, pp. 118-124. On the topic of "innovative workshops/participatory evaluation", besides the "PAME" approach described in FAO 1990, there are also other, introductory, articles, e.g.: Baker/Knipscheer 1987; Chambers/Pacey/Thrupp 1989, part 3.

Theatrics

Puppet shows, pantomime, dance, song, drama, and storytelling are unconventional but vivid and broadly effective ways in which people can express their realities and also share it with outsiders. Case histories, for example, can be portrayed by staging them with actors. Oral presentations can be recorded on tape recordings, photographs or video and reused on other occasions (e.g. also when visiting neighboring groups).

Helpful literature:

Cornwall et al. 1989; FAO 1990, pp. 83-8; basic: Boal 1979

V. Lists and directories

A. List of introductory literature

1. General articles

- Chambers 1991 und 1992; 1994 a,b,c (for an introduction to the logical foundations, application areas, development and future prospects of RRA/PRA methods)
- Mascarenhas 1992
- Chambers 1980 (an interesting discussion of the historical development of RRA)
- Cornwall/Guijt/Welbourn 1993
- Pretty/Chambers 1993
- Scoones/Thompson 1993
- for readers with a working knowledge of German: Lühe 1993; Scheuermaier 1989; Schoenhuth/Kievelitz 1993

Additional introductory works with example applications (focussing on RRA):
- Kumar 1987
- McCracken/Pretty/Conway 1988
- Molnar 1989

2. Anthologies containing general articles and numerous case studies

- KKU 1987 (Proceedings of the 1985 Conference on Rapid Rural Appraisal of Khon Kaen University in Thailand, highly recommended owing to its breadth of scope)
- Chambers/Pacey/Thrupp 1989
- Mascarenhas et al. 1991 (an excellent review of actual Participatory Rural Appraisals. This volume documents a workshop held for trainers in India, reflecting the experiences of 145 PRAs conducted by institutions based in India)

Other anthologies worth reading:
- Altieri/Hecht 1987
- Cernea 1991

3. Publications in the form of manuals

Of the training manuals published to date, the following can be warmly recommended owing to their user-friendliness:
- Theis/Grady 1991 (based on experience gained in North Africa and the Near East)
- FAO 1990 ("The Community's Toolbox"; systematic application of the idea of participation to the depicted methods)
- Pretty et al. 1994, 1994a, 1994b

Note: Because PRA focuses very much on a process of learning by doing, listening and handing over the stick, every "nice to handle" manual, with precise prescriptions bares the danger of being used as a technical "how-to-do"-guide. The manual most recommended by R. Chambers therefore is: Jayakaran (n.d): "It has 8 words and little over 100 blank pages. The words are: "Use your own best judgement at all times".[82]

Also recommended:

- Abel 1989 (focussing on agroforestry)
- Fuglesang 1982 (on communication in general)
- Leurs 1993
- Mohammad 1990 (Manual for RRA established in Bangladesh)
- Nagel et al. 1989 (a guide to focussing formal surveys by means of RRA)
- NES et al. 1989, 1991, 1992 (based on experiences in Kenya)
- Rudqvist 1991 (popular participation methods)
- Townsley 1993 (for coastal communities)

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82 Chambers 1994 (personal comm.)

4. Introductory reading in other languages

German:	Schoenhuth/Kievelitz 1993a
French:	GRET 1990; Gueye/Schoonmaker-Freudenberger 1991; Ellsworth et al. 1992; Schoenhuth/Kievelitz 1994
Portuguese:	Chambers 1992 d; Guijt/Neejes 1991
Spanish:	Rietbergen-Mc Cracken 1991; Rhoades 1989; Schoenhuth/Kievelitz 1994a; Tillmann/Salas 1994
Arabic:	Theis/Grady 1991

B. List of sources by country

Africa
- **Middle East/North Africa**
  Theis/Grady 1987
- **West Africa**
  Swift 1981

Angola
Vieu 1993

Asia
Jamieson 1991

Austria
GTZ 1993; Kievelitz/Forster 1994

Australia
Ampt/Ison 1989; Chamala/Mortiss 1990; Dunn 1989; 1993; Dunn/McMillan 1991; Ison/Ampt 1992; Woodhill 1992; Woodhill/Wilson/McKenzie 1992

Bangladesh
Enfants du Monde 1993 (ed.) Euler 1993; Howes 1991; Kochendörfer-Lucius/Osner 1991; Vigoda 1994; Welbourn 1992

Benin
Varkevisser/Alihonou/Inoussa 1993

Brazil
Baker/Knipscheer 1987; de Colombani et al. 1992

Burkina Faso
GTZ 1992b; Hahn 1991; Guijt 1993; Projet d'Aménagement de Terroirs... 1993

Canada
(GATT-Fly 1983); RRA Notes 19

Cape Verde
Guijt/Neejes 1991

Chad
Buchana-Smith 1993

China
Croll 1984

Colombia
Ashby 1991; Quiros et al. 1992; Tripp/Wooley 1989; Salas/Tillmann 1993; Zamosc 1986

Côte d'Ivoire
Floquet/Lühe 1992; GTZ 1992a

Dominican Republic
Box 1989; Dorman 1991

Ecuador
Cabarle/Zazueta 1992; Christensen/Carrasco 1993; Vokral 1994

Ethiopia
ActionAID/IIED 1989; Ellman 1972, 1981; Ghirotti 1992; IIED/FarmAfrica 1988; McCracken/Conway 1988; McCracken/Mearns 1989; Maxwell 1990; Scoones/McCracken 1989; P. Shah 1994

Fiji
McCracken 1988b

Gambia
Ford et al. 1992; Guijt 1992; McPherson 1991; Sarch 1992

Ghana
Welbourn 1991; Shah, K.M. 1993

Guinea-Bissau
Topsoe-Jensen 1989; Neefjes 1993

Guatemala
Bunch 1982; Guerra 1992

Himalaya
Carson 1987

Honduras
Galt 1987

India
ActionAid; Alsop 1989; IIED 1988; Joseph 1991; Kar et al. 1992; MacCracken 1988, 1989; Malhotra et al. 1992; Mascarenhas 1991, 1992; Mascarenhas et al. 1991; Paliniswamy et al. 1992; PALM-Series; Pretty 1989, 1991; Pretty/Choungcham 1988; Shah 1988; Shah K.M. 1994; Shah 1993; Shah P./Ambastha 1991; SPEECH 1991; Vijayraghavan et al. 1992

Indonesia
Conway/McCracken/Pretty 1988; Duggan 1994; Ferrazzi/Kievelitz 1994

Java
Pretty et al. 1988

Jordania
Galt/ Al-Kadi 1992

Kenya
Kiara et al. 1990; NES 1989, 1991, 1992; Pretty 1990; Odero 1994; Pretty/Thompson/Kiara 1994; Raintree/Young 1983; Raintree 1986, 1987; Müller/Scherr 1990; Rudqvist/Tobisson 1991

Liberia
Sutton/Dorr 1992

Malawi
Welbourn 1991

Malaysia
SLE 1991

Mali
IIED/OXFAM 1993

Mexico
Byerlee et al. 1980; CIMMYT 1988; Tripp/Wooley 1989

Mongolia
Mearns et al. 1992; Cooper/Narangerel 1994

Nepal
Campbell/Gill 1992; Carson 1987; Gill 1991; Department of Agriculture 1986/87; Gill (forthcoming); Mathema/Galt 1989; Messerschmidt 1991; Sharrock et al. 1993.

New Guinea
Mearns 1988; 1989

Nicaragua
Lammerink 1994; Lammerink/Mazariegos n.d.

Nigeria
Abalu et al. 1987; Bayer 1988; Leurs 1989

Pakistan
Conway 1987; Conway/McCracken/Pretty 1988a; MFVDP 1988; Hosain 1991; Pretty 1988

Peru
Rhoades 1982, 1986, 1987, 1989; Salas 1993

Philippines
Canoog/Kievelitz 1989; Canoog/Kievelitz/Steigerwald 1990; Cebu Upland Project; Continning Education Center 1991; Conway/Sajise 1986; Kievelitz 1991, 1992; Lamug 1989; v. Steijn 1991; Tung/Balina 1993.

Senegal
Gueye/Schoonmaker-Freudenberger 1991; Gueye 1993; Schoonmaker 1989 (ed.) ; Schoonmaker/ Freudenberger K. and M. 1992

Sierra Leone
Welbourn 1991, 1992; 1992a

Somalia
La Fond 1992

Sri Lanka
Groenfeldt 1989; Jones/Townson 1993

Sudan
Ellman 1972-1981; Eyben 1979; Maxwell 1989, 1989; Quinney 1994

Switzerland
Scheuermeier 1989; Scheuermeier/Ison; Scheuermeier et al. 1991

Tanzania
Kroeck 1994; SLE 1991a; Johansson/Hoben 1992

Thailand
Hadikusumah 1991; Jintrawet et al. 1985; Lohani/Halim 1987; Nagel 1989; Nagel et al. 1989; NERAD Handbooks; Prince of Songkla University 1990; Subadhira 1987; Subadhira et al. 1987

Tunesia
Projet de developpement... 1993

Uganda
P. Shah 1994

United Kingdom (UK)
Gibson 1991; 1991a; RRA Notes 19

United States (USA)
RRA Notes 19

Vietnam
Pillot 1991

Zaire
Schaefer 1992; SLE 1990

Zambia
Collinson 1991; Edwards 1987; Eklund 1988; Drinkwater 1993; Pottier 1991

Zimbabwe
Carter et al. 1993; Clarke/Makuku 1993; Cromwell 1989; FSRU 1991; Goericke 1993; Harvey et al. 1987; Scoones 1989; Stocking/Abel 1981

C. List of sources by application areas

(Especially important works are underlined)

** Note: Abstracts for select annotated bibliographies on PRA by topic presently are prepared within IDS. The Topics are (in April 1994):
- Food and Livelihood Security
- Soil and Water Conservation, watershed management
- Irrigation
- Urban Applications
- Participatory Monitoring and Evaluation
- Agriculture
- Forestry
- Livestock, Pastoral
- PRA in the North
- Training
- Gender
- Review of Materials; methods
- Health
- Education

It is planned that these bibliographies shall be currently updated and also be made available on computer files (probably free on request to colleagues in the South. Contact Anna Robinson, PRA c/o IDS (DPhil) for further information.

Agriculture in general
Cornwall/Guijt/Welbourn 1993; Guijt/Pretty 1992; Jones/Townson 1993; McPherson 1991; Schoonmaker 1989 ed.; SLE 1991 (shifting cultivators); Vijayraghavan 1992; see also PRA Abstracts at IDS, Brighton

Agroforestry/ Community - /Social Forestry, the fuelwood situation
Abel et al. 1989; Cabarle/Zazueta 1992; Clarke/Makuku 1993; FAO 1990; Freudenthal/Narrowe 1991; Hadikusumah 1991; Holtzman 1986; Inglis 1991; Jamieson 1991; McDonald 1992; Malhotra et al. 1992; Messerschmidt 1991; Molnar 1987; 1989; Pretty/Scoones 1989; Raintree/Young 1983; Raintree 1986, 1987; Scoones 1989 (ed.); Shah 1988; Soussan/Gevers 1989: Subadhira/Apichetvullop 1987; Forests Trees and People Newsletter (see list of periodicals)

Artisanry
Cromwell 1989

Conflict
Bollig 1994; Conway/Sajise/Knowland 1989; Poffenberger et al. 1992; Salas 1993

Economics
Pretty/Scoones 1989

Education
Eyben 1979

Family planning
Folch-Lyon/Trost 1981; Heaver 1992

Farm animals
Baker/Knipscheer 1987

Fisheries / Coastal communities
Lammerink 1994; Townsley 1993

Food security (early warning systems)
Haddad et al. 1993; Maxwell 1989; Mitchell 1993; SLE 1991a

Gender/ Women issues
Bilgi 1992; Blumberg 1990; Cooper/Narangerel 1994; Davis-Case 1992; Guijt 1994; Hosain 1991; IIED 1994:A multi-lingual training package produced by IIED, comprising a four-part video, trainer's guide and slide set. Available 1994 in English, French and Portuguese; Kar et al. 1992; Report... 1990; Robinson 1993; Theis/Grady 1991; Thomas-Slayter et al. 1993; Warren 1992 (ed.); Welbourn 1992; Vigoda 1994; various reports on PRAs on women's issues are available as a set from IDS (Sussex); or contact Irene Gujt of IIED, London, who is undertaking a project: Women on Earth: Gender Issues in Natural Resource Management (see also: "Videos on PRA" in this volume).

Health care/Nutrition
ActionAid 1991; ActionAid (no date); Gibbs 1987; Heaver 1992; LaFond 1992; Rifkin 1992; *RRA Notes* 16; Scrimshaw/Hurtado 1988; Scrimshaw/ Gleason 1992; SPEECH 1991; Welbourn no date; Varkevisser/ Alihonou/Inoussa 1993; Vigoda 1994; WHO 1988

Incomes and employment
Maxwell 1990

Irrigation
Chambers/Carruthers 1986; Groenfeldt 1989; Howes 1991; Kiara et al. 1990; McCracken 1988; Potten 1985; Pretty 1990; Shah et al. 1991, 1991a; Suelzer/Sharma 1986/87; for recent sources write to: International Irrigation Management Institute, 64 Lotus Road, Colombo 1, Sri Lanka (contact: Douglas Vermillion)

Land-Use Planning
Chamala/Mortiss 1990; Goericke 1193; Shankariah/Mortiss 1990; Woodhill 1992; Woodhill/Wilson /McKenzie 1992

Markets
Baker/Neto 1988; Holtzman 1986;

Monitoring and evaluation (by the community/participatory/self)
Gaymans/Maskoen 1993; Lightfoot et al. 1992; Quinney 1994; Rugh 1985; Shah/Shah 1994

Natural resources
Carson 1987; Molnar 1989a; Lohani/Halim 1987; NES 1989, 1991, 1992; Schoonmaker-Freudenberger 1992; Scoones/McCracken (eds.) 1989; Stocking/Abel 1981; Thomas-Slayter 1992

Nutrition
Gibbs 1987; Heaver 1992; *RRA Notes* 8; Scrimshaw/Hurtado 1988; Young 1990; see list of video films

Organizational cultures /Institutional development
Chambers 1993a; Fowler 1992; Gill 1992; Honadle 1979; Johanson/Hoben 1992; Kievelitz/Reineke 1992, 1992a; Mathema/Galt 1987; Rosen 1991; Thomas-Slayter 1992; Thompson 1994; Zimmermann/ Sülzer 1993

Pastoralists (livestock)
Bayer 1988; Bollig 1994; Swift 1981; Swift/Umar 1991; RRA Notes 20, 1994

Planning (baseline; bottom up)
Duggan 1993; 1994; Tanja Li et al. 1993

Policy issues/ Scaling up / District-/National Planning
Buchanan-Smith et al. 1993; Chambers 1993a; Ferrazzi/Kievelitz 1994; Gill 1994; Johanson/Hoben 1992

Quantitative versus qualitative sociological survey methods
Gill 1991; 1993a; Hoeper 1991; Inglis 1991; Mukherjee 1994; Rhoades 1990

Scaling up see: Policy Issues

Social stratification
Canoog 1989; Canoog/Kievelitz/Steigerwald 1990; Kievelitz 1990, 1991, 1992 (ed.)

States of emergency, disasters, catastrophes, refugee issues
Ellman 1972, 1981; Hackstein (forthcoming, GTZ); Vieu 1993

Training
RRA Notes 15-18: "Tips for Trainers"; RRA-Notes 19 (whole issue); Thompson 1994

Urban studies, squatter settlements
Collier/Santoso 1992; Colombani et al. 1992; Lewin no date; Moser 1989; Peterson 1991; Shah, K.M. 1993; Voight-Moritz 1991; WHO 1988

Waste elimination programs
Rudqvist/Tobisson 1991

D. Useful PRA- network addresses

1. **Network addresses by institutions (their focuses;**
   whom to contact and where to obtain sources and literature)

(*) = Key PRA institutions and central coordinating agencies

(*) ActionAid India
   3 Resthouse Road
   Bangalore 560 001, India
Tel.: (+91) 812 564 682/3; facsimile: (+91) 812 564 684.
Contact: Sam Joseph
Focuses: experience with PRA and PALM methods, training courses
Sources: Joseph 1991; RRA Notes 13:95-101

AGRECOL
c/o Oekozentrum
CH-4438 Langenbruck, Switzerland
Focuses: Farmer First Participatory Technology Development (RRA/PRA techniques). Workgroup within the scope of the AGRECOL association in Bonn, Germany. Coordinator: Mr. Tillmann, University of Hohenheim, D-70599 Stuttgart
Contact: Almut Hahn; Tel: (+41) 62/601420; facsimile: (+41) 62/601640
Sources: Hahn 1991

(*) AKRSP
   Aga Khan Rural Support Programme
   Choice Premises
   Swastik Cross Road, Navranpura
   Ahmedabad 380 009, Gujarat, India
Focuses: extensive experience witth PRA and PALM methods; training courses
Contact: Anil C Shah, tel.: (+91) 272-464029, telex: 0121 257 ARSP IN
Sources: McCracken 1988; Shah et al. 1991, 1991a

CASUP
College of Arts and Sciences
University of the Philippines at Los Banos College
Laguna 3720
Philippines
Contact: Corazon Lamug
Sources: Lamug 1989

CATAD (SLE)
Centre for Advanced Training in Agricultural Development
Podbielskiallee 66
D-14195 Berlin, Germany
Tel.: (+49) 30/314 713 32; facsimile: (+49) 30/314 714 09
Focuses: RRA forms part of the curriculum taught at the CATAD, and is regularly applied by groups of researchers in development projects.
Contacts: Uwe Jens Nagel; Theo Rauch; Peter Neuhäuser; Ute Westphal
Sources: Nagel 1989; Nagel et al.1989; SLE 1990, 1991, 1991a

CIAT
Centro Internacional de Agricultura Tropical
Apartado Acro, 6713 Cali, Colombia
Focuses: "agricultural on-farm-research and training"; "sustainable food production"
Contact: Jaqueline Ashby
Sources: Tripp/Wooley 1989; Ashby 1991; Quirós et al. 1992

CIKARD
Center for Indigenous Knowledge for Agriculture and Rural
Development
Iowa State University
318 Curtiss Hall
Ames, Iowa 50011, U.S.A.
Focuses: research and information on the preservation and use of the local
knowledge of farmers and rural people; to subsribe to the CIKARD
information network contact: Michael Warren, tel.: (001) 515-294-4111
Sources: Warren et al. (eds.) 1989

CIMMYT, Int.
Centro Internacional de Mejoramiento de Maiz y Trigo
Lisboa 27, Colonia Juárez
Apdo. Postal 6-641, 06600 Mexico D.F., Mexico
Tel.: (+52) 5 726-9091, facsimile: (+52) 5 41069
Focuses: "informal farmer surveys" within the scope of technology design
(diverse participatory survey techniques): "farmer participatory methods
for research (FPM)" with emphasis on "crop management research" and
"farmer to farmer extension"
Contacts: Robert Tripp, Martien van Nieuwkoop, Larry Harrington,
Daniel Buckles
Sources: Byerlee et al. 1980; Collinson 1981; CIMMYT 1988; Tripp/Wooley
1989

CIP
International Potato Centre/Centro Internacional de la Papa
Apartado 5969
Lima, Peru
Focuses: "Informal Agricultural Survey", a classical RRA method with an
ethnographic focus, was developed at the CIP under the guidance of R.
Rhoades.
Contact: Robert Rhoades
Sources: Rhoades 1982, 1986, 1987, 1989

Clark University
Program for International Development
950 Main Street; Worcester, MA 01610, USA
Sources: Ford et al. 1992

DAI
Development Alternatives Inc.
1823 Jefferson Place, NW
Washington D.C. 20036, U.S.A.

DEH/SDC
Swiss Development Cooperation
Eigerstr. 75
CH-3003 Bern, Switzerland
Focuses: "on-farm research" (see the manual prepared in collaboration
with the GTZ) and RRA
Contact: Willi Graf, tel.: (+41) 31-612111
Sources: Werner 1992

DSE
German Foundation for International Development
Food and Agriculture Development Center (ZEL)
P.O. Box 20
D-82340 Feldafing, Germany
Focuses: in its 4-week foreign-language training courses on the topic of
"rural farm systems", the DSE provides an introduction to the basics of
RRA followed by several days of field experience in southern Bavaria or
Southeast Asia.
Contact: Lüder Cammann, tel.: (+49) 8157-38-0/197, facsimile: (+49)
8157-38227
Sources: Cammann 1990 (ed.)

DSU
Development Studies Unit, Department of Social Anthropology
Stockholm University, Annex 1
S-10691 Stockholm
Sweden
Focuses: various publications on participatory survey methods;
"Community Baseline Studies" (ethnographic; not team-oriented);
"Popular Participation" programs
Contacts: S. Freudenthal, A. Rudqvist, E. Tobisson, tel.: (+46) 8-16200,
facsimile: (+46) 8-169110
Sources: Rudqvist/Tobisson 1990; Freudenthal/Narrowe 1991; Ljung-
man/Freudenthal 1991; Rudqvist 1991

East-West Center
1777 East West Road
Honolulu, Hawaii 96848, U.S.A.
Focuses: RRA und Participatory Action Research
Contacts: S.W. and T.B. Grandstaff
Sources: Hoskins 1986; Grandstaff/Buranakanonda 1987; Grandstaff/
Grandstaff 1987; Grandstaff/Messerschmidt 1992

ENDA-GRAF
B.P. 13069
Dakar, Senegal
Tel.: (+221) 242025
Contacts: Pierre Jacolin, Jean Pierre Perier, Emmanuel Ndione

ENEA
B.P. 5084
Dakar, Senegal
Contact: Prof. Bara Gueye
Sources: Gueye/Schoonmaker-Freudenberger 1991

FAKT
Fördergesellschaft für angepasste Techniken in der Dritten Welt mbH
Gönsheidestr. 43, D-70184 Stuttgart, Germany
Focuses: participatory technology development; its new concept,
"Participative Impact Monitoring", is in the test phase; interested in PRA
Contact: Eberhard Gohl, tel.: (+49) 711-235030, facsimile: (+49) 711-600608

(*) FAO
Food and Agriculture Organization of the United Nations
Viale delle Terme di Caracalla
00100 Rome, Italy
Tel.: (+39) 6 5797-1; facsimile: (+39) 6 5782610**
Focuses: RRA; Participatory Action Research (PAR); Participatory
Assessment, Monitoring and Evaluation (PAME) in Community Forestry.
FAO has formed an informal "lunchtime" working group on PRA/RRA.
Contacts: Marylin Hoskins; Carla Hogan-Rufelds, A. Sjoberg (community
forestry); John Dixon (farming systems, development support
communications; decentralised planning; nutrition, fisheries, soil
conservation, irrigation, investment project preparation)
Sources: FAO 1986, 1990; Molnar 1989; Grandstaff/Messerschmidt 1992

THE FORD FOUNDATION
P.O.Box 1794
Khartoum, Sudan
Tel.: (+249) 43474; telex: 23024 SNASH SD
Contact: Humphrey Davis

FRED
Food and Resource Economics Department
1125 McCarthy Hall
Institute of Food and Agricultural Sciences
University of Florida, Gainsville, Florida 32611, U.S.A.
Tel.: (+1) 904 392-3261

GATE
German Appropriate Technology Exchange
Dag Hammerskjöld-Weg 1, D-65760 Eschborn, Germany
Tel.: (+49) 6196-79-0
Focuses: GATE is a special division of the GTZ and a center for
propagation of and support for appropriate technologies in southern
countries. GATE's emphases are on technology transfer and
environmental protection. GATE's library has been collecting literature on
RRA/PRA for some time now. GATE is networked with ILEIA and
AGRECOL and carries out literature surveys in response to queries
dealing with RRA/PRA.
Contact: A. von Lossau, tel. (+49) 6196-79-4807

GRAAP
Groupe de Recherche et d'Appui pour l'Autopromotion Paysanne
B.P. 785, Bobo-Dioulasso, Burkina Faso
Focuses: Development of visual training materials for self-training of
illiterature rural population groups in connection with forestry and the
environment. Four "modules": 1) "Our Changing Environment; 2) "Trees
in Our Lives" 3) "The Life of the Soil" and 4) "Conserving Soil and Water"
have been disseminated and applied in small projects for the Ministry of
the Environment of Burkina Faso.

(*) GRET
Groupe de Recherche et d'Echanges Technologiques
213, Rue la Fayette, F-75010 Paris, France
Tel.: (+33) 4035 1314; facsimile: (+33) 4035 0839

Focuses: Experience with RRA/PRA and "Recherche Developpement" (RD); RRA as the entry point for projects/programs; otherwise preference given to PRA and PAME methods
Contacts: Didier Pillot; Marc Rodriguez; Samuel Thirion; Jean-Francois Mondain-Monval
Sources: GRET 1990; Palleschi 1990; Prince of Songkla University et al. 1990; Pillot 1991

GTZ
Deutsche Gesellschaft für Technische Zusammenarbeit GmbH
Dag Hammerskjöld-Weg 1
D-65760 Eschborn, Germany
Tel.: (+49) 6196 79-0, facsimile: (+49) 6196 79-1115
Focuses: Within the individual regional and specialist departments of the GTZ a variety of experience has been gained with RRA/PRA/SONDEO techniques. In Division 425 (Multisectoral Urban and Rural Programs), this experience is now being systematically collated. The present brochure constitutes part of these efforts.
Sources: Floquet/Lühe 1992; Floquet/Mongbo 1992; Gagel 1988; Camoog/Kievelitz 1989; Canoog/Kievelitz/Steigerwald 1990; Goerike 1993; Guerra 1992; GTZ 1992a, 1992b, 1993; Kievelitz 1990, 1991, 1992(ed.), Kievelitz/Fortser 1994; Kievelitz/Reineke 1992; 1992a; KUF 1992; ODESYPANO 1993; PATECORE/IIED 1993; Salas/Tillmann 1993. Schönhuth/Kievelitz 1193a; Schoenhuth/Kievelitz 1994, 1994a; Xon Cordova 1992.

Contact persons at GTZ headquarters are:
Reiner Forster, Unit 07, tel.: (+49) 6196-79-1282
Dr. Ulrich Hoesle, Unit 423 tel.: - 1415
Dr. Uwe Kievelitz, Unit 425, tel.: - 1347

ICRA
International Course for Development Oriented Research in Agriculture
P.O. Box 88, NL-6700 AB Wageningen, The Netherlands
Tel.: (+31) 8370-22938; facsimile: (+31) 8370-18552
Focuses: French- and English-language training courses on development-related research with emphasis on RRA/PRA. Founded in 1980 by the European members of CGIAR ((Consultative Group for International Agricultural Research)
Contacts: N. Sellamna; Richard Hawkins; Jon Daane; Hal Mettrick

(ICRA France: c/o CNEARC; Avenue du Val de Montferrand; B.P. 5098; F-34033 Montpellier Cédex 1; Tel.:(+33) 67414011; facsimile: (+33) 767044717)

ICRAF Kenya
International Council for Research in Agroforestry
P.O. Box 30677
Nairobi, Kenya
Focuses: RRA approach "Diagnosis and Design"; agroforestry
Contact: John Raintree
Sources: ICRAF (); Raintree 1983, 1986, 1987; Müller/Scherr 1990

ICTA
Instituto de Ciencia y Technología Agricolas
Avenida La Reforma 8-60
Zona 9; Edificio Galerías Reforma 3er Nivel
Guatemala City, Guatemala
Tel. (+502) 2 317464 or 318371
Focuses: SONDEO
Contact: Peter Hildebrand (SONDEO approach)
Sources: Hildebrand 1981, 1986 (ed.); Hildebrand/Ruano 1982

IDA
Institute for Development Anthropology
P.O. Box 2207
Binghamton, New York 13902, U.S.A.
Contacts: David Brokensha; Peter Little; Michael Painter

(*) IDS
Institute of Development Studies
University of Sussex
GB-Brighton BN1 9RE, England
Tel.: (+44) 273/606261; facsimile: (+44) 273/62102
Focuses: IDS played a key role in developing RRA. Bulletins; today an information pool and PRA "think tank" (Chambers). IDS has got a list of more than 100 trainers (mainly from the South), and will be a major source for any grey literature you would like to obtain.
Abstracts for select annotated bibliographies on PRA by topic presently are prepared within IDS. The Topics are (in April 1994):
- Food and Livelihood Security (person in charge: Martin Gershon);

- Soil and Water Conservation, watershed management (Joost Guijt);
- Irrigation (Stephen Healy);
- Urban Applications (60 entries at present; Ann Hudock)
- Participatory Monitoring and Evaluation (Sam McPherson)
- Agriculture (115 entries; Steven Morris)
- Forestry (52 entries; Steven Treagust)
- Livestock, Pastoral (61 entries; Judy Pointing)
- PRA in the North (36 entries; Judy Pointing);
- Training (17 entries; Anna Robinson)
- Gender (93 entries; Meera Shah)
- Review of Materials; Methods (Sheelagh Stewart);
- Health (102 entries, Steven Treagust)
- Education (27 entries)

It is planned that these bibliographies shall be currently updated and also be made available on computer files (probably free on request to colleagues in the South. Contact Sheelagh Stewart c/o IDS (DPhil) for further information.

Contacts: Helen McLaren; Robert Chambers

Sources: IDS 1979, 1981; Chambers 1980, 1983, 1990, 1991, 1991a, 1991b, 1992, 1992a, 1992b, 1992c, 1992d, 1993a, 1993b, 1994a, 1994b, 1994c, n.d.

(*) IIED

International Institute for Environment and Development (IIED)
Sustainable Agriculture Programme
3 Endsleigh Street, GB-London WC1h ODD, England
Tel.: (+44) 71/388-2117; facsimile: (+44) 71/388-2826

Focuses: IIED supports the development of socially and environmentally compatible agricultural development through research, training, advocacy, networking and exchange of information, primarily with institutions in the South. Its emphases are: "indigenous knowledge"; participatory planning; PRA; agroecology. To date about 1500 people in over 20 countries have been trained by IIED in the use of PRA techniques. IIED produces training materials, and is shortly due to release 5 new training manuals (on semistructured interviewing, diagramming, maps and models for learning and analysis, qualitative techniques;, and a practical guide for trainers; in addition, it is planning to produce 5 video films for training purposes.

IIED is the publisher of RRA Notes.

Contacts: Jules Pretty, Irene Guijt; Ian Scoones; John Thompson

Sources: Conway/McCracken 1988; Conway/McCracken/Pretty 1987, 1988, 1988a; Conway//Pretty/McCracken 1987; Guijt 1992; Guijt/Neejes 1991; IIED 1988, 1991, 1992; IIED/FARM AFRICA 1991; McCracken 1988, 1988b; McCracken/Conway 1988; McCracken/Mearns 1989; McCracken/Pretty/Conway 1988; NERAD Handbooks 1988-; Pretty 1989, 1990, 1991; Pretty/Chouangcham 1988; Pretty/Scoones 1989; Pretty et al. 1988, 1992 (in press), 1992a (in press); forthcoming

ILEIA

Information Centre for Low External Input Agriculture
P.O. Box 64
NL-AB Leusden, The Netherlands
Focuses: Information center and consultancy in connection with agricultural systems that utilize locally available, economically, ecologically, culturally and socially appropriate human and natural resources.
ILEIA has joined up with GATE and AGRECOL to form an information network.
Contacts: Sander Essers, Bertus Haverkort, Wim Hiemstra; Coen Reijntjes
Sources: 1988; no date
Institute of Environmental Science and Management
University of the Philippines at los Banos, College
Laguna 3720, Philippines
Sources: Conway/Sajise 1986

ITDG

Intermediate Technology Development Group
Publications
103-105 Southampton Row
GB-London, WC1B 4HH, England
Tel.: (+44) 71/4369761; facsimile: (+49) 71/436 2013
Focuses: ITDG acts as an information center and also assists in introducing appropriate agricultural technologies in Southern countries. Wealth ranking is one of the methods it employs.
Contacts: Guy Bentham; Trisha Pope
Sources: Grandin 1988

KKU
Khon Kaen University
Rural Systems Research Project, Faculty of Agriculture
Khon Kaen 40002, Thailand
Tel.: (+66) 43-24 1331-39
Focuses: KKU held the workshop in 1985 that was responsible for the definitive breakthrough of RRA.
Contacts: Viriya Limpinuntana; Suriya Smutkupt
Sources: Jintrawet et al.1985; KKU 1987

(*) MYRADA
2 Service Road
Domlur Layout, Bangalore 560 071, India
Tel.: (+91) 812/572028 or 55395
Focuses: Many years of experience with RRA; development of the PALM approach; publisher of the "PALM Series"; various video films; PALM/PRA training courses
Contact: Aloysius Fernandez

NERAD
Northeast Rainfed Agricultural Development Project
Northeast Regional Office of Agriculture, Tha Phra
Khon Kaen 40260, Thailand
Contact: Iain Craig (Rapid Assessment Technique - RAT)
Sources: Alton/Craig 1987

NES
National Environmental Secretariat
Ministry of Environment and Natural Resources/
The African Centre for Technology Studies
PO Box 69313
Nairobi, Kenya
Lit.: NES 1989; 1991; 1992

ODI
Overseas Development Institute
Agricultural Administraion Unit
Regent's College, Inner Circle, Regent's Park
GB-London NW1 4NS, England.
Tel.: (+41) 71/487 7413; facsimile: (+41) 71/4877590
Focuses: ODI operates a "Research and Extension Network" with emphasis on Farmer Participatory Research (although not specifically for PRA); it also publishes a jouornal, Experimental Agriculture.
It also operates other networks (with irregularly appearing specialist publications) that can be subscribed to: Pastoral Development, Social Forestry, Irrigation Management.
Contact: John Farrington
Sources: Farrington 1988; Farrington/Martin 1988

School of Agriculture (Australia)
Charles Sturt University, Riverina
P.O. Box 588, Wagga, Wagga
NSW 2650, Australia
Contact: A.M. Dunn Tel.: (+61) 69/222385; facsimile: (+61) 69/222812
Sources: Dunn/McMillan 1991

SLE (see CATAD)

UEA
University of East Anglia
GB-Norwich NR4 7TJ, England
Tel.: (+44) 603/56161; facsimile: (+44) 603/505262
Focuses: RRA/PRA
Contact: David Seddon (rapid urban appraisal methods)

USAID
United States Agency for International Development
21st and Virginia Avenue NW
Washington D.C. 20005, USA
Contact: Roberto Castro, tel.: (+1) 202 663-1451 or 647-1850
Sources: Kumar 1987, 1987a, 1989
USAID Philippines: Ramon Magsaysay Buliding, Roxas Boulevard Manila Contact: James Beebe
USAID Pakistan; Islamabad. Contact: Michael Dove

Winrock International
P.O. Box 1312
Kathmandu, Nepal
Focuses: "Agricultural policy research; networking of researchers to a common plan across a whole agroclimatic region of Nepal"
Contact: Gerry Gill; Tel.: (+977) 1/212987 or 222904; facsimile: (+977) 1/222300; telex: 2305APROSC NP
Sources: Gill 1991; Campbell/Gill 1992

World Bank
1818 H Street, N.W.
Washington, D.C. 20433, U.S.A.
Tel.: (+1) 202 477-1234
Focuses: The World Bank has gained experience with Rapid Assessment methods (RAP) and with Salmen's ethnographic "Beneficiary Assessment" technique.
Contacts: Michael M. Cernea (also associated with IIED); L.F. Salmen
Sources: Cernea 1990,1991; Salmen 1987, 1992, no date

World Neighbors
5116 Portland Ave.,
Oklahoma City, OK 73112, U.S.A.
Contact: Roland Bunch
Sources: Bunch 1982; Rugh 1985

World Resource Institute
From the Ground up
1709 New York Avenue, NW
Washington, DC 20006, USA
tel.: +202-6622584; fax: ++202-6380036

2. Network addresses by countries (whom to contact and where to obtain training facilities)

AUSTRALIA
School of Agriculture
Charles Stuart University, Riverina
P.O. Box 588, Wagga, Wagga
NSW 2650, Australia
Contact: A.M. Dunn, tel.: (+61) 69/222385; facsimile: (+61) 69/222812

BANGLADESH
PACT
House 56; Road 16 (New) 27 (old)
Dhanmondi R/A; Dhaka 1209
Contact: Aroma Goon, tel.: +880-2-324091/815953; fax: +880-2-813416

PRA Network
c/o SHOGORIA
5/4, Iqbal Road Block: A
Mohammedpur, Dhaka-1207, Bangladesh
Contact: Dr. Dee Jupp, tel.: + +325941 or 328731

BOTSWANA
PRODUCTION SYSTEMS PROGRAMME
Department of Agricultural Research
P.O: Box 10, Mahalapye
Contact: S. Nkhori, tel.: +267-410677

BURKINA FASO
GRAAP
Groupe de Recherche et d'Appui pour l'Autopromotion Paysanne
B.P. 785
Bobo-Dioulasso, Burkina Faso

GERMANY (FRG)
CATAD (SLE)
Centre for Advanced Training in Agricultural Development
Podbielskiallee 66
D-14195 Berlin, Germany
Tel.: (+49) 30/314 713 32; facsimile: (+49) 30/314 714 09
Contact: U. Nagel

Center for People's Knowledge and Intercultural Dialogue
Gomaringer Strasse 6
D-72810 Gomaringen-Stockach
Germany
Contacts: H. Tillmann, M. Salas
Tel.: (+49) 7072-8717; facsimile: (+49) 7072-7964

DSE
German Foundation for International Development
Food and Agriculture Development Center (ZEL)
P.O. Box 20
D-82340 Feldafing, Germany
Contact: Lüder Cammann, tel.: (+49) 8157-38-0/197, facsimile: (+49) 8157-38227

INSTITUTE FOR SOCIOCULTURAL STUDIES (ISOS)
University of Kassel, FB 11
Steinstr.19
D- 37213 Witzenhausen
Contact: Michael Schönhuth, tel.: +49-5542-98-0/-1314 fax: -5542-98-1227

GHANA
CENTRE FOR DEVELOPMENT OF PEOPLE
PO Box 371
UST-Kumasi, GHANA
Contact: Tony Dogbe, Executive Secretary
Tel.: ++233-51-4581 fax: ++233-51-4329

SPRING PROGRAMME
Dept. of Planning
UST-Kumasi
Contact: Dan Inkoom; Telex: 3014 BTH 26 GH

EGYPT
CENTER FOR DEVELOPMENT STUDIES
4 Ahmad Pashaa Street
City Bank Building, 6th Floor
Garden City, Cairo

ETHIOPIA
FARM Agrica
PO Box 5746
Addis Ababa, Ethiopia
Contact: Simon Adebo, fax: ++-251-1-652566

INDIA
ActionAid India
3 Resthouse Road
Bangalore 560 001, India
Contact: Sam Joseph, tel.: (+91) 812 564 682/3; facsimile: (+91) 812 564 684
(also acts as the central coordinating office for all Indian course offerings)

Aga Khan Rural Support Programme
Choice Premises
Swastik Cross Road, Navranpura
Ahmedabad 380 009, Gujarat, India
Contact: Anil C Shah, tel: (+91) 272/464029; telex: 0121 257 ARSP IN

MYRADA
2 Service Road
Domlur Layout, Bangalore 560 071, India
Contact: Aloysius Fernandez, tel.: (+91) 812/572028 or 55395

SPEECH
14 Jeyaraja Illam
Kiruba Nagar, Madurai 625 014, India
Contact: John Devavram, tel.: (+91) 452/46370

INDONESIA
WORLD EDUCATION
Jalan Tebet Dalam IV F/75, Jakarta 12810, Indonesia
Contact: Mary-Ann Kingsley tel.: +62-21-829-1026; fax: +62-21-850-5440

KEPAS
(Kelompok Penelitian Agro-Ekosistem)
d/a Pusat Penelitian den Pengembangan
Tanaman Pangan, Jalan Merdeka 147, Bogor 16111
Tel.: +62-251-324089

SULAWESI REGIONAL DEVELOPMENT PROJECT
Jin. dr. Sutomo, P.O. Box 187, Ujung Pandang
Tel.: +62-411-313225

KENYA
OXFAM
P.O. Box 40680
Nairobi, Kenya
Contact: Mahesh Mishra, tel.: (+254) 2/442123 or 445168

WORLD NEIGHBOURS
PO Box 14728; Nairobi
Contact: Elkanah Odembo Absalom, tel.: +254-2-440614,
fax: +254-2-443443

NEPAL
Winrock International
P.O. Box 1312
Kathmandu, Nepal
Contact: Geral Gill, Tel.: +977-1-212987/222904; fax: +977-1-222300

NETHERLANDS
International Course for Development Oriented Research in Agriculture
P.O. Box 88
NL-6700 AB Wageningen, The Netherlands
Tel.: (+31) 8370/22938; facsimile: (+31) 8370/18552

NIGERIA
Technology Planning and Development Unit
Faculty of Technology
Obafemi Awolowo University
IFE-Ife
Contact: Selina Adjebeng-Asem, tel.: (+234) 36/230290

Department of Geography
University of Ilorin, Ilorin
Contact: Oluwayomi David Atte,
tel: +234-31-221552-5, fax: +234-31-223170

NORWAY
Centre for Partnership in Development
PO Box 23, Vinderen,
0319 Oslo 3
Contact: John Jones, tel.: +47-22-451818; fax: +47-22-451810

PAKISTAN
ACTIONAID
House 5, St.32
F8/1 Islamabad
Contact: Richard Edwards, tel.: +92-51-858126; fax: 92-51-851821

SENEGAL
ENEA
B.P. 5579, Dakar
Contact: Bara Gueye, tel.:(+221) 253176 (can also be contacted through IIED, London)

GRAAP
CP 13, Dakar
Tel.:(+221) 254953
Focuses: training for local organizations
Contacts: Fadel Diamé, Lynn Ellsworth

SOUTH AFRICA
NATIONAL RURAL DEVELOPMENT FORUM
PO Box 32434
Braamfontein 2017
Contact: Kamal Singh, fax:+27-11-726-2241

SRI LANKA
Intercooperation
92/2 D S Senanayake Mawatha
Colombo 8, Sri Lanka
Contact: Dorothee Rojahn, or Mallika Samaranayake, tel.: (+94) 1-691215;
facsimile: (+94) 1-687467/695979

SWITZERLAND
AGRECOL
c/o Oekozentrum
CH-4438 Langenbruck, Switzerland
Contact: Ueli Scheuermeier, Alexandraweg 34, CH-3006 Bern, Switzerland

UGANDA
Forestry Department
Makarere University
PO Box 7062
Kampala
Contact: Dr. John Aluma (Head of Department)

UNITED KINGDOM
Sustainable Agriculture Programme
International Institute for Environment and Development (IIED)
3 Endsleigh Street, GB-London WC1h ODD, England
Contacts: Irene Guijt, Jules Pretty, tel.: (+44) 71/388-2117; facsimile: (+44) 71/388-2826

ITDG
Intermediate Technology Development Group
Publications
103-105 Southampton Row
GB-London WC1B 4HH, England
Training programs on "Applied Social Science Techniques": tel.: (+44) 71/4369761; facsimile: (+44) 71/4362013

USA
Center for International Development and Environment of the
World Resource Institute
1709 New York Avenue, N.W.
Washington, D.C. 20006, U.S.A.
Contact: Peter G. Veit

VIETNAM
Le Minit Tué
Trung tánà nghièn unú Lám ngièp (FRC)
Contacts: Pteu Nính; Phone Cháu; Vinh Phú

ZIMBABWE
Natural Resources Department
Ministry of Environment and Tourism
P.O. Box 8070
Causeway, Harare
Contact: Saiti Makuku, tel.: (+263) 4/729136 or 705661 or 705671; facsimile: (+263) 4/720738; telex: 26082 SIMTOUR

Periodicals that regularly carry articles about PRA activities:

- *Agricultural Administration (since 1987 Agricultural Adm. and Extension now megerd with Agricultural Systems to: Journal of Agricultural Systems)*
- *CIMMYT Newsletter*
- *Forests, Trees and People Newsletter*
- *IDS-Bulletin*
- *ILEIA Newsletter*
- *PALM/PRA Series*
- *Popular Participation Programme (PPP) Publications*
- *RAP News*
- *RRA Notes*

Sources available free of charge or at low cost:

Forests, Trees and People Newsletter
IRDC; Swedish University of Agricultural Sciences (SUAS)
Box 7005, S-750 07 Uppsala, Sweden
Especially: No. 15/16, February 1992, which contains 5 articles about RRA/PRA including a current review by Robert Chambers.

IDS-Bulletin and current unpublished articles on:
- "Rapid and Participatory Rural Appraisal" (Chambers 1992)
- "Notes on Relaxed and Participatory Appraisal" (Chambers 1992)
- Various reports on PRAs with women

Available from:
Helen McLaren
Institute of Development Studies
University of Sussex, Brighton, BN 1 9RE, UK

PALM/PRA Series available on request free of charge from:
MYRADA
2 Service Road, Domlur Layout, Bangalore 560 071, India
Tel.: (+91) 812/576166

Popular Participation Programme PUBLICATIONS
DSU (Development Studies Unit)
Stockholm University, Annex 1, S-10691 Stockholm, Sweden
A wide variety of publications in the field of participatory data acquisition techniques, baseline studies, and "consultations" are available from Paul Dover (documentalist), tel.: (+46) 8/16200, facsimile: (+46) 8/169110

RAP-News, published quarterly; available free of charge
United Nations University Food and Nutrition Programme
22 Plympton Street, Cambridge, M.A. 02138, U.S.A.

RRA Notes nos. 1-20ff, current issues available free of charge on request from:
Sustainable Agriculture Programme
International Institute for Environment and Development (IIED)
3 Endsleigh Street
GB-London WC1h ODD, England
Tel.: (+44) 71/388-2117
FAx: (+44) 71/388-2826
Back issues can be ordered free of charge by persons in the South, and by persons in the North against payment of ú 2.50 per issue or ú 33 for a complete set. It is also possible to be entered free of charge in the RRA list of subscribers.

Videos on PRA

The IPRA Method (1988)
Based on cooperation by an agronomist and a social anthropologist with farmers in Colombia using different varieties of beans and cassava. The farmers are shown jointly planning the experiments, performing them, and evaluating the results on their own. Available from: The IPRA Programme, CIAT, AA6713, Cali, Colombia.

Video to Scrimshaw/Hurtado 1987: **Rapid Assessment Procedures for Nutrition and Primary Health Care**
This films shows application of RAP techniques with a strong ethnological orientation in a parents' project ("Foster Parents Plan") in Guatemala. Available for PAL systems for the price of US$ 35.00; the corresponding book by Scrimshaw/Hurtado costs US$ 8.95 + shipping costs. Submit orders to: UCLA Latin American Center, University of California, Los Angeles, CA 90024-1447, U.S.A.; tel.: (+1) 213)825-6634 (Deborah Alaba).

A Participant's Diary of a PRA Exercise: Garudu-Kempanahalli, May 22-24, 1990
25-min. video by MYRADA, showing in considerable detail a field PRA. Probably the best visual introduction to PRA-methodology.
Available from: MYRADA, 2 Service Road, Domlur Layout, Bangalore 560 071, India.

Pictorial modelling: **A Farmer Participatory Method for Modelling Bioresource Flows in Farming Systems**
Aquaculture and the Rural African Farmer
Available for US$ 40.- from: Director, Information Program, ICLARM, MC P.O. Box 1501, Makati, Metro Manila 1299, Philippines. Facsimile: (+63) 2/816-3183

Participatory Research with Women Farmers (1991)
A professionally made video film that shows women farmers in India experimenting with and selecting pest-resistant bean varieties.
Can be ordered in French, Spanish and English versions from: T.V.E. P.O. Box 7, NL-3700 AA Zeist, The Netherlands. Tel.: (+31) 3404/20499; facsimile: (+31) 3404/22484. (Price: ú 20.-, free of charge for organizations in Southern countries)

Participatory Rural Appraisal (PRA) the AKRSP(I) Way (1992)
"This video film captures various training exercises conducted at Kabripathar, a village in Bharuch district during an international Roving Workshop on PRA. A team of 18 development professionals from 10 countries led by R. Chambers participated in this workshop" (IDS, n.d.)
to obtain from: The Chief Executive, AgaKhan Rural Support Programme, India (see: Network addresses).

Questions of Difference: PRA Gender and the Environment (1994)
A multi-lingual training package produced by IIED, comprising a four-part video, trainer's guide and slide set. Available 1994 in English, French and Portuguese - Price not yet notified.
Content of Video: Overview (34 mins) (A summary of the analytical framework subsequently illustrated by three case studies. The trainer's guide provides extensive suggestions for the use of each segment. Case studies (28 mins. each): Exploring Mangrove Use in Pakistan; Exploring Drylands Use in Burkina Faso; Exploring Biodiversity in Brazil. Can be ordered from The Sustainable Agriculture Programme IIED, London (Fax:+44.71.388.2826).

Bibliography

* (See the section on "Useful network addresses by institutions" for information on how to obtain these titles. If you're specially interested in an article that is difficult to obtain, for example draft papers or non-published workshop reports, it might be worth contacting either IDS, Brighton (Helen Mc Laren), or the authors, for a copy of it.)

** (IDS, Brighton is presently working on a bibliography on RRA/PRA that is regularly updated, and probably will also be made available as a computer data base on computer discs. Contact "PRA" at IDS).

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Box, L.

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Contining Education Center

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Reiner Forster, Juliane Osterhaus

Target Group Analysis:
What for, When, What and How?

Contents

Target Group Analysis - What For, When, What, and How?

This document provides guidance to GTZ staff in Germany and abroad as well as to consultants on how to (better) represent the views and interests of target groups in project preparation. For doing so the new options for an extended project preparation phase introduced in 1992 are a good prerequisite and increase considerably the scope for manoeuvre.[1]

These guidelines focus on the Target Group Analysis (TGA), a tool which has already been applied and asked for by GTZ's commissioning agencies (e.g. BMZ). However, so far TGAs often lack quality and appropriate timing.

The guidelines are especially useful for projects working in close contact with the population. However, also projects operating on higher institutional levels such as advisors to organisations and governments can profit from TGAs, since they also aim at sustainable effects on the level of the population, even if rather indirectly (for example in the context of social or economic policy programs). This requires differentiated information on the living conditions and the scope of action of the various social groups.

Due to some comments from colleagues to the first draft, the authors are especially concerned to clearly state that this document should not be mistaken as a guide to 'instrumentalise target groups'. Rather, it is meant to describe a preparatory step leading to a strengthened role of target groups in a participatory planning and implementation process.

1.   What For?

„Development processes can only succeed when the individuals concerned assume the responsibility for them... Therefore, an intended development must be based on the actuals needs of the people affected, and on the scope for action open to them."[2]

According to this essential position of German Technical Co-operation target group analyses serve to assess the needs and the situation of the population affected within the process of project preparation. TGAs constitute the basis for drawing up a suitable project strategy adapted to people's needs. Partner organisations and GTZ should take this as starting point for their subsidiary contributions, in the sense of 'bottom-up' planning.

> **BOX 1: Definition of 'Target Group'**
> Target groups are defined as persons or groups in society who are to be directly affected by the impact of a project. They are to be distinguished from the "mediating" organisations in the partner country which render support services to the target groups in order to achieve the intended effects. Usually German Technical Co-operation directly assists these mediators in implementing projects or programmes. (see Cross-sectoral Target Group Concept, BMZ, 1994 and PCM/ZOPP Guidelines, GTZ, 1995).

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[1] See also 'Guidelines for Appraisers working on Project Preparations', GTZ 1995.
[2] 'Project Cycle Management (PCM) and Objectives-Oriented Project Planning (ZOPP). Guidelines', GTZ 1995.

Target group analyses are suitable to achieve the following:

- to learn about how potential target groups perceive their problems, about the changes they desire and their scope of action;
- to assess whether the planned project strategy corresponds to the felt needs and potentials of the target groups;
- to understand social differences within the population (according to gender, social stratum, age, ethnic identity) and the varying extent to which different social groups are able to participate;
- to recognise the target groups' perceptions of and attitudes towards other stakeholders and institutions in the field, and to develop a realistic strategy for participation;
- to asses the risks and impact of a project idea or strategy;
- to make sure that the project will follow the policy and principles of German Development Co-operation as formulated by the BMZ.[3]

A target group analysis cannot substitute:

- sectoral studies (for example a detailed farming-systems-analysis)
- organisational analyses, or,
- quantitative, socio-economic surveys.

However, they may overlap or complement these.

TGAs offer a qualitative description and analysis of the point of view of the people affected. This does not exclude quantitative data or assessments (e.g. the percentage of female headed households in a region). But TGAs are not meant to be representative in a statistical sense, nor do they intend to give a complete ethnographic description of the situation. Their special value is rather to explore strategic features and typical patterns, to illustrate these by examples and to develop, out of these, proposals with regard to the project's strategy.

Generally, the responsibility for the clarification and preparation of a project lies with the partner organisation(s). This means that the information to be gathered by a TGA should already be part of the proposal of the partner country. However, this is rarely the case. To support the partner organisation in planning service-oriented projects adapted to people's needs is therefore an important part of Technical Assistance. In this respect TGAs are to be seen as one instrument of the planning assistance offered by German Technical Co-operation, just as an analysis of the best arrangement of implementing organisations or of the political and socio-economic frame conditions.

TGAs also facilitate the steering of the German contribution by GTZ and BMZ according to the policy and principles of German Development Co-operation. In addition, political decision-makers, partner organisations and GTZ often take a TGA as a point of reference for the perspective of the people concerned. TGA's support the decision making process at political level and of implementing agencies (partner organisations and GTZ) when developing - prior to concrete project planning - a realistic project strategy and co-operation setting. By no means, they can replace processes of participatory planning and decentralised decision making at the level of the target groups.

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[3] See also the priorities of German Development Policy and the Cross-sectoral Concepts of the BMZ: Promotion of Women, Socio-cultural Aspects, Principal Elements of Poverty Alleviation, Target Groups Concept etc.

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However, projects should only engage themselves in participatory processes at target group level, if the major political decisions have been made (sectoral and regional focus, strategic goals, funding ceiling,...). Frequently, it is only after the official commitment for external funding that a sufficiently stable basis for action is established justifying a project's engagement in participatory processes on target group level (as the latter usually requires a significant investment of time and personal commitment from the participants.)

2.   When?

Target group analyses constitute a part of the clarification of the point of departure of a project, and should be carried out as early as possible, i.e. during project identification and design.[4] This requires that already the first request for Technical Co-operation has to be examined concerning lack of information regarding the potential target groups. Deficits should be communicated to the applying organisation. Possibly, the applying organisation should be asked to submit additional information, or to conduct a TGA by its own. If the applicant considers himself not in a position to do this, GTZ may offer its assistance for the preparation of the project. Since 1992 the following options are available:

- advising an already known partner organisation how to design the project,
- advising the applicant concerning the clarification of the project's concept and its institutional structures,
- supporting the applying agency in designing an 'open orientation-phase'.

The fourth option for project preparation, the 'appraisal of a project proposal' requires that the priorities and perspectives of the people affected have already been examined and that a project design has already been elaborated. Under these circumstances a TGA is not necessary. Moreover due to the tight time schedule of a conventional project appraisal (about 4 weeks) it can not be carried out under this option of project preparation.

In practice it is not unusual that project implementation starts without the prior participation of potential target groups in the preparatory process. Also in these cases target group analyses may reveal important orientations. However, in these situations it is preferable to check the project's concept and the need for support by directly entering into a participatory process of learning and analysing comprising project staff and target groups. This process strengthens the target groups' influence on the project as well as their feeling of ownership.[5]

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[4] At times GTZ is commissioned by the BMZ with tasks supporting the country programming or preliminary identification of project ideas (e.g. country studies on self-help oriented poverty alleviation, activities within the „Study and Expert" fund etc.). Also in such cases, qualitative analyses can provide important information on the problems, priorities and scope of action as perceived by potential target groups. These studies differ considerably from a target group analysis conducted for a single project with regard to the leading questions, design and depth of the investigation. The term 'target group analysis' should only be used in the more specific case.

[5] Besides the 'classical' project a lot of attention is nowadays given to more open and flexible programme designs. Planning and implementation are handed over to a joint learning process of the actors involved. Only the strategic objectives and a budget ceiling are fixed in advance. In these cases there is no necessity for a TGA during project preparation, as there is a stable cooperation framework.

3.   What and How Much?

Usually, project preparation only allows to get first indications of how potential target groups perceive their problems, of their visions of change, their patterns of behaviour and existing social differences. Later, in the course of project implementation, the interaction with the social groups involved enables joint learning processes and helps to clarify and modify the first understanding. Hence, it is important to limit the collection of information in project preparation as to what is necessary to work out the strategic framework of the project.

The focus and design of a target group analysis depends on the status of project preparation and the methodology chosen. In case a project's objective (e.g. "degradation of forest resources in the protected forests reduced ") and conceptual elements have already been identified, a target group analysis will emphasise on the given objective. In contrast, if only the sector and the region of a project have been defined, but the objective is still very vague (e.g. „economic situation of male and female smallholders in region x has improved") the focus of the target group analysis has to be broader.

However, no matter what is the spectrum and depth of a target group analysis the following quality criteria have to be considered:

⇨ 'Target groups' are not homogeneous social groups. Therefore, any analysis of the situation of the intended beneficiaries and of their point of view has to differentiate with regard to gender, age, social stratum, socio-cultural and ethnic background and other relevant aspects.

⇨ The aim of TGAs should is not to present detailed and static descriptions of social and socio-political structures. Rather, they should allow for an understanding of those dynamic processes which determine the motivation for change, the decision-making process and the patterns of self-organisation.

The following questions and aspects represent a framework for the clarification of the situation of departure on target group level. The intensity to which the questions are to be explored depends on the stage of project preparation. Also, sectoral and regional aspects have to be considered when specifying the TORs for the team of consultants (see Box 3).

a.   Clarify how target groups perceive problems

- How have target groups been hitherto involved in the development of the project idea and strategies?
- How do the different social groups perceive the problems in regard to the project idea? (women/men, poor/rich, young/old, ethnic groups, other interest groups?)
- How do they judge the interrelation of causes and effects?
- Is the project idea related to problems which are relevant from the point of view of target groups?

This kind of Technical Cooperation will probably increase in future. (see also GTZ, Guidelines for the Implementation of Projects of German Technical Cooperation, 1995.)

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b. Clarify the visions and development objectives

- What kind of changes do various target groups envisage? What are their visions?
- Are the visions of improvement related to the problems identified? To what extent?
- How are the target groups' visions related to the objectives, interests and expectations of other important actors and groups affected (e.g. potential executing agency, powerful private business man)?

c. Clarify the potential for action

- Which activities have been carried out or planned by the people affected, in order to solve the problems? What experience have they gained in doing so?
- Is there additional potential for action to be tapped?
- Which kind of external support do the target groups need to benefit from these further potentials?
- What are the existing risks and (informal) coping-strategies, especially of poor persons and households?

d. Perception of and relation to other stakeholders

- How are the other stakeholders such as social groups, institutions and organisations perceived? Which interests and motivations are they presumed to have?
- Are the (potential) executing agencies accepted and judged legitimate by the population? If there is conflict or mistrust, which are alternative partner organisations?
- How do target groups assess the services of governmental and non-governmental organisations rendering support to them?
- Are there clashes of interests between different social groups (e.g. ethnic groups, migrant workers, immigrants, poor/rich)? Of which nature are they?
- Are there differences between or constraints for various social groups regarding their potential for participation?
- What are the consequences of these differences with respect to the project's strategy for participation?

e. Division of labour and use of resources

- Division of labour and workload
- Access to and control over important resources of production
- (Traditional) legal systems regulating the use of resources
- Existing livelihood systems (ways of living and economic activities) and management practices
- Obligatory contributions to the common household budget

f. Structure of local organisations and decision-making processes

- At target group level, which are the types of organisations and which functions do they have (formal/ informal institutions, political bodies)?
- How does public decision-making take place at target group level? Who is in control? Which are the specific constraints regarding articulation and participation of the different social groups?
- Which types of pooling and transfer of resources between households do exist? What is their function (communal work, social security, others)?
- Acceptance and legitimacy of the actual representatives and leaders at target group level?

BOX 2: Target group analysis of a Forest Project at the Beginning of an Open Orientation Phase in Ghana; Abstract of the Terms of Reference, 1993

„The target group analysis shall differentiate according to gender and other social and cultural groups, e.g. ethnic and linguistic groups, poor / rich, user groups, such as small-holders, coffee growers, employees, commercial timber companies."

Information regarding the following topics is required:
- Profile of different social groups, institutions, political leaders and administrative structures in the project area and their relation to the forest resources (interests, problems);
- Analysis of the most common types of household economies and agricultural systems; (definition of household, its composition, division of labour, sources of income and patterns of spending, control over and access to resources, products, profits; obligatory contributions to household budget);
- Role of the forest and of forest products in the livelihood systems of local people;
- Regulations regarding access to land, property rights and use of forests (formal/ legal vs. traditional regulation; individual vs. communal property, usufruct and rules of inheritance);
- Management practices concerning forests, stock of trees, forest products (prevalent contemporary and former practices of use and maintenance, changes);
- Other factors influencing the use and maintenance of stock of trees, woodlands and forest products (social and cultural regulations, customs, taboos);
- Local perception of how the forest resources in the project area have developed (problems regarding access to land, use of protected forest areas, stocks of trees and forest products; awareness and existing explanations of causes for and effects of the degradation of forest resources; ideas for improvement and change);
- Target groups' perception of and attitudes towards the relevant organisations, authorities, forest administration, industrial users (legitimacy of social groups, institutions, organisations, political leaders and local administration).

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4.   How?

4.1   Methods

Target group analyses usually make use of the ample repertoire of qualitative research methods available in social sciences. Quantitative methods of data collection[6] support the determination of absolute parameters, dimensions of size and relations of clearly defined entities to each other. In contrast, qualitative methods are the appropriate tool to explore structures and interpretations of a certain issue as perceived by the people themselves. They allow the interviewees to actively take part and shape the process of data collection.

Qualitative methods are especially useful in exploratory research during project preparation, when it is important to gain a first idea of the social groups involved, their perception of existing problems, desires and motivations for change and the social relations between different actors.

The most common qualitative methods used are the interview (semi-structured interview with individuals or groups, narrative interview, informal talks) and participant observation.[7] Since 1980 the standard methods of qualitative social research have been complemented with interactive methods as well as elements of team-work and visualisation and been integrated into so called appraisal approaches. These methods are especially appropriate to enter in a participatory analysis and planning process at target group level.[8]

As explained above, participatory processes of analysis should only be supported, when there is already a sound framework for the cooperation which allows for continuous collaboration and realisation of first activities. During project preparation this is often not the case. The main purpose of TGA's usually is the collection of information. Therefore, the selection of methods to be applied should carefully consider the amount of time required for the people involved. As a rule this should be at the minimum.

> **BOX 3: Target group analysis, Mai Aini, Eritrea, 1994**
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> „At the time the target group analysis was conducted, the pilot areas of the project had not yet been chosen. Also, people had little time to spare as it was harvest season and it was not sure, whether project staff would apply a participatory approach during the first phase of the project. For these reasons, it was not tried to enter in participatory analyses, as priorily intended. Especially out of consideration for the population, it was not desirable to rise expectations which later could not be fulfilled by the project."

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[6] Quantitative methods mostly used in development cooperation are the following: closed questionnaires, standardized interviews of individuals, and direct observations. They are deployed in baseline surveys, surveys on income and population and when examining the indicators of the project's monitoring. These methods are hardly applicable in project preparation because of their considerable requirements of time and costs. Regarding the problems and deficiencies of quantitative methods, see also R. Chambers, IDS discussion paper 311, Rural appraisal, rapid, relaxed and participatory, 1992, and G. Gill: OK, the data's lousy, but it's all we've got, Gatekeeper Series No 38, London, IIED, 1993.

[7] See also Hopf/Weingarten, Qualitative Sozialforschung, Stuttgart, 1984, or Maier et al. Assessment of the district health system - Using qualitative methods, O.J. GTZ Abt. 412/ITHOG.

[8] See also Kievelitz/Schönhut zur PRA-Literatur, 1994; Kumar, K. (ed.) Rapid Appraisal Methods, World Bank, 1993.

4.2 Steps to Take

⇨ **Co-ordination among the Actors Involved**

When deciding for a TGA the objectives and expectations of the essential actors involved should be made clear. In the project preparation phase in Technical Co-operation these are the applying institution and the potential implementing organisation(s) in the partner country, and on the German side the representatives of the country desk and the sectoral divisions (abroad or at headquarters) and in the case of an open orientation phase the experts already at place.

The question how to make use of the results requires special attention and careful planning. If the effects of the TGA should reach beyond the final report, the integration of the results as well as of the research team into the ongoing planning and decision-making process is strongly recommended. If there is, e.g., a planning workshop with the various actors at the end of the consultancy, the results of the target group analysis have to be made a point and incorporated systematically. This task should be included in the terms of reference of the consultants.

⇨ **Timing**

The timing of the TGA should be chosen as to allow for an integration of its results in project planning. Also, target group analyses should not be conducted in seasons when the workload of both the male and female population is especially high.

Most often target group analyses are conducted as a single research of about 4 to 5 weeks. There are however other options available during project preparation. Especially during an open orientation phase, it may be attractive to stretch the target group analysis over a longer period of time. Starting from a first step including preparation and exploratory investigation which may be supported by external expertise further investigations may follow during a longer period of time.

⇨ **Involvement of Staff from Partner Organisation(s)**

The impact of a TGA significantly improves if colleagues of the partner organisation/-s (in case they have already been identified) join the study team. Mostly, also staff from partner organisations will make new experiences, get new insights and a better understanding of the situation and problems of the target population by participating at a TGA. In addition to an increased acceptance of the results of the TGA this may also help to plan and deliver services more according to people's needs. Prior to the target group analysis often a training in methods of non-directive communication and qualitative data collection is necessary. Generally, a joint target group analysis can serve as a good start for further participatory learning processes comprising.

⇨ **Sampling Procedure**

Qualitative target group analyses operate generally with a limited number of research places. Therefore, they do not generate representative results in a statistical sense. But, they can identify essential differences with regard to structures, patterns of behaviour and perceptions of problems. TGA should concentrate on a few typical places selected according to the most important criteria, such as ecology or population structure. The team should take care that the selection of research places is not guided by unintended factors such as accessibility. If the criteria adopted prove useful[9] till the end of

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[9] During the TGA the criteria should continuously be reviewed and modified if necessary.

the TGA, the results drawn from a dozen typical locations can be transferred to the entire region with a sound degree of plausibility.

The sampling of interviewees should be as representative as possible and should adequately cover disadvantaged social groups such as the poor, women and female heads of households, the youth and different ethnic groups.

⇨ **Preparation of Fieldwork**
Even in advance TGA's should make use of already existing reports and secondary literature. Especially, they should systematically bring in the knowledge and experience of indigenous expertise. The latter may be realised by a workshop of one or two days defining the questions of research, working out guidelines for interviews and deciding upon the procedures of fieldwork.

⇨ **Fieldwork**
During fieldwork aspects of roles and attitudes, such as respect, readiness for dialogue and learning and good manners are as important as a correct application of the methods of data collection. If possible, fieldwork should comprise overnight stays and sufficient time for participant observation (at least 2 days/nights per location). At the introduction the team should inform the hosts about the background and purpose of the visit. At the end of the stay results should be presented.

⇨ **Analysis of Findings**
The research team should discuss and analyse the findings continuously. Furthermore, all team members should take part at a final workshop, write a preliminary report and present the results to

> **BOX 4: "Gender-Specific Target group analysis in Mongolia", 1995**
> Individual interviews and group discussions structured around certain topics mostly took place in the tent of a family (ger), on the pasture when cutting hay, during milk processing and on the grasslands. This made it possible to observe a lot of the routine work. We took care to follow up those topics during the discussions which had been brought up by the livestock owners themselves. It were the animal holders themselves who prepared sketches of land use in order to complement their verbal statements. In a few cases proposals of practical measures could be registered. Often, the livestock owners emphasised their statements by practical demonstrations (e.g. felt making, tanning)."

political decision-makers. It proved advantageous to have the final report drawn up by an expert experienced in conceptual work. It is her/his task to link the analytical and descriptive findings to the potential project, its objective, strategies and concept.

4.3 Composition of Team and Professional Know-How

Conducting target group analyses in team-work proved highly efficient and successful. A good team offers an opportunity to scrutinise individual perceptions and interpretations and hence to generate more 'objective' findings. Persons with various disciplinary backgrounds have to examine and to synthesise their own thinking with the problems and priorities as perceived by the target groups. This allows for compensation of different levels of know-how and experience regarding the region, regional languages, methods and professional background.

The research team should not exceed 5 persons, since otherwise group dynamics requires too much time and effort. If necessary, several teams may be deployed. However, the co-ordination costs of working with two teams should not be underestimated.

The team should comprise different disciplines according to the sectoral focus of the project. At least one, better several team members should be social scientists by profession. One of them should be employed as team co-ordinator. The co-ordinator needs a good knowledge of the region and the research methods to be applied, and she or he should be professionally experienced. The co-ordinator is also responsible for the final report and should support the integration of the findings into project planning.

Generally, research teams should involve both genders. If this is not feasible, it is preferable to deploy an all-female team. An all-male team will have only very limited access to women's worlds. Whereas an all-female team gets the necessary information from men and is able to discuss the relevant topics, usually without too many difficulties.

The team should include local experts. In addition to colleagues of the partner organisations persons working with other local institutions, such as universities, research centres, NGOs or private enterprises may be involved. The advantages of local experts are their ability to communicate in the local language, their socially and culturally adapted style of behaviour as well as their understanding of everyday life in the specific society. However, local experts are not always preferable to expatriates. Sometimes they have problems to set up a confidential working relationship with target groups as they are considered members of the national elite or belong to a certain social class or ethnic group. If local experts experienced in Technical Co-operation as well as socially accepted and professionally qualified are available, there is no need to include an external consultant in the team.

As mentioned above, it is particularly important to include staff of partner organisation(s) to increase the impact of the TGA on the project concept and its acceptance by the organisation(s).

4.4   Resources

It is hardly possible to figure out the average costs of a target group analysis. Costs depend on the duration, the mix of Northern/Southern experts, the size of the project area, the travel expenses, the collaboration of counterparts and the availability of transport facilities.

The costs of a team of 5 members consisting of one Northern and one Southern short-term consultant as well as 3 colleagues from the project or a partner organisation, amount to about DM 50.000, assuming the following:

- Duration of the target group analysis at place: about 4 weeks
- Fees and travel expenses, Northern consultant: about DM 35.000
- Fees and travel expenses, Southern consultant: about DM 10.000
- The following costs are not included: transport, interpreter, salary of counterpart experts and so on...

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5. Further Reading

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6. Particular Questions? Advice on an individual case?

Various sectoral gender-guidelines as well as the relevant concepts of the BMZ provide further information about contents and relevant questions of target group analyses.

For advice on individual projects or programmes, for questions about how to proceed or to formulate TORs, when looking for consultants or working on the final check, please contact the advisors on Gender and Poverty of the regional departments 1 to 3 or Unit 04, Quality Assurance Group. There you have also the possibility to have a look at a collection of target group analyses, abstracts and examples of TORs.
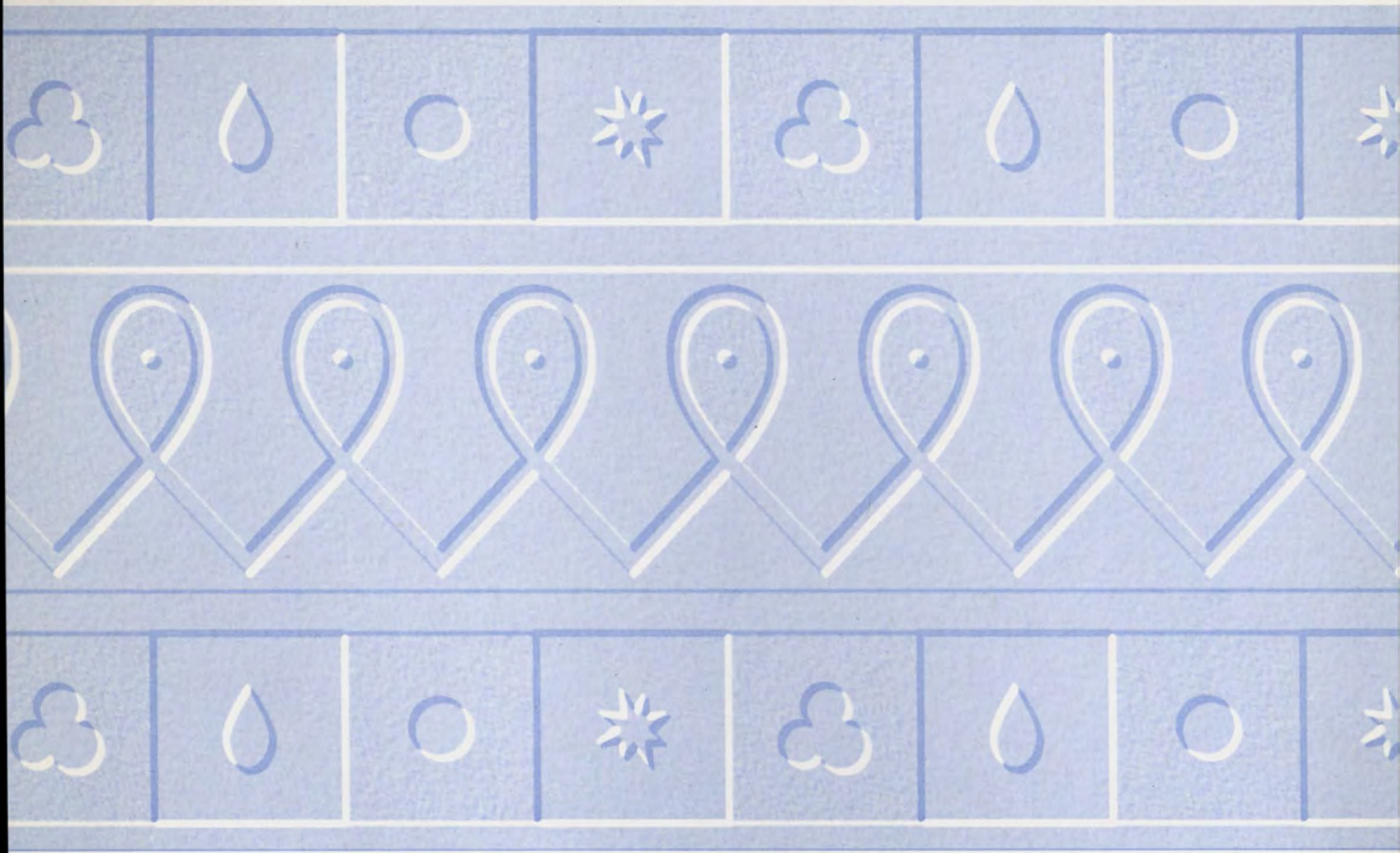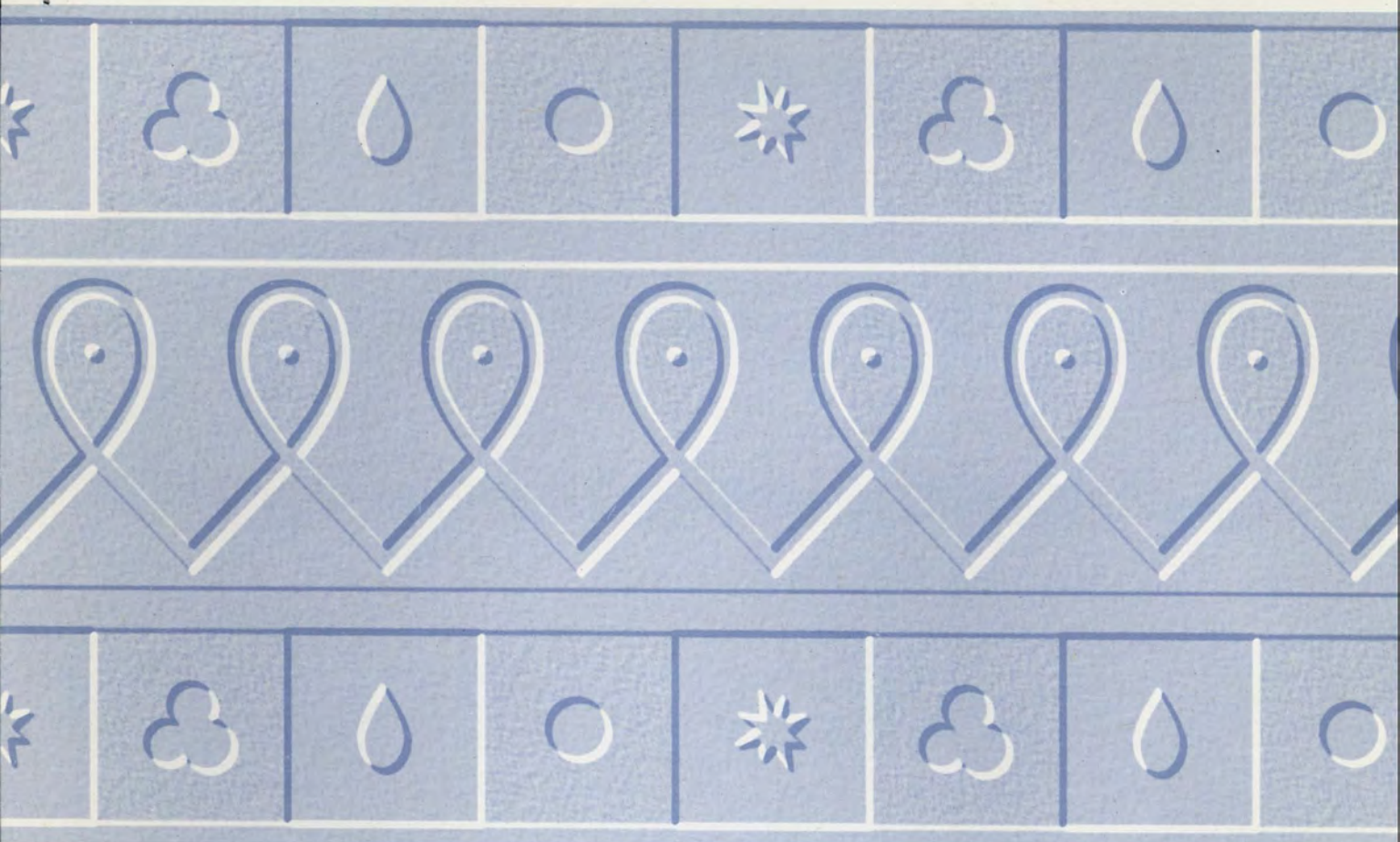
Participatory Development:

Reflecting on the Experience Gained at GTZ in Searching for Innovation

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gtz

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Participatory Development: Reflecting on the Experience Gained at GTZ in Searching for Innovation

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Summary

The paper describes how GTZ, the German Technical Cooperation Agency, has responded to the challenges of participatory development. It begins by describing the core elements of three GTZ-supported participation projects that have been considered successful: an urban upgrading project in Nasriya, Egypt; a watershed management project in Maharashtra, India; and a rural support programme in Balochistan, Pakistan. The authors consider in some detail how G7Z's terms of operation have begun to be modified so as better to support these kinds of projects. Key learnings are that 1) success in participatory projects requires that donors and their agencies be prepared to delegate clearly defined responsibilities and decision-making powers to in-country stakeholders from the very start of a project; that 2) a far broader spectrum of institutions as partner organisations than just the state must be involved; and 3) donors and their implementing agencies such as GTZ must continuously re-think and adapt their administrative procedures, instruments and strategies to suit the context-specific characteristics of individual participatory projects.

GTZ has set up an internal Research and Development project, including a number of regional learning groups, to analyse in greater depth the requirements and impacts of participatory projects. GTZ is beginning to see more clearly how planning and monitoring and evaluation methodologies, staff and policy evaluation instruments, and funding policies can best be modified to make participatory development more than a pretty concept.

Background to GTZ's experience

The need for a joint learning process to establish and understand the prerequisites and impacts of participatory development approaches has never been greater.

"Participatory development" is a notion that already has more than 25 years' existence: from the early self-help, community development and popular education programmes of the sixties and seventies, to the instrumental understanding of participation in the eighties, where participation was seen as an effective mechanism to mobilise local resources for pre-conceived projects or programmes, to the increasing awareness, finally, that participatory approaches imply the decentralization of decision-making power and of control over development resources while at the same time stimulating local capacities for self-determined, responsible development processes.

The "handing over" of decision-making power, together with capacity-building at the grass-roots, gives a special meaning to the concept of "empowerment". It is no longer the empowerment of "target groups" that occupies us but of people, the poor, women, villagers, resource poor farmers etc. Indeed the word "target" may already be part of the problem

since it implies that people and social groups are the objects rather than the subjects of development initiatives.

In our search for reasons why so many good ideas from past decades did not materialize, the question of ownership appears fundamental. The commitment and overall responsibility for development processes has to lie with the concerned social groups, institutions and organisations of the partner country, and cannot be substituted by outside interventions or foreign experts.

It is evident that the ownership question cannot be limited to the donor - recipient country relationship. If applied to the situation within the partner country it directly leads to questions about the roles, responsibilities and control of resources of different actors, institutions and the state. In this perspective, participatory development consciously addresses how the stakeholders negotiate and share control of development processes and, at least normatively, introduces into those processes the more marginalised sectors of society.

Before presenting some of GTZ's experiences in detail we would like to open with three general observations:

Commissioned by the Federal Ministry of Economic Cooperation and Development (BMZ) and other national and international donors, GTZ increasingly supports projects that make use of new participatory methods, learns from and cooperates with NGOs, and is committed to supporting self-help activities and institutional pluralism.

With regard to the concept "participatory development" we feel that the notion is increasingly falling apart. At present it acts as a kind of umbrella term for a whole array of fashionable notions such as political democratization, decentralization, institutional pluralism, capacity and institution building, interactive learning methods, and empowerment. In the examples cited below, more specific terms and concepts are used so as to allow for more precise and unambiguous interpretations.

Although we have been active in encouraging participatory approaches for quite some time, we have yet to carry out systematic analyses of the conditions needed for such approaches to flourish, and their impact on different aspects of political, institutional, and administrative life. Of course, we have had some promising evaluations and even unquestionable success stories in individual projects. However, the actual impact of these approaches on the beneficiaries, and on the broader social power structures, as well as their sustainability, however defined, remain largely unknown. There is a growing need for more systematic feedback from the field.

We are, however, sure of the fact that the concept of participatory development requires organisations and agencies to be willing and able to learn and change, and that does not apply only to partner countries! Both our internal organizational review processes and our involvement in the international debate on participatory development provided a clear indication that considerable changes are needed in our own organization, in terms of administrative procedures, instruments, and flexibility. We will flesh out at the end of the paper some of the more recent modifications and activities we have made in this regard.

Some lessons from GTZ-supported projects

There are a number of German Technical Cooperation projects which we consider good examples of how to implement the complex notion of participatory development. These represent learning fields for GTZ as an organization.

1. Nasriya: participatory bottom-up approaches can work!

As early as 1986, the Nasriya Upgrading Project began in a squatter settlement of about 50.000 inhabitants in the City of Aswan, Upper Egypt, following a participatory urban upgrading approach. The topdown threat was "to raze" the settlement. Housing was uncontrolled, there was almost no infrastructure, no schools or community schemes, and no public funds or administration to deal with an upgrading concept at the city level.

After learning from experiences of upgrading projects in Nepal (Bhaktapur Development Project) and Latin America, the strategy envisaged was to achieve the active participation of the 6,000 households and avoid the new "demolition and reconstruction" policy. The plan was to improve living conditions and local facilities through financially acceptable and socially tolerable means, mobilise the residents' interest in developing their abilities in self-administration and technical matters, and train them in the operation and maintenance of newly constructed or improved infrastructures.

Both the Egyptian and the German government and, very importantly, the local administration - headed by a very active and open-minded Governor - agreed with the concept of comprehensive participation of the local population stimulated by external guidance in organizational capacity building.

ZOPP proved to be a competent planning tool to organize the planning and monitoring processes, and the way participation was achieved in the project contributed considerably to the reformulation of GTZ's Project Cycle Management approach.

In numerous public planning meetings the layout and up-grading activities of the settlement were developed together with representatives of the local population. Improvements included the establishment and organization of a waste disposal system, the rebuilding of the road network, as well as social sector programmes such as schools, kindergartens, a community service center and playgrounds. The highest priority was given to the construction of a waste water network, a water supply network with a pumping station, and a storage tank. The test case, however, was the waste water network.

The execution of the work, which required heavy physical labor in a slopy, rocky area, was done by the inhabitants on the basis of fixed rules they had established themselves. The Project Team consisted of the following:
- The Project Director, a specialist from the Municipality;
- Representatives of each quarter of Nasriya who were responsible for mobilizing the inhabitants;
- one German project adviser and short-term experts;
- Egyptian specialists (architects, engineers, social workers), supported by German financial contributions.

The contribution of Nasriya's population to the construction of the infrastructure reduced costs by at least 25 %. Local financing was organized by fund-raising or by land sale to the inhabitants, the money being reinvested in the settlement. To some extent, government funds were added. The community's self-confidence was raised to the extent that the considerable tribal differences among the inhabitants were transcended, and a sense of self-reliance and responsibility for the organization and administration of the new structures achieved. From the very beginning, the inhabitants worked through more or less developed formal and informal local institutions, and not on government organisations which played only a supportive role.

The challenge of spreading the experience
This convincing development, the result of a mutual learning process between the local population and the outside support agency, is about to become a model approach in Egypt: after the evident achievements in Nasriya, other Governorates showed a vivid interest in adopting this urban upgrading concept and, currently, two new participatory upgrading projects in Greater Cairo are under preparation.

Special efforts will also be directed towards transferring the learning experiences of Nasriya and other individual up-grading projects to a great number of NGOs representing marginal urban settlements all over Egypt, as well as government services and private companies. The tendency is gradually to influence the national policy level. For the purpose of disseminating this approach, a special programme is under preparation to strengthen linkages between projects, facilitate inter-institutional networking, build up human resources through training, and support the elaboration of a government policy focusing on self-help and participatory development, as well as institutional pluralism.

2.   Initiating ownership and enhancing the self-organizational capacity of rural communities in Maharashtra, India.
Another participatory development project assisted by the German Development Cooperation (Financial and Technical Cooperation) is the Indo-German Watershed Management Project in Maharashtra, India. Since the majority of the population in this province earns its living in the biomass production sector, the project strategy aims to restore the ecological balance of a region plagued by deterioration of soil and water resources, and to increase biomass production on a sustainable and equitable basis through a "participatory watershed development and management" approach.

The project is characterized by its strict adherence to participatory planning and implementation whereby the villagers are the subjects of the project. The major role of the partner institution, the Social Center, an NGO of Maharashtra, is to secure the training of village facilitators and provide technical expertise on request. Outside support is only given after the villagers who have joined the programme of land reclamation and rehabilitation have agreed unanimously on what to do, have organized themselves in self-reliant community development committees, and proved their willingness and readiness to do unpaid, voluntary work.

The growing success of the project, which has spread from village to village, proves that environmental and ecological rehabilitation of inhabited areas is possible only when the

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concerned people see a reason for it and are fully involved in all aspects of decisionmaking, resource mobilization, management and conservation. Such a strategy is clearly focusing on people, rather than on technical aspects. Foreign expertise, when needed, is financed through the German contribution, but, for the most part, competent local expertise is widely available.

In one typical village, the evaluation of the process of promotion and participation showed that all the activities that were undertaken were based on a discussion of the felt needs of the villagers and a consequent delegation of tasks to the village committee. The Social Center considered every proposal as long as two conditions were met: a commitment to improve soil conservation and develop water resources. Otherwise the villagers' priorities were respected, with only the schedules being modified where necessary. To conclude, one could say that the Social Center was primarily acting in the role of an assistant and advisor, building up the self-confidence of the villagers and organizing information trips to exchange experiences with other villages. The strategy chosen and the respective delineation of roles resulted in the full ownership by the local population of the activities that were implemented, and an increased capacity on the part of the communities to tackle their own problems and steer their own projects.

3. *Unconventional self-help support - a task for a private company in Pakistan.*
In Pakistan, the "Balochistan Rural Support Programme" provides a good example of how the decision to use an NGO as a local implementing agency instead of a government institution improves the chances of achieving a sustainable, participatory regional development strategy. The interesting feature in this case is that, legally, the NGO operates as a private company. German experts assist in the areas of strategic institutional development, the elaboration of self-organization strategies and concepts, as well as in training in all aspects of self-management and organizational development. With this approach the project is able to support some 800 self-help groups according to their needs (income generating schemes, village infrastructural improvement, village committees set up on a self-help basis, the participation of women in planning and organizing development activities, the implementation of small credit systems for the rural poor, and training and institutional development for the participating organisations).

Financing for the project still depends on contributions mobilized by government, IFAD and the German Technical Cooperation. The execution of the labor, however, is completely organized and implemented by Village Organisations, Women's Organisations, Village Specialist Organisations and other self-help Groups in 12 of the 24 districts of the province. The programme is still growing, under the full responsibility of the Pakistani Management Group, and assisted by German and local experts.

Such is, in short, some of the "experience gained". The few project examples indicate that despite the fast that a systematic analysis of our experiences is still missing, some answers and lessons can already be drawn and direct us in re-orienting our strategies and organization.

Reorientations and challenges for GTZ as an organization

Pursuing participatory development approaches does challenge us, the outside support agencies, to continuously re-think and adapt our own "terms of operation" - administrative procedures, instruments, strategies and so forth. Below are set out some of the more recent modifications and activities that GTZ has initiated since 1992, based on the lessons learned so far, in its attempt to improve the ability of our organization to facilitate a more participatory and sustainable development.

When introducing ZOPP as a project planning procedure about 14 years ago, using the "logframe" as a tool, we were convinced that this would be a significant step forward in enabling beneficiaries and local staff to carry through well planned development processes. Today we know that is has been, though important, only a first step. If not used flexibly and in a process-oriented way, the method produces static results that do not take into account daily changes in the conditions, actors, policies and resources available. In addition, the promise that participation meant participation in decision-making did not in most cases materialize, neither for the beneficiaries of specific projects, nor for the local population more generally. That is why in an internal GTZ-project, called "Planning and Sustainability" it was decided that ZOPP be reformulated as only one of the tools within a broader overall concept of Project Cycle Management (PCM).

PCM is a participatory management approach in which the participation of the different actors, and their respective roles and responsibilities, are clearly defined from the very start of a project (or a programme), that is from its first planning and designing attempts. Within the PCM framework, ZOPP, formerly often equated with a one-week planning workshop, is now understood as a logical sequence of different steps, in which seminars or workshops, as well as other methods, such as PRA or RRA, can be integrated if appropriate[1]. The crucial difference is that the management tools and instruments are adapted to the stake-holder groups, and not the other way round. The success of PCM depends on our readiness and ability to delegate responsibility and decision-making power from the very start of a project to the stakeholders in the country. In order to allow for improved project preparation in the partner country, we have modified our administrative regulations to maximize flexibility so as to support better our partner organisations in elaborating project strategies together with the beneficiaries. Particularly for the preparation of self-help and participatory development projects this may mean that one only defines a loose cooperation framework with ample scope for flexibility and participatory learning processes. These changes and their implementation in our organization have been difficult as they can appear threatening both for HQ people and for project staff.

As we stated in the introduction, the impact of participatory approaches on beneficiaries and institutions in partner countries, and the prerequisites for their success are, at least on a

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[1] Compare for further **reading Project Cycle Management (PCM) and Objectives-Oriented Project Planning (ZOPP)**, GTZ 1996; **and Managing Implementation of German Technical Cooperation Activities**, GTZ 1995

representative level, largely unknown. Systematic analyses and specific evaluations so far have not taken place on a large scale[2].

What we know are usually individual cases, experiences and snapshots which are almost always (but not all of them) accounts of the early phases of projects entering a participatory mode. Little is known of how participatory methods and approaches are institutionalized in the whole of the project cycle, or which planning, administrative, institutional or political problems emerge in the process of switching to a more participatory approach. It is in this area that project and HQ staff keen to promote participation need greater clarity and conceptual support.

As an important step towards improving our understanding of participatory approaches, GTZ recently initiated a Research and Development project entitled "Critical Factors and Pre-Conditions for Success in Participatory Approaches". Its objective is to analyse and evaluate the insights and experience gained in project practice and to make them available both to the projects themselves and for GTZ-wide discussion. The analysis will include the results of learning groups in Africa and Asia which have examined their experiences on a regional and national level. These learning groups are attended by national and expatriate project staff with particular experience and interest in participatory approaches. Through this process we hope to gain much clearer insights and answers to some of the five following questions:

1. How do participatory methods fit in with the existing management instruments, regulations and procedures of the German Technical Cooperation, and which modifications emerge as necessary (planning methodology, monitoring and evaluation methods, staff and policy evaluation instruments, etc.)?
2. What experiences in regard to the work and funding requirements of participatory approaches are available, and how can planning and financing requirements be met?
3. What experience is there with participatory approaches and heterogeneous target groups, in which dominant subgroups attempt to manipulate the process and exclude others?
4. How have the results from participatory analysis and planning at a local level been linked to regional and/ or national decision-making processes?
5. What experience is available concerning supportive or restrictive environments for participatory approaches within partner structures, and how have restrictions been handled?

Another activity to promote participatory development approaches was an unconventional exchange of experiences in participation among NGOs from developing and industrialized countries. Called the "Dare-to-Share-Fair", this two-day meeting, which took place at GTZ HQ in 1994, raised the public esteem and acceptance of these approaches within GTZ. The fair fostered an intensive exchange between practitioners, GTZ, and its nongovernmental, sometimes distant partners in Development.

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[2] One positive example worth mentioning is the Deepa Narayan's World Bank ESD Paper No. 1 "The Contribution of People's Participation - Evidence from 121 Rural Water Supply Projects", August 1995. The paper presents promising results for those projects which gave special attention to users' participation.

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Government agencies like GTZ usually enter into a government-to-government agreement[3] as the basis for development cooperation. All to often they find themselves bound as partner organisations to government agencies that frequently follow a top-down approach and have low acceptance and legitimacy with the poorer sections of the population. It is a difficult procedure to break with this automatism, once the crucial role of bottom-up processes for sustainable development is understood. An important lesson concerning what we learned from practice (and it can be found in the project examples above) is that it is imperative to involve a far broader spectrum of institutions as partner organisations than just the state, be they NGO's, Chambers of Commerce, parent-teacher associations, religious movements or private enterprises. Accepting new and additional partner organisations in a project or programme seems to us a fundamental precondition for a successful participatory development strategy, both on a project and on a societal level.

Needless to say, there are dozens of new problems and hazards that come up when a participatory development approach is adopted. The relevant governments must be ready and committed to decentralize (in the sense of devolving a range of decision-making powers to local authorities), and have the political will to cooperate with, rather than control, the various stakeholder groups in a participatory development strategy. They must also understand the institutional consequences this will entail. This is no easy task. But we believe that, as far as possible, a precondition for "take off" is for socio-cultural and socio-political relations and conditions at the local level to be transparent in the starting phase of projects and programmes. Mechanisms also have to be developed to resolve conflicting situations that may arise from the different goals and objectives of local, regional, and national constituencies. The role, continuity, legitimacy and acceptance of the stakeholders' representatives must therefore be clarified from the very beginning. Existing institutions have to be brought in under terms that are clear. As for foreign experts, they need reliable mediators. In most cases they are not in a position to dip down to the real grassroot level.

There is no other way. The rationale, the soul of participation, its vitality, lies in the conviction that local people have the motivation, the potential and the creativity to solve their own problems and are realistic in their objectives.

Participatory development requires "organizational development" at all levels. Roles have to be redefined, new tasks drafted, and a new understanding of cooperation has to crystallize between the different actors concerned. We are in an ongoing process of adapting our project cycle, our management orientation and our methodology. Continuing the exchange in 'Learning Groups on Participation' on a regional and national level could help us to get a better understanding of what is really happening at farm, village or town level, where the constraints are, how to adapt our own organization and which kind and type of intervention is the most suitable to promote the process of participation both at project and at a broader societal level.

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[3] Compare **Dare to Share Fair. Participatory Learning Approaches in Development Cooperation Documentation and Directory**, Yvonne Mabille, GTZ, 1995.