

SARD Project Toolkit

*a resource guide for promoting SARD in
projects and programmes*

Acknowledgements

The *SARD Project Toolkit: a resource guide for promoting SARD in projects and programmes* (the SARD Project Toolkit) was prepared by Karen Powell, under the supervision of Eve Crowley and in close consultation with Paola Termine and Elisa di Stefano. It is the product of a collaborative effort between FAO, major groups from civil society and partner organizations.

The SARD Project Toolkit was prepared and finalized with support from the Government of Norway under the Programme Cooperation Agreement 2003-2004 (FNOP/INT/005/NOR). It is based upon a *Dossier of methodological tools for planning, implementing and evaluating SARD activities* (the Dossier), that was compiled by Gianfrancesco Constantini and Gabriele Quinti of the Rome-based NGO, CERFE. This Dossier was prepared in the context of the Italy/FAO Facility for Sustainable Development and Policy Implementation Assistance (GCP/INT/938/ITA), which is a Government of Italy contribution to the SARD Initiative.

The SARD Initiative is a multi-stakeholder umbrella framework that supports the transition to people-centred development and works to strengthen participation in project and policy development to achieve Sustainable Agriculture and Rural Development (SARD). The SARD Initiative links resources, expertise, knowledge and technologies with the demands of rural communities and disadvantaged stakeholders and communicates lessons relating to SARD to promote wider use of existing resources and the distribution of benefits.

The author is grateful to Eve Crowley (SDAR), Loretta Sonn (AGD), Dominique Le Gros (SDAR), Takashi Takahatake (SDAR), David Colberts (TCIE), Kevin Gallagher (TCOS), Ilaria Sisto (SDWW), Anne Sophie Poisot (AGD), Kirsten Sukalac (MG co-focal point for Business and Industry), Barbara Huddleston (TCOS), Paola Termine (SDAR), Constance Neely (SDAR), Elisa di Stefano (SDAR) and Jennifer Whelan (SDAR – volunteer), who provided comments on earlier drafts of the SARD Project Toolkit.

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ACRONYMS

ADB	Asian Development Bank
CARE	Co-operative for Assistance and Relief Everywhere
CBOs	Community-based organizations
CIDA	Canadian International Development Agency
CIESIN	Centre for International Earth Science Information
CMP	Community Micro-project Planning
DFID	United Kingdom Department for International Development
EC	European Commission
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmer Field Schools
GDF	Grassroots Development Framework
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (German Technical Cooperation Agency)
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IMA	Impact Monitoring and Assessment
IUCN	International Union for the Conservation of Nature and Natural Resources
M&E	Monitoring and evaluation
MDGs	Millennium Development Goals
NGOs	Non-government organizations
NRM	Natural resource management
OECD	Organisation for Economic Co-operation and Development
SARAR	(The) Self-esteem, Associative Strength, Resourcefulness, Action planning, Responsibility (Method)
SARD	Sustainable Agriculture and Rural Development
SEAGA	Socio-economic and gender analysis
SIDA	Swedish International Development Agency
SMART	Specific, Measurable, Achievable, Reliable and Time-bound (in relation to indicators)
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

Introduction

The full name of this document is the *SARD Project Toolkit: a resource guide for promoting SARD in projects and programmes*. The SARD Project Toolkit summarizes frameworks, approaches and tools that can be used to promote sustainability in the management of agricultural and rural development projects and programmes.

Frameworks provide an overall context for projects and programmes, and approaches include methodologies and tools that can be used in practice to manage agricultural and rural development projects.

Sustainable Agriculture and Rural Development (SARD)

The Sustainable Agriculture and Rural Development (SARD) concept emerged in the early 1990s to broaden goals for agriculture and rural development to include economic, environmental and social objectives. It aimed to focus attention on sustainability issues within agriculture and rural development in developed and developing countries. As a concept, it was introduced in the 1987 report on the Brundtland Commission on the Environment and Development. It was then confirmed at the Rio Earth Summit in 1992 and programmes and specific actions to promote SARD were defined in Chapter 14 of Agenda 21.^{1,2}

The concept of SARD has evolved into a paradigm for holistic development and an overarching goal that encompasses principles and good practices for sustainability. SARD involves practices and outcomes that are: ecologically sound; economically viable; socially just; culturally appropriate; humane; and based on a holistic scientific approach. SARD is also a process that:

- Ensures that the basic qualitative and quantitative nutritional requirements of present and future generations are met while providing a number of other agricultural products
- Provides durable employment, sufficient income, and decent living and working conditions for all those engaged in agricultural production
- Maintains and, where possible, enhances the productive capacity of the natural resource base as a whole, and the regenerative capacity of renewable resources, without disrupting the functioning of basic ecological cycles and natural balances, destroying the socio-cultural attributes of rural communities, or causing contamination of the environment, and
- Reduces the vulnerability of the agricultural sector to adverse natural and socio-economic factors and other risks, and strengthens self-reliance.

¹ A copy of Agenda 21 can be found at:

<http://www.un.org/esa/sustdev/documents/agenda21/english/agenda21toc.htm>

² The Food and Agriculture Organization of the United Nations (FAO) was designated the role of UN Task Manager for Chapter 14 and is responsible for monitoring and reporting progress on SARD to the Commission on Sustainable Development.

Within this framework, SARD can also contribute to the achievement of the Millennium Development Goals (MDGs) and related targets.³

There are many means for achieving SARD including, *inter alia*: people-centred development; the pursuit of sustainable livelihoods; the adoption of sound agro-ecological practices, sustainable forestry systems, sustainable fisheries management and Good Agricultural Practices (GAP); community-based natural resource management; participatory policy development; the incorporation of indigenous farming systems into land management practices; the adoption of fair labour conditions; and the promotion of equitable property rights and access to natural resources.

The adoption of SARD has required a fundamental change in how development projects are designed, implemented and evaluated and in the nature of the outcomes that development projects are trying to achieve. Some common difficulties are also experienced when trying to incorporate the multi-dimensional aspects of SARD into project management limiting the sustainability of project outcomes. To facilitate the adoption of SARD, researchers and practitioners have developed various frameworks, approaches and tools to incorporate the principles of sustainability into project management, improve project efficiency and effectiveness and maximize the sustainability or project outcomes.

Purpose of the SARD Project Toolkit

The SARD Project Toolkit provides an entry point into the many frameworks, approaches and tools that have been developed to promote sustainability in agricultural and rural development projects. The Toolkit helps readers to understand the scope of tools available, develop an initial understanding of tools and compare different tools. In this way, the SARD Project Toolkit can help readers choose which tools are relevant for their specific needs, operating context and project objectives and identify tools to investigate in further detail.

The Toolkit summarizes frameworks, approaches and tools that have been developed by practitioners working in agriculture and rural development and that have been tested in practice. It includes frameworks, approaches and tools that have been developed by various actors contributing to SARD, including the Food and Agriculture Organization of the United Nations (FAO) and its partner organizations. To broaden the scope of tools included in the Toolkit there is no focus on the tools developed by any one particular organization. The Toolkit also includes some frameworks, approaches and tools that address similar issues in a slightly different way.

This is the second version of the SARD Project Toolkit. This version does not include any assessment of the relative merits of the different frameworks, approaches and tools nor does it discuss their application or provide examples of their use. This version is not intended to prioritize the frameworks, approaches and tools that have been included or to be used as a training resource. However, additional information may be incorporated in future editions of the SARD Project Toolkit to serve these purposes. Such information would be sought from practitioners who are experienced in the use of the specific frameworks, approaches and tools

³ For further information about SARD, refer to <http://www.fao.org/sard/en/sard/index.html>.

presented in the SARD Project Toolkit. Ideas for the development of future editions of the SARD Project Toolkit are presented in Appendix 1.

In the meantime, practitioners can refer to the SARD Initiative Examples of Good Practice for case studies of good practices and lessons learned in implementing agriculture and rural development projects that seek sustainable outcomes.⁴

The SARD Project Toolkit is designed for use by two principal groups. Firstly, it can be used by professionals engaged in the design of agricultural and rural development projects and who are seeking sustainable outcomes. This might include consultants, civil society, development organizations and missions within governments and United Nations (UN) agencies. The Toolkit can also be used by those who are involved in the implementation and monitoring and evaluation of existing and ongoing projects to address specific project management problems. This group might include project managers and administrators and government and United Nations agencies.

Content of the SARD Project Toolkit

The frameworks, approaches and tools summarized in the SARD Project Toolkit were identified in a review of methods developed by international development agencies and non-government organizations (NGOs) and of the international scientific literature relevant to SARD.⁵ Frameworks, approaches and tools have been included in the Toolkit where there is:

- A functional use in the management of development projects
- A clear link to SARD practices and outcomes
- Potential to add value to agriculture and rural development projects
- Relevance across different projects (i.e. are not sector- or institutionally-specific)
- Relevance to small and large-scale projects and programmes
- Quality and practical information available, and/or
- Information that could be summarized in a way that is helpful for project managers.

⁴ SARD Initiative Examples of Good Practice: <http://www.fao.org/sard/en/init/1574/969/index.html>. Note that this page is undergoing revision and may not exist in its current form by the time the Project Toolkit is finalised.

⁵ Organizations reviewed included the United National Food and Agriculture Organization of the United Nations (FAO), the International Fund for Agricultural Development (IFAD), the United National Development Programme (UNDP), the World Bank, the Asian Development Bank (ADB), the Organisation for Economic Co-operation and Development (OECD), European Commission (EC), Canadian International Development Agency (CIDA), the UK Department for International Development (DFID), Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), the United States Agency for International Development (USAID), the Dutch Cooperation, the International Food Policy Research Institute (IFPRI), OXFAM, Cooperative for Assistance and Relief Everywhere (CARE), The World Conservation Union (IUCN) and the Centre for International Earth Science Information (CIESIN).

The summaries of individual tools include the following information:

- Common project management problems that the tool can be used to help
- Project activities the tool can be used for
- Reasons for using particular tools
- Further considerations for applying each tool
- A brief background outlining the context in which the tool was developed (where relevant)
- Links to other relevant tools in the SARD Project Toolkit (i.e. frameworks, approaches and tools that address the same or similar issues and that can inform or be informed by the framework, approach or tool in question), and
- Links to original source material.

In each summary, information is presented in the order of the points above. A description of the tool is presented first, preceding specific details about the method and contextual information. This approach aims to minimize the amount of detail that readers need to cover in determining which frameworks/approaches/tools will meet their needs.

Table 1 provides a brief description of each framework, approach and tool that is summarized in the SARD Project Toolkit. This table also identifies the relationship between different tools in the Toolkit by identifying frameworks, approaches and tools that are: similar to; inform; or informed by each framework, approach or tool. Each framework, approach and tool is also given a reference number that is used to identify it throughout the SARD Project Toolkit.

The SARD Project Toolkit does not represent a comprehensive set of frameworks, approaches and tools for SARD. However it will be expanded over time to include additional frameworks, approaches and tools and additional information about the current tools.

The SARD Initiative welcomes suggestions of other frameworks, approaches and tools that have been useful in promoting sustainability in agriculture and rural development projects; and encourages the development of frameworks, approaches and tools where there are none currently available. Frameworks, approaches and tools proposed for inclusion in future editions of the SARD Project Toolkit and for development are listed in Appendix 1. Suggestions for the further development of the SARD Project Toolkit should be forwarded to Eve.Crowley@fao.org.

Structure of the SARD Project Toolkit

The frameworks, approaches and tools included in the SARD Project Toolkit are linked to the stages of the project cycle (see Figure 1). The project cycle is the sequence of stages that may occur multiple times throughout the lifetime of a project (see Figure 1). The stages include: project design and formulation, project implementation and monitoring and evaluation.⁶ These stages occur in succession and each stage forms the basis of the following

⁶ Herweg, K. and Steiner, K.,2002. *Impact Monitoring and Assessment: instruments for use in rural development projects with a focus on sustainable land management*, Volume 1, Centre for Development

stages. Project design and formulation inform project implementation and the requirements for monitoring and evaluation. Periodic monitoring and evaluation provide feedback to adapt project implementation and inform the design of future projects in response to lessons learned and changes in the project context. Good project management also involves processes that take place after project completion for the maintenance of project outcomes, the communication of results and lessons to transfer project benefits and learning.⁷

The tools are linked to the stages of the project cycle because tools are generally designed to assist with specific project management activities. However, some tools can be used to guide activities in multiple stages of the project cycle. Readers should refer to the summaries of individual frameworks, approaches and tools for the full range of activities that each tool can be used for. Linking tools to the project cycle is just one way of clustering the contents of the SARD Project Toolkit to help readers access the material.

In the SARD Project Toolkit, frameworks, approaches and summaries are also linked to common problems that can arise in the management of agricultural and rural development projects. This is because tools are often developed to address one or a number of related project management problems and readers may look for tools to address specific problems that they are experiencing. Project management problems can arise at each stage of the project cycle and will have implications for successive stages. Therefore there are often a number of options for preventing and mitigating project management problems that can be implemented throughout the project cycle. For example, problems that can arise during implementation may be addressed during project implementation or prevented through good project design.

The common problems that the SARD Project Toolkit can help to address are identified in Table 2. This list is a synthesis of the problems that individual frameworks, approaches and tools can help to address. The common problems are listed in Table 2 according to where in the project cycle they tend to arise. However, as some problems will be able to be addressed at more than one stage of the project cycle, tools relating to each of the stages of the project cycle may be identified to help address the problem. For example, tools to assist in project design, such as the Project Design Handbook, may be identified as relevant for addressing problems that arise in project implementation.

and Environment, Switzerland and Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), Germany

⁷ The actual terms used to describe the different stages of the project cycle can vary between different models of project management. For example, the project design and formulation phase may also be referred to as project planning.

Table 1: Frameworks, approaches and tools summarized in the SARD Project Toolkit

Framework/approach/tool	Description	Other relevant frameworks, approaches and tools in the SARD Project Toolkit
PROJECT DESIGN AND FORMULATION:		
1. Project Design Handbook	A logical framework for designing development projects including the definition of development problems and their causes, project goals and strategies and monitoring and evaluation requirements.	3: Incorporating livelihood security and human rights into project design 4: Stakeholder analysis 5: Gender analysis 7: Community Micro-project Planning 17: Grassroots Development Framework
2. The Social Assessment Method	A framework for incorporating operationally relevant social information and promoting stakeholder participation in the design and implementation of development projects.	4: Stakeholder analysis 5: Gender analysis 6: Socio-economic and Gender Analysis 7: Community Micro-project Planning
3. Incorporating livelihood security and human rights into project design	An approach for incorporating household livelihood security and human rights considerations into project design.	1: The Project Design Handbook 4: Stakeholder analysis 5: Gender analysis 6: Socio-economic and Gender Analysis 18: Impact Monitoring and Assessment
4. Stakeholder analysis	A framework for identifying key stakeholders and the relationships between them.	1: The Project Design Handbook 2: The Social Assessment Method
5. Gender analysis	A framework for analysing and integrating gender issues into development projects.	1: The Project Design Handbook 2: The Social Assessment Method 4: Stakeholder analysis 6: Socio-economic and Gender Analysis (SEAGA) 11: Addressing gender in development projects
6. Socio-economic and Gender Analysis programme (SEAGA)	An approach to development and emergency relief projects based on the analysis of socio-economic patterns and the participatory identification of gender issues.	1: Project Design Handbook 2: Social Assessment Method 3: Livelihood analysis and human rights in project design 4: Stakeholder analysis
7. Community Micro-project Planning (CMP)	A bottom-up, participatory community planning process.	1: Project Design Handbook 2: Social Assessment Method 9: The SARAR method
PROJECT IMPLEMENTATION:		
8. Co-management of natural resources	An approach for managing shared responsibilities for natural resources.	2: The Social Assessment Method 4: Stakeholder analysis
9. The SARAR method	An adult education methodology for stakeholder participation and training in development projects, using visual, group-based techniques.	10: Establishing farmer groups/clusters 20: Participatory development of indicators
10. Establishing farmer groups/clusters	Guidelines for establishing effective rural groups.	9: The SARAR method 12: Technology transfer for SARD 14: Farmer Field Schools

Framework/approach/tool	Description	Other relevant frameworks, approaches and tools in the SARD Project Toolkit
11. Addressing gender in SARD	A checklist to guide the incorporation of gender issues into project design and formulation, implementation and evaluation.	2: The Social Assessment Method 4: Stakeholder analysis 5: Gender analysis 6: Socio-economic and Gender Analysis 16: Methodological framework for project evaluation
12. Technology transfer for SARD	A checklist for promoting technology transfer in SARD.	10: Establishing farmer groups/clusters 14: Farmer Field Schools
13. Participatory policy development	A method for engaging stakeholders in the development of agricultural and rural development policies.	4: Stakeholder analysis 9: The SARAR method 19: Selecting indicators 20: Participatory development of indicators
14. Farmer Field Schools (FFS)	A community-based, adult-education method using an active learning approach.	9: The SARAR method 10: Establishing farmer groups/clusters 12: Technology transfer for SARD
PROJECT MONITORING AND EVALUATION:		
15. The auto-evaluation method	A participatory evaluation methodology for the internal review of project achievements to facilitate learning and continuous improvement.	16: Methodological framework for project evaluation 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 19: Selecting indicators 20: Participatory development of indicators
16. Methodological framework for project evaluation	A framework for the systematic evaluation of development projects.	15: The auto-evaluation method 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 19: Selecting indicators 20: Participatory development of indicators
17. Grassroots Development Framework	A conceptual framework for planning, monitoring and evaluating development projects.	19: Selecting indicators
18. Impact Monitoring and Assessment	A participatory framework for incorporating impact assessment into the project cycle.	17: Grassroots Development Framework 19: Selecting indicators
19. Selecting indicators	A checklist of criteria for selecting indicators for monitoring the inputs, outputs, outcomes and impacts of development projects.	15: The auto-evaluation method 16: Methodological framework for project evaluation 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 20: Participatory development of indicators
20. Participatory development of indicators	A framework for developing sustainability indicators that can be used by land users to guide sustainable land management.	19: Selecting indicators

* Note: Most tools are relevant to more than one stage of the project cycle e.g. the selection of indicators and development of a monitoring plan should be considered in project design.

Figure 1: The flow of information and action in the project cycle

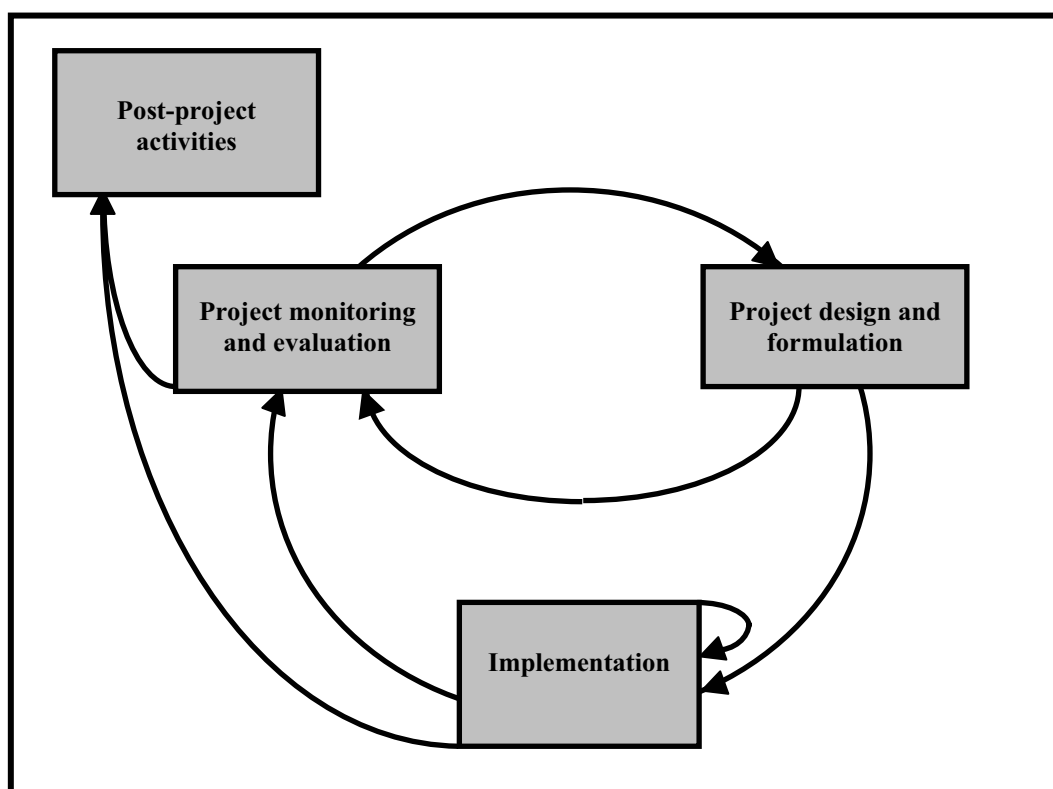


Table 2: Project management problems to address with the SARD Project Toolkit

Project management problem	Relevant frameworks, approaches and tools in the SARD Project Toolkit
<u>PROJECT DESIGN AND FORMULATION:</u>	
(1) Project objectives and activities are not linked by causal relationships.	Project Design Handbook (1)
(2) Project objectives are not clearly defined or measurable.	Project Design Handbook (1); Grassroots Development Framework (17); Selecting indicators (19)
(3) Project objectives and activities are not appropriate for different stakeholder needs, the physical environment and/or the broader social, economic and institutional context.	Project Design Handbook (1); The Social Assessment Method (2); Incorporating livelihood security and human rights into project design (3); Stakeholder analysis (4); Gender analysis (5); Co-management of natural resources (8); Participatory policy development (13); SEAGA (6); Community Micro-project Planning (7)
(4) Project design is not informed by lessons from previous projects.	SEAGA (6); The auto-evaluation method (15); Methodological framework for project evaluation (16); Grassroots Development Framework (17)
<u>PROJECT IMPLEMENTATION:</u>	
(5) Project activities do not address underlying causes.	Project Design Handbook (1); Incorporating livelihood security and human rights into project design (3); Community Micro-project Planning (7); Participatory policy development (13)
(6) Monitoring data is not collected and analysed during implementation.	Selecting indicators (19)

Project management problem	Relevant frameworks, approaches and tools in the SARD Project Toolkit
(7) Project activities are not adapted to account for new information or changes in the project context.	Impact Monitoring Assessment (18)
(8) Implementation is not consistent with the original objectives.	Project Design Handbook (1); Impact Monitoring Assessment (18)
(9) Project benefits don't reach intended beneficiaries or the household level.	Project Design Handbook (1); Social Assessment Method (2); Incorporating livelihood security and human rights into project design (3); SEAGA (6); Community Micro-project Planning (7); Participatory policy development (13)
(10) Projects have unintended and negative impacts	The Social Assessment Method (2); SEAGA (6); Participatory policy development (13)
(11) Participation in project activities is lower and/or less effective than anticipated or biased towards particular social groups.	The Social Assessment Method (2); Stakeholder analysis (4); Gender analysis (5); SEAGA (6); Community Micro-project Planning (7); The SARAR method (9); Establishing farmer groups/clusters (10); Addressing gender in development projects (11); Farmer Field Schools (14); Participatory development of indicators (20)
(12) Conflicting interests between stakeholders and/or stakeholder resistance to project activities.	The Social Assessment Method (2); Stakeholder analysis (4); Community Micro-project Planning (7); Co-management of natural resources (8); The SARAR method (9); Participatory policy development (13)
(13) Project benefits are not equitably distributed between social groups.	Incorporating livelihood security and human rights into project design (3); Gender analysis (5); SEAGA (6); Addressing gender in development projects (11)
<u>PROJECT MONITORING AND EVALUATION:</u>	
(14) Traditional evaluation methodologies are restrictive in their scope, cost and/or complexity.	SEAGA (6); Auto-evaluation (15); Methodological framework for project evaluation (16); Grassroots Development Framework (17)
15) The full range of impacts are not considered.	Methodological framework for project evaluation (16); Grassroots Development Framework (17); Participatory policy development (13)
(16) Evaluation does not consider the distribution of impacts among social groups.	SEAGA (6); Addressing gender in development projects (11); Methodological framework for project evaluation (16)
(17) Results are not credible.	The SARAR method (9)
(18) Changes and impacts cannot be attributed to project activities.	Impact Monitoring and Assessment (18); Methodological framework for project evaluation (16); Selecting indicators (19); Participatory development of indicators (20)
(19) Results are of limited use and cannot be easily communicated.	Methodological framework for project evaluation (16); Grassroots Development Framework (17); Participatory development of indicators (20)
(20) Evaluation does not inform future projects.	Auto-evaluation (15); Methodological framework for project evaluation (16); Grassroots Development Framework (17)
<u>POST-PROJECT PHASE:</u>	
(21) Project activities are not maintained after project completion.	Stakeholder analysis (4); SEAGA (6); Community Micro-project Planning (7); Co-management of natural resources (8); The SARAR method (9); Establishing farmer groups/clusters (10); Technology transfer for SARD (12); Participatory policy development (13); Farmer Field Schools (14); Participatory development of indicators (20);
(22) Project benefits do not extend beyond a single project.	Technology transfer for SARD (12); Farmer Field Schools (14)

Definitions

These definitions are based on those provided in the original source material for the frameworks, approaches and tools in the SARD Project Toolkit. This is to ensure consistency with the concepts that are inherent within each tool. It is possible that there are other definitions for these terms.

Evaluation: The measurement of progress with respect to original project objectives and the assessment of whether objectives have been attained and/or are relevant.⁸

Gender: The social roles and relations between men and women, including the different responsibilities of women and men in a given culture or location. Unlike sex, which is biologically determined, the gender roles of women and men are socially constructed and such roles can change over time and vary according to geographic location and social context.⁹

Household: The basic units in which resources are organized and allocated to meet basic needs.¹⁰

Indicators: Variables for measuring inputs, outputs, outcomes and impacts of project activities.¹¹

Livelihoods: The stocks and flows of food, cash and other resources required to meet basic needs including on-farm and off-farm activities for the procurement, storage, utilization and management of activities to meet those needs. Needs include: nutrition; potable water; health services and facilities; education; housing; social freedom etc.¹²

Monitoring: The systematic recording and periodic analysis of activities and outcomes to observe progress and changes in the project context.¹³

Participation: A process through which stakeholders influence and share control over the development initiatives, decisions and resources which affect them. Participation can take different forms, ranging from information sharing and consultation methods to mechanisms for collaboration and empowerment giving stakeholders more influence and control.¹⁴

Project design: The collaborative and systematic identification and prioritization of problems and opportunities to be addressed and the planning of solutions (in terms of inputs, activities, outputs, effects and impacts) and assessment of project outcomes.¹⁵

Stakeholder: Those affected by and who can affect (positively and negatively, directly and indirectly) the process and outcomes of development projects.¹⁶

⁸ Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organising, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon

⁹ FAO, 2004. *Training manual on gender analysis for monitoring and evaluation*, Rome, http://www.fao.org/sd/dim_pe1/pe1_040702_en.htm

¹⁰ Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta

¹¹ The World Bank, 2004. *Selecting indicators*, Poverty Monitoring Guidance Note 1, The World Bank, Washington D.C.

¹² Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta

¹³ FAO - Special Programme for Food Security, 2003. *Handbook on monitoring and evaluation*. FAO, Rome

¹⁴ Rietbergen-McCracken, J. and Narayan, D., 1998. *Participation and social assessment: tools and techniques*, The World Bank, Washington D.C.

¹⁵ Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta

¹⁶ McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note No. 13, September 1995, The World Bank, Washington D.C.

Project design and formulation

This section includes frameworks, approaches and tools to assist in the initial stage of the project cycle - project design and formulation.

Project design includes:

- The systematic identification and prioritization of problems and opportunities to be addressed through development projects
- The identification of a hierarchy of project goals and objectives linked by causal relationships
- The planning of solutions in terms of inputs, activities, outputs, effects and impacts, and
- The assessment of project outcomes.

Project formulation involves making detailed arrangements for the technical and operational aspects of project implementation such as the costing, financing and scheduling of project activities.

The identification of goals and objectives and the definition of inputs, activities, outputs and outcomes during the project design phase guide implementation and inform the assessment of project performance in terms of the efficiency and effectiveness of project delivery, the achievement of project objectives and project impacts.

Project design methods generally involve the use of project logic to link the resources and actions required to implement project activities to their direct outputs, their flow-on effects and their eventual contribution to the overall project goal. This creates a series of causal relationships. However, the link between each cause and its corresponding effect in project logic cannot be guaranteed as other factors also contribute to project effects. Therefore effects and impacts cannot be attributed to the cause with absolute certainty. Despite this lack of certainty, the causal links are critical to designing a project that is capable of achieving its intended outcomes and identifying activities that will contribute to project goals.

Common problems that arise from poor project design include:

- The development of project objectives that are not consistent with the needs and values of intended beneficiaries
- Failure to identify stakeholders and involve stakeholders in project design and formulation, implementation and evaluation in a way that empowers them to act and build ownership of project results
- The development of project objectives that are not measurable and therefore cannot be used to evaluate project performance and achievements or to communicate project results
- Projects activities that do not deliver the desired outcome economically and do not have the desired impact
- Project activities have unintended, negative side-effects.

The frameworks, approaches and tools in this section can help to achieve the objectives and avoid the pitfalls of project design and formulation. They can also help to build a multi-disciplinary and multi-sectoral approach to project design and formulation. The tools can be used by project managers and staff to increase internal capacity for project design and formulation, reducing reliance on external consultants for this work. Alternatively, project managers and staff can use these summaries to help them understand project design and formulation undertaken by external consultants. The frameworks, approaches and tools that are summarized for use in project design and formulation are listed in Table 3.

Table 3: Frameworks, approaches and tools for project design and formulation

Framework/approach/tool	Description	Related frameworks/approaches or tools
1. Project Design Handbook	A logical framework for designing development projects including the definition of development problems and their causes, project goals and strategies and monitoring and evaluation requirements.	3: Incorporating livelihood security and human rights into project design 4: Stakeholder analysis 5: Gender analysis 7: Community Micro-project Planning 17: Grassroots Development Framework
2. The Social Assessment Method	A framework for incorporating operationally relevant social information and promoting stakeholder participation in the design and implementation of development projects.	4: Stakeholder analysis 5: Gender analysis 6: SEAGA 7: Community Micro-project Planning
3. Incorporating livelihood security and human rights into project design	An approach for incorporating household livelihood security and human rights considerations into project design.	1: The Project Design Handbook 4: Stakeholder analysis 5: Gender analysis 6: SEAGA 18: Impact Monitoring and Assessment
4. Stakeholder analysis	A framework for identifying key stakeholders and the relationships between them.	1: The Project Design Handbook 2: The Social Assessment Method
5. Gender analysis	A framework for analyzing and integrating gender issues into development projects.	1: The Project Design Handbook 2: The Social Assessment Method 4: Stakeholder analysis 6: SEAGA 11: Addressing gender in development projects
6. SEAGA	An approach to development and emergency relief projects based on the analysis of socio-economic patterns and the participatory identification of gender issues.	1: Project Design Handbook 2: Social Assessment Method 3: Livelihood analysis and human rights in project design 4: Stakeholder analysis
7. Community Micro-project Planning	A bottom-up, participatory community planning process.	1: Project Design Handbook 2: Social Assessment Method 9: The SARAR method

1 - Project Design Handbook

CARE

A logical framework for designing development projects including the definition of development problems and their causes, project goals and strategies and monitoring and evaluation requirements.

When can the Project Design Handbook help?

- Projects do not address problems/opportunities that are important to beneficiaries
- Project strategies are not appropriate for the specific project context
- Project activities do not address the root cause of development problems
- Progress and project impacts cannot be measured
- Project goals and objectives are unclear, are difficult to measure and communicate
- Projects are not informed by lessons learned from similar projects.

What is the Project Design Handbook used for?

- Identifying the underlying causes and effects of development problems
- Identifying and defining project activities to address development problems
- Identifying assumptions in projects design
- Informing the selection of indicators to measure progress and success
- Incorporating lessons learned from previous projects into project design.

Why use the Project Design Handbook?

- Make project planning more holistic
- Maximize the potential for achieving project goals and objectives
- Help project impacts reach the targeted beneficiaries
- Improve the sustainability of project impacts and effects
- Address the underlying and root causes of development problems
- Encourage 'buy-in' to project design by staff, partners, community and participants
- Incorporate the principles of other development frameworks into project design (see #18).

Key concepts

Project design: The collaborative and systematic identification and prioritisation of problems and opportunities and the planning of solutions and ways of assessing project outcomes, which together will promote fundamental and sustainable change in target populations and institutions. Project designs formulate and describe five elements – inputs, activities, outputs, effects and impacts.

Inputs: All resources (e.g. money, materials, time and personnel) needed to undertake project activities.

Activities: The actions or interventions that convert project inputs into outputs such as communicating, training, construction, organization and management.

Outputs: The goods and services produced through project activities such as trained individuals, physical structures, documents or newly formed institutions. This is the highest level of achievement in the goal hierarchy over which the project has control.

Key concepts (continued)

Effects: Changes in human behaviour, practices and systems. Systems changes can include institutional competency (e.g. improved health-care systems), policy change (e.g. new or revised policies or change of enforcement) or service changes (e.g. more effective extension systems). Effects are the result of successful achievement of outputs and their realization is dependent on the sound logic of the project hypothesis. Effects are what others (such as beneficiaries) do on their own (while influenced by project outputs and external factors).

Impacts: Equitable and durable improvements in human well-being and social justice. The ultimate outcomes of development and emergency assistance (e.g. improved health status or well-being) measured at the individual, social, geographic or administrative level. There are various levels of impact, from more tangible and immediate impacts to broader impacts that may not manifest or be discernable until a later time. Projects aim at levels of impact that can be manifested during the project lifetime and programmes aim at ‘higher level’ longer-term impacts.

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Outline of project design

The key steps for the five phases of project design are described in Table 1.1, with supporting detail provided in text boxes.

Table 1.1: Outline of the project design method

Phase of project design	Key steps
<p>1. Holistic appraisal Identify the characteristics of the setting or operating environment in which livelihoods are conducted to inform the understanding of problems and opportunities.</p>	<p>a) Identification of the target population The individuals/ institutions directly affected by a problem and that might benefit from the project.</p> <p>b) Needs assessment Help identify problems and their causes that the project will address.</p> <p>c) Dissagregation/differentiation Define the target population in terms of different socio-economic groups and identify the most vulnerable groups.</p> <p>d) Stakeholder assessment (see #4 - Stakeholder analysis)</p> <p>e) Institutional assessment Identify potential collaborators.</p> <p>f) Gender analysis (see #5 - Gender analysis)</p>
<p>2. Analysis and synthesis Organization of information collected in the holistic appraisal to identify problems and their causes and effects in a systematic way.</p>	<p>a) Problem identification (see Box 1.1)</p> <p>b) Causal analysis/cause-and-effect analysis Link problems to their underlying causes and consequences.</p> <p>c) Hierarchical causal analysis A sequence of factors and conditions that contribute to the problem (see Box 1.2).</p> <p>d) Define problems, causes and consequences In terms of the condition that the project is intended to address (“what”); the population affected by the condition and the target population (“who”); and the area or location of the population (“where”).</p>

Phase of project design	Key steps
<p>3. Focused strategy Describe how the projects inputs and outputs will address specific causes and lead to sustainable improvements in livelihoods.</p>	<p>a) Select specific causes for the project to address (See Box 1.3)</p> <p>b) Develop interventions for each selected cause Actions and procedures developed to address each cause (see Box 1.4).</p> <p>c) Construct a project hypothesis and logic model Hypotheses are presumed correlations between outputs and effects that are either accepted from literature or tested during implementation. Logic models identify the causal linkages between inputs, activities, outputs, outcomes, longer-term strategic impacts and contextual factors (see Box 1.5)</p> <p>d) Identify key assumptions and key questions Assumptions are circumstances/conditions important for the success of the project but beyond direct control by the project Key questions can and should be answered during the design of a project.</p> <p>e) Identify and develop responses to unintended impacts</p>
<p>4. Coherent information systems Clearly define the project, how progress will be assessed and impacts will be measured.</p>	<p>a) Identify project goals The final project goal is an improvement in the lives of beneficiaries and contributes to broader objectives; effect objectives are changes in behaviour that must occur to achieve the final goal.</p> <p>b) Link goal statements and interventions (see Box 1.5)</p> <p>c) Develop operational definitions Describe goal statements specifically and identify indicators to simplify goals.</p> <p>d) Identify indicators for each level in the hierarchy (see #19 – Selecting indicators)</p> <p>e) Set targets and benchmarks (see #19 – Selecting indicators)</p> <p>f) Identify outputs, activities and inputs</p> <p>g) Develop a monitoring and evaluation plan Outline information needs to monitor implementation and evaluate progress.</p>
<p>5. Reflective practice Assess whether projects are on course to achieve goals and adapt the project to changes in the context.</p>	<p>(see Box 1.6)</p>

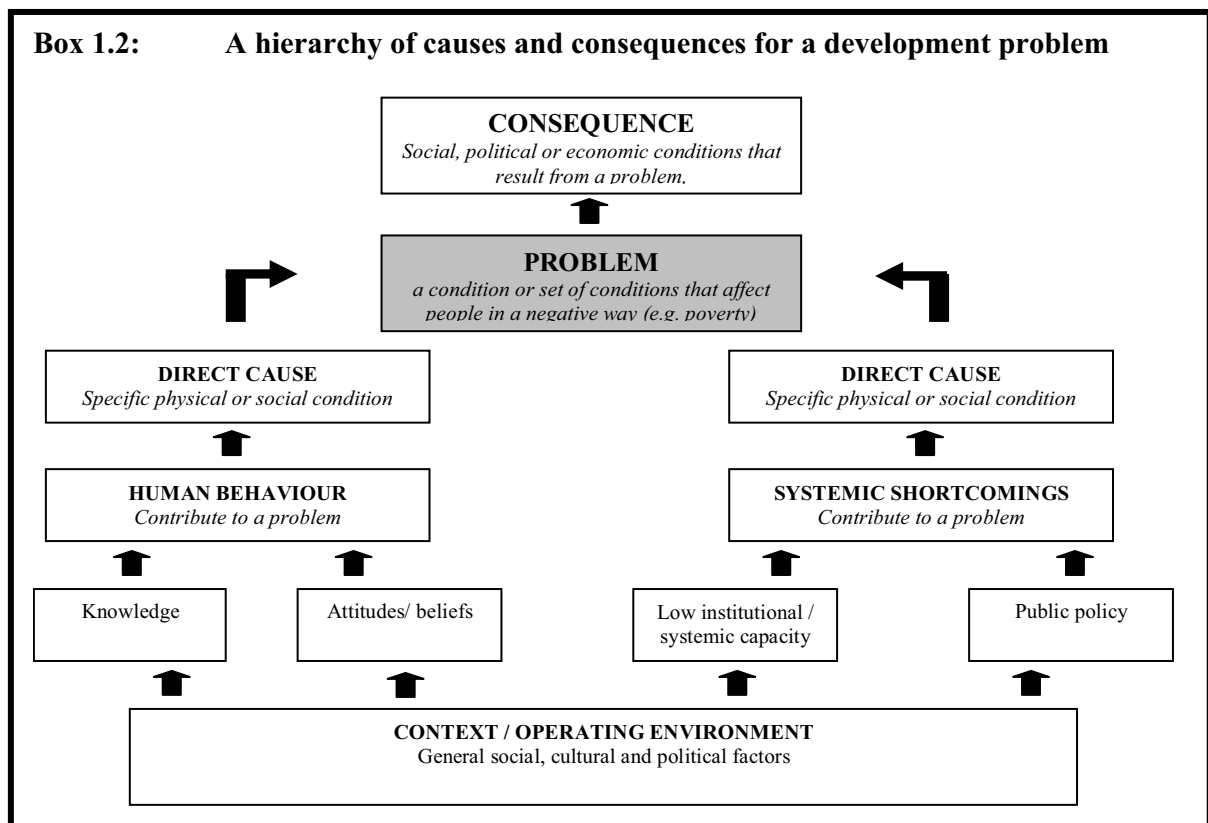
Source: Caldwell, R. 2002. *Project Design Handbook*, CARE, Atlanta.

Box 1.1: Problem identification

To identify the problems/opportunities to be addressed, consider:

- The degree to which resolving the problem (or seizing of the opportunity) fundamentally change the lives of the target group
- The significance and scope of the problem (the degree to which society considers it to be a serious problem and the number of people it impacts)
- Problems that are a priority for the affected community
- Organizational principles and objectives
- The comparative advantage of the organization (ability to address the problem)
- Donors interests and available resources.

Source: Caldwell, R. 2002. *Project Design Handbook*, CARE, Atlanta.



Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

- Box 1.3: Criteria for selecting a cause to address through a development project**
- Select causes that:**
- Have good potential to make a significant difference when eliminated
 - Make the most significant contribution to the problem
 - When addressed, can have a positive impact on eliminating other, related causes
 - The organization has the skills, experience and other resources to address
 - Are of potential interest to partner organizations
 - Make sense to participants.

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 1.4: Selection of project interventions

The selection of project interventions should involve the following 3-step process.

(i) Develop alternatives, based on:

- Current best practices
- Lessons learned from previous projects (including evaluation reports)
- Individual and institutional experiences
- Inputs from communities on desired solutions, and
- The review of research and secondary literature.

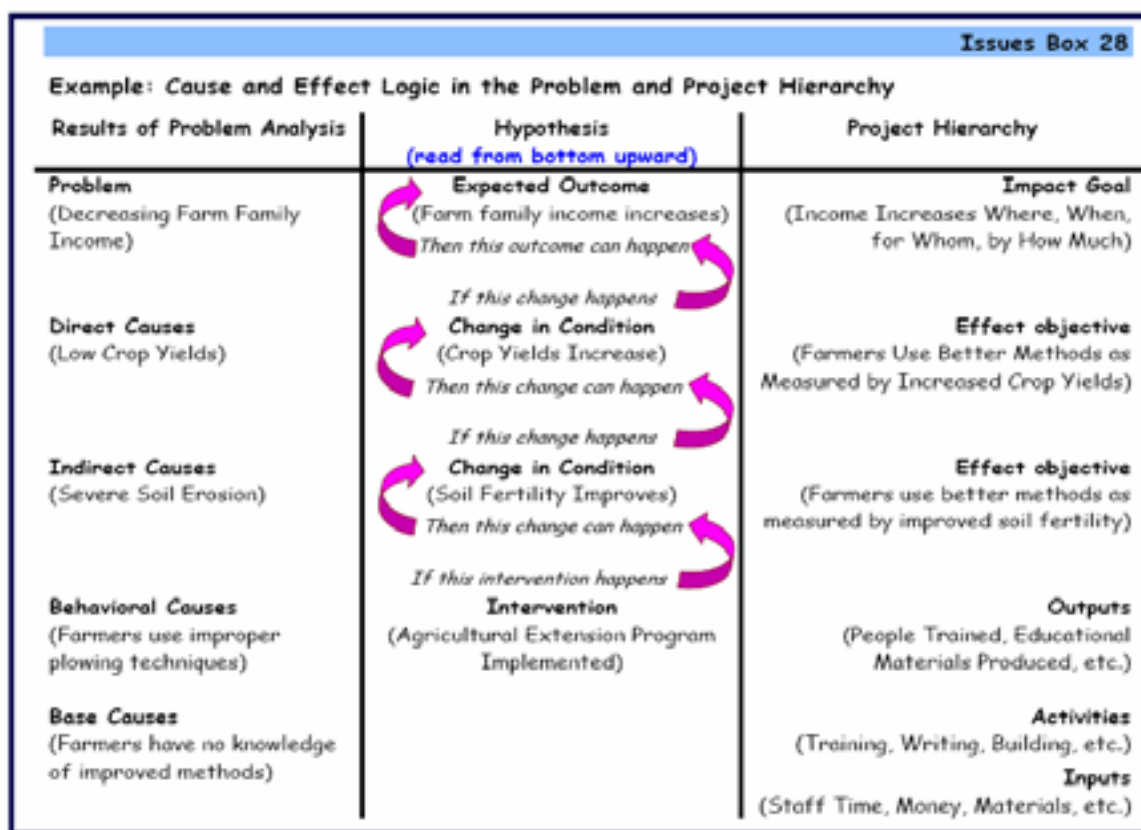
(ii) Selection criteria for determining the best intervention

- Cost-effectiveness
- Social acceptability
- Required management support
- Community support
- Sustainability
- Technical Feasibility
- Political sensitivity
- Level of risk.

(iii) Choose the best intervention

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 1.5: Example of project hypothesis and casual linkages



Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 1.6: Reflective practice strategies

Strategies to encourage reflective thinking to inform project design

- Recognise barriers to behavioural or systematic change, including changes in the operating environment
- Respond to barriers by recognising both similarities in other situations and the unique pattern of the particular situation
- Experiment with alternatives to discover the implications of various solutions
- Examine the intended and unintended consequences of an implemented solution and evaluate whether the consequences are desirable
- Question what, why and how one does things and ask what, why and how others do things
- View conditions from various perspectives
- Ask for others ideas and viewpoints.

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Further considerations

- Project design should also take the following considerations into account:
 - Broader programme and organizational objectives and goals
 - Other frameworks and principles used in project design (see #18)
 - Cost effectiveness
 - Strategies to minimize negative impacts and maximize positive impacts.
- A full scale Holistic Appraisal may not be feasible at the individual project level.
- Project design should be reviewed on a regular basis to adapt projects to changing contexts.

Background

This tool was developed for use within CARE's administrative framework and provides practical guidance for project design in general. While the terminology is consistent with CARE's own internal standards, it may vary from other models for developing a logical hierarchy of goals for development projects. The principles behind the framework can also be applied in conjunction with other approaches to project design.

Information presented in the boxes in this summary has been extracted from CARE's Project Design Handbook. In some cases, the material has been summarized but there has been no intent to change the meaning of the original source material.

Other relevant frameworks, approaches and tools

- # 3: Incorporating livelihood security and human rights into project design
- # 4: Stakeholder analysis
- # 5: Gender analysis
- # 7: Community Micro-project Planning
- # 17: Grassroots Development Framework (also informs project design)

References

Caldwell, R., 2002. *Project Design Handbook* (Working draft full version 1.0 July 2002), CARE International, Atlanta
[http://www.kcenter.com/care/dme/CARE%20Documents%20PDF/Project%20Design%20Handbook%20\(Published%20Version\).pdf](http://www.kcenter.com/care/dme/CARE%20Documents%20PDF/Project%20Design%20Handbook%20(Published%20Version).pdf)

2 - The Social Assessment Method

The World Bank

A framework for incorporating operationally relevant social information and promoting stakeholder participation in the design and implementation of development projects.

When can the Social Assessment Method help?

- Projects do not achieve their intended objectives
- Projects are not adapted to particular social and institutional contexts
- Project activities marginalize particular stakeholder groups
- Projects have negative social impacts, particularly on vulnerable groups
- Project objectives are not acceptable to beneficiaries and other stakeholders
- Stakeholder capacity to participate in project design and implementation is limited
- Project implementation is not supported by key stakeholders
- Stakeholder awareness of project objectives and activities is limited.

What is the Social Assessment Method used for?

- Identifying key stakeholders and designing processes for stakeholder participation
- Aligning project objectives with stakeholder needs, interests and capacities
- Identifying, prioritizing and addressing social and cultural factors that affect stakeholders' ability to participate in and benefit from development projects
- Assessing the distribution of impacts across different stakeholder groups
- Developing strategies to minimize or mitigate social risks and adverse impacts
- Identifying institutional arrangements for project delivery and stakeholder participation
- Assessing capacity building needs and building stakeholder capacity
- Involving stakeholders in project design and formulation, implementation and evaluation
- Identifying meaningful indicators of the success of development projects
- Obtaining continuous feedback from stakeholders and beneficiaries.

Why use the World Bank Social Assessment Method?

- Avoid over- or under-emphasis of any particular social issue
- Prioritize social variables and focus on operationally useful social information
- Build stakeholder trust, mutual understanding and ownership
- Promote equitable distribution of benefits across marginalized and vulnerable groups.

Key concepts

Social factors: Include demographic (e.g. population and population distribution), social (e.g. ethnic, tribal, gender, regional, caste, class and language), economic (e.g. risk aversion and access to markets), social organization (e.g. relationships and institutions) and socio-political (e.g. resource control) factors and stakeholder needs and values (e.g. attitudes and conflicts).

Operationally important social factors: Social factors that affect project implementation and impacts.

Source: (adapted from) McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, The World Bank, Washington D.C.

Outline of the Social Assessment Method

The key steps in the Social Assessment Method are outlined in Box 2.1 with supporting detail provided in text boxes.

Box 2.1: The Social Assessment Method

1. Initial overview

- Identify stakeholders, giving particular attention to ‘at risk’ groups such as the poor, landless, women, children, indigenous people and minority groups (see # 4 – Stakeholder analysis)
- Identify stakeholder interests, influence and power relating to the project (see # 4)
- Identify social factors and processes that may affect project delivery and impacts.

2. Assessment design

- Define the population to be studied, representative sampling methods and control groups (or other methods to ensure rigor)
- Define a research hypotheses for social analysis
- Identify units of analysis (e.g. intra-household, household or community levels)
- Design data collection methodologies that are appropriate for stakeholders and data collectors and that are sensitive to social differences such as gender, ethnicity and language groups
- Plan stakeholder participation in social assessment
- Determine when social assessment is to be incorporated into the project.

3. Data collection

- Identify and train local researchers and interviewers to participate in data collection
- Ensure data collection instruments are appropriate for stakeholders and data collectors
- Use a mix of qualitative and quantitative methods, using qualitative methods to analyse stakeholder relationships, describe multi-dimensional interpersonal interactions and non-income-related dimensions
- Supervise local researchers participating in data collection.

4. Data analysis and dissemination of findings

- Analyse data to answer questions that are operationally important to project design (see Box 2.2)
- Disaggregate data according to social groups such as gender
- Ensure data analysis is consistent with the country and organizational context
- Discuss findings and recommendations for project design with stakeholders to ensure that they are appropriate and acceptable.

5. Incorporation of data into project design

- Develop a social development strategy identifying social development outcomes and recommend social measures and institutional arrangements to achieve them. The strategy could include measures to strengthen social inclusion, empower stakeholders and minimise and manage social risks
- Clarify project objectives and the means to achieve them in light of social data
- Outline how to incorporate social development issues into project design and implementation including action plans to address specific social issues, monitoring and management in response to changes in the social context or unintended impacts
- Develop a strategy for ongoing stakeholder participation
- Develop a strategy to mitigate adverse social impacts
- Use the results of the social assessment and participatory approaches to inform the development of a monitoring and evaluation plan.

Source: (adapted from) McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, The World Bank, Washington D.C.

Box 2.2: Questions that social assessment should address

1. Social diversity and gender

- What are the different groups within the target population (e.g. ethnicity, clans, gender, locality, language, class, occupations, income levels)?^A
- What are the social and power relations between groups and the implications for access, capabilities and opportunities?^A

2. Institutions, rules and behaviour

- What are the characteristics of intra- and inter-group relationships?^A
- What are the relationships of social groups with public and private institutions?^A
- What are the formal and informal organizations that may affect the project and what are the informal rules and behaviours among institutions?^A
- What are the possible institutional constraints and barriers to project success and methods to overcome them?^A
- What institutional arrangements are required for stakeholder participation and project delivery?^B
- How will institutional capacity be built at different levels?^B

3. Stakeholders

- Who are the groups, individuals and organizations that have an interest in the project, including those likely to be affected by the project and those that may influence the project?^A
- What groups, individuals and organizations may be directly and indirectly affected by the project?^A
- What are the characteristics, interests and likely influence of the stakeholder groups?^B
- Are project objectives consistent with stakeholder needs, interests and objectives?^B

4. Participation

- What are the opportunities and conditions for participation, in project design, implementation and evaluation, particularly for the poor and vulnerable?^A
- How will otherwise-excluded groups participate?^A
- What social and cultural factors affect the ability of stakeholders to participate or benefit from the proposed project?^B

5. Social risk

- What are the social risks (e.g. country risks, political economy risks, institutional risks) to project implementation and success?^{A, B}
- How are the stakeholder groups vulnerable to stress and shocks and what are the factors that contribute to this vulnerability?^A
- How can social risks be managed?^A
- What will be the impact of the project on stakeholders, particularly women and vulnerable groups?^B
- How can negative impacts on stakeholders be managed or mitigated?^B

Sources:

^A The World Bank - Social Development Department, 2003. *Social analysis sourcebook: incorporating social dimensions into bank-supported projects*, The World Bank, Washington D.C.

^B McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, The World Bank, Washington D.C.

Further considerations

- Social assessment should build on existing data and analysis relevant to the project.
- More formal and sophisticated social assessment is required for more complex, significant or uncertain social conditions, impacts and risks.
- The nature of stakeholder participation (information dissemination, consultation, collaboration or empowerment) required for an effective social assessment will vary.
- Social factors should be incorporated as early as possible in project design.
- Build the in-country capacity to participate in social assessment to improve the effectiveness of social assessments in the future.
- The identification, analysis and development of responses to social impacts should be a participative and an iterative process.
- Social scientists should have experience with the stakeholders and social assessment tools.

Background

The Social Assessment Method was established by the World Bank Policy Thematic Team for identifying and using operationally useful social information and involving stakeholders in project design and implementation.

Other relevant frameworks, approaches and tools

- # 4: Stakeholder analysis
- # 5: Gender analysis
- # 6: SEAGA
- # 7: Community Micro-project Planning

References

McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, The World Bank, Washington D.C., http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2003/12/09/000160016_20031209175833/Rendered/PDF/273710sdn130see0also018199.pdf

Rietbergen-McCracken, J. and Narayan, D., 1998. *Participation and social assessment: tools and techniques*, The World Bank, Washington D.C., http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/1996/04/01/000009265_3980624143608/Rendered/PDF/multi0page.pdf

The World Bank - Social Development Department, 2003. *Social analysis sourcebook: incorporating social dimensions into bank-supported projects*, The World Bank, Washington D.C., http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2004/11/04/000090341_20041104150135/Rendered/PDF/304420PAPER0SourcebookFINAL2003Dec.pdf

The World Bank, 1996. *The World Bank participation sourcebook*, The World Bank, Washington D.C., <http://www.worldbank.org/wbi/sourcebook/sba108.htm>

3 - Incorporating livelihood security and human rights considerations into project design

CARE

An approach for incorporating household livelihood security and human rights considerations into project design.

When can this approach help?

- Projects are designed from a technical or sectoral perspective and not a holistic one
- Projects do not address the underlying causes of poverty
- Project impacts do not reach intended beneficiaries.

What is this approach used for?

- Identifying the causes and effects of development problems to inform project design
- Identifying project activities to address specific problems and their causes
- Undertaking holistic appraisal as a discrete step in project/ programme design
- Defining project inputs, activities and outputs to achieved desired effects and impacts.

Why incorporate household livelihood security and human rights considerations in project design?

- Enable the evaluation of impacts on household livelihood security and human rights
- Address the underlying causes of poverty and injustice
- Have an impact at the household level
- Account for the interdependence of individual human rights and livelihood security
- Put stakeholder priorities and goals at the centre of analytical and planning processes
- Help project impacts reach the targeted beneficiaries.

Key concepts

Household: The units in which resources are organized and allocated to meet basic needs.

Livelihoods: The stocks and flows of food, cash and other resources to meet basic needs including on-farm and off-farm activities for the procurement, storage, utilization and management activities required to meet those needs. Needs also include nutrition, potable water, health services and facilities, education, housing, social freedom, and so on.

Household livelihood security: Households have secure ownership of or access to resources, including reserves and assets and income-earning activities and can maintain their capability to satisfy basic human needs, off-set risks, cope with and recover from stress and shocks and meet contingencies and provide sustainable livelihood opportunities for the next generation.

Source: (adapted from) Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Household livelihood security and human rights in project design

Specific actions and considerations to incorporate household livelihood security and human rights considerations into project design are outlined below for the five phases of project design (see # 1).

Box 3.1: Steps for incorporating livelihood security and human rights in project design

Project design phase 1: holistic appraisal (*Identification of problems and opportunities and their context.*)

- Define the context in which livelihoods are conducted in terms of the social, cultural, institutional, economic, political, historical and physical factors and risks
- Identify strategies used to make a living and cope with stress
- Determine the financial, physical, social, human and natural assets that are used to make a living and how these assets are differentiated and disaggregated across ethnic groups, households and individuals
- Identify the poverty or livelihood status, institutional affiliation and geographic area of the target group
- Identify vulnerable and marginalized groups with consideration of how gender roles relate to these groups
- Maximize the impacts for vulnerable households by clearly defining the intended beneficiaries
- Identify stakeholders' responsibilities for the rights of the intended beneficiaries
- Assess how other institutions affect the rights of target population
- Identify local perceptions of institutions.

Project design phase 2: analysis and synthesis (*Identification of cause and effect relationships and selection of factors to address through project activities.*)

- Consider the impact of different actors in society on the fulfillment of people's rights
- Consider how different actors are meeting their responsibilities to address human suffering and poverty
- Focus on the root cause of poverty beyond the immediate causes of livelihood insecurity
- Ensure no cause is considered too political, sensitive or complex to address.

Project design phase 3: focused strategy (*Development of a strategy to address a specific cause of a problem, a project hypothesis and logic model.*)

- Assess the hypothesis for unintended impacts, including the full range of impacts on human dignity
- Identify unintended impacts through dialogue on rights, responsibilities and power relations
- Ensure interventions maximize positive impacts and avoid or minimize harmful impacts.

Project design phase 4: coherent information systems (*Identification of goals and development of a monitoring and evaluation plan to measure impacts and contributions to achieving goals.*)

- Goals should contribute to human rights and refer to the minimum standards required to meet them
- Inclusion, participation and empowerment should be essential program objectives in their own right
- Employ various accountability mechanisms, including ongoing, open engagement with program participants
- Evaluate the impact of addressing rights and responsibilities
- Understand and document impact at the household-level.

Project design phase 5: reflective practice (*Reflection on project design throughout project implementation to promote learning and change management to improve project outcomes.*)

- Monitor overall positive and negative impacts and respond to unintended impacts
- Monitor impacts on marginalized groups
- Incorporate learning into future analysis and strategy development
- Supports the consideration of human rights at an organizational level.

Source: (adapted from) Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Further considerations

- Ensure project design is still informed by conventional project diagnostic work and project design methodologies.
- Household livelihood security and human rights considerations also need to be incorporated into the implementation and monitoring and evaluation phases of the project cycle.

Background

This tool was developed for use within CARE's administrative framework, where household livelihood security and human rights-based approaches have been adopted at an organizational level. It also provides practical guidance for the process of project design generally (see # 1).

Other relevant frameworks, approaches and tools

- # 1: The Project Design Handbook
- # 4: Stakeholder analysis
- # 5: Gender analysis
- # 6 : SEAGA
- # 18: Impact Monitoring and Assessment

References

Caldwell, R., 2002. *Project Design Handbook* (Working Draft Full Version 1.0 July 2002), CARE International, Atlanta
[http://www.kcenter.com/care/dme/CARE%20Documents%20PDF/Project%20Design%20Handbook%20\(Publis hed%20Version\).pdf](http://www.kcenter.com/care/dme/CARE%20Documents%20PDF/Project%20Design%20Handbook%20(Publis hed%20Version).pdf)

4 – Stakeholder analysis

R. Caldwell

A framework for identifying key stakeholders and the relationships between them.

When can stakeholder analysis help?

- Stakeholders are marginalized or excluded from development project activities
- Stakeholders resist or oppose development projects
- There is conflict or commonalities between stakeholder groups
- Project objectives are not consistent with stakeholder needs and interests
- There is an uneven distribution of power between stakeholder groups
- Project success requires the ongoing contribution of stakeholders.

What can stakeholder analysis be used for?

- Identifying stakeholders
- Identifying stakeholder values, interests, priorities and differences and commonalities between stakeholder groups
- Analysing the relationships and power distribution between stakeholder groups
- Analysing the relative importance and influence of stakeholder groups and implications for project design, formulation and implementation
- Identifying stakeholder knowledge, skills and capacity to participate in programmes
- Identifying ‘key’ stakeholders.

Why use stakeholder analysis?

- Identify problems and opportunities to be addressed through development projects
- Identify project actions that meet the needs of intended beneficiaries
- Form partnerships and leverage additional resources for project delivery
- Develop ownership of project outcomes and commitment to project implementation
- Build on local knowledge
- Raise awareness of projects and their outcomes
- Maximize the potential for project benefits to reach intended beneficiaries
- Mitigate potential resistance to the project and maximize support for implementation.

Key concepts

Stakeholder: Those affected by and who can affect the process and outcomes of development projects (positively and negatively, directly and indirectly).¹

Key stakeholders: Stakeholders with high importance and/or high influence.²

Sources:

¹ McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, the World Bank, Washington D.C.

² Howlett, D., Bond, R., Woodhouse, P. and Rigby, D., 2000. *Stakeholder analysis and local identification of indicators of the success and sustainability of farming-based livelihood systems*, Sustainability indicators for natural resource policy, Working paper No. 5, Research project no. R7076CA, Department for International Development (UK)

Outline of stakeholder analysis

The four major steps in stakeholder analysis are identified in Box 4.1 and linked to additional detail in subsequent text boxes.

Box 4.1: Steps for conducting stakeholder analysis

- Identify principal stakeholders (see Box 4.2)
- Investigate their interests, roles, relative power and capacity to participate (see Box 4.3)
- Identify relationships between stakeholder groups and potential for cooperation or conflict (see Box 4.4)
- Interpret findings of the analysis and determine how this will affect project design and success (see Box 4.5)

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 4.2: Possible stakeholder groups

- Individuals and families – beneficiaries, those negatively affected and others likely to be affected or able to influence the project
- Government, government agencies and policy-makers
- Community-based organizations
- Non-government organizations
- Donors
- Religious organizations
- Local authorities
- Business and industry
- Utility organizations
- Research institutions and researchers
- Farmers
- Women
- Indigenous peoples
- Science and technology community
- Trade unions and workers
- Consumers
- Small farmers
- Rural poor

* This list is not presented in any order of priority and is not intended to be exhaustive. There may be some overlap in the groups listed as this list has been compiled from multiple sources.

Sources:

Caldwell, R., 2002. *Project Design Handbook*, CARE, Atlanta.

McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, The World Bank, Washington D.C.

Neely C.L., *Priorities of stakeholder decision makers*.

The Unit for Social and Environmental Research at Chang Mai University

(USER), 2004. *Sustainable production-consumption systems*, Chiang Mai, Thailand.

Box 4.3: Stakeholder analysis profile matrix

Stakeholder	Interests in the project	Effect of project on interest(s)	Capacity/motivation to participate	Relationship with other stakeholders (partnerships or conflict)?

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 4.4: Relative influence and importance of stakeholders

Influence of stakeholder	Importance of stakeholder to project achievement				
	Unknown	Low	Moderate	Significant	Critical importance
Unknown					
Low					
Moderate					
Significant					
Highly Influential					

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Box 4.5: Stakeholder analysis participation matrix

Stage in project planning	Type of participation		
	Inform (one-way flow)	Consult (two-way flow)	Partnership (e.g. joint involvement; co-planning, decision-making, shared resources, joint activities)

Source: Caldwell, R., 2002. *Project Design Handbook*, CARE International, Atlanta.

Further considerations

- The identification of stakeholders can be informed through personal knowledge, prior experience, literature and participatory methods involving stakeholders.
- A systems analysis identifying inputs, processes and outputs of farming systems, can also be used to inform stakeholders identification.
- The matrices presented here can be adapted to include additional or different information about stakeholders.
- Assess the relative benefits of conducting participatory processes separately with different stakeholder groups compared with running joint activities. Joint activities can promote learning and enhance understanding between stakeholder groups.
- Stakeholder analysis should be reviewed and updated throughout project design and implementation as new information about stakeholders becomes available.

Background

This tool has been compiled by the SARD Initiative from several references providing advice on the identification of stakeholders. The matrices, which form the basis of the tool, are a component of CARE's Project Design Handbook (see # 1).

Other relevant frameworks, approaches and tools

- # 1: The Project Design Handbook
- # 2: The Social Assessment Method
- #13: Participatory policy development

References

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5 – Gender analysis

UNDP Sustainable Livelihoods Unit

A framework for analysing and integrating gender issues into development projects.

When can gender analysis help?

- Access to and control of resources and labour conditions are influenced by gender
- Project impacts are not equally distributed between men and women
- Assumptions about gender roles are incorrect
- Activities are not appropriate for gender roles
- Gender differences limit human capacity and present costs to society.

What can this gender analysis be used for?

- Identifying and understanding differences in gender roles
- Identifying and understanding the relationships between men and women
- Designing project activities to accommodate and influence gender
- Assessing project impacts on men and women
- Supplementing statistical comparisons with qualitative data for a more comprehensive insight into gender roles and relationships.

Why use gender analysis?

- Integrate gender considerations into development projects
- Design and implement development projects that meet both women's and men's needs and deliver benefits for both men and women
- Incorporate institutional considerations alongside household issues in gender analysis, recognizing the impact of institutional capacity on achieving project outcomes relating to gender.

Key concepts

Gender: Refers to the social roles and relations between men and women. This includes the different responsibilities of women and men in a given culture or location. Unlike the sex of men or women, which is biologically determined, the gender roles of women and men are socially constructed and such roles can change over time and vary according to geographic location and social context.

Gender analysis: Helps to frame questions about women's and men's roles and relations in order to avoid making assumptions about who does what, when and why. The aim of such an analysis is to formulate development interventions that are better targeted to meet both women's and men's needs and constraints.

Source: FAO, 2004. *Training manual on gender analysis for monitoring and evaluation*, FAO, Rome.

Outline of gender analysis

Box 5.1: Factors to consider in gender analysis

When identifying differences in gender roles, developing strategies to address gender or assessing impacts according to gender, gender differences can be analysed in terms of the following factors and issues:

Household factors

- Dependency and authority and gender-driven roles
- Control over informal and formal income and headship of households
- Time available to engage in productive, paid activities and value placed on labour
- Time used for performing unpaid labour and productive activities
- Bargaining power
- Access to productive assets, economic opportunities, education and health services
- Individual capacities and coping mechanisms including stress and personal safety.

Policy factors

- Economic, political, socio-cultural and legal factors that influence the well-being of men and women
- Customary and statutory laws that discriminate on the basis of gender including property rights, ownership, laws of inheritance, family laws, citizenship and labour laws
- Resources invested in gender-related public policy
- Underlying, accepted gender differences (pre-conditions)
- Trade-offs faced by policy makers relating to gender
- Efforts to eradicate barriers to gender equality
- Strategies designed to create equality for the transaction of economic goods and influence the market to create desirable labour dynamics
- Rewards for egalitarian practices
- Identification and communication of practices which improve income options for women.

Institutional factors

- Recognition of gender in organizational goals and missions
- Involvement of gender-sensitive stakeholders in strategic planning activities
- Assessment of implications of existing policies and compensatory measures for men and women
- Human resource practices for promoting equal opportunities for professional growth for men and women
- Personnel policies with a gender equality focus
- Specific financial allocations for gender mainstreaming and special projects for women
- Use of evaluation criteria that specify gender
- Participatory approaches to involve men and women in evaluation and strategic planning.

Source: (adapted from) Mondesire A., 1999. *Gender in sustainable livelihood: issues, guidelines and a strategy for action*, United Nations Development Programme.

Further considerations

- The results of gender analysis should be incorporated at the earliest possible stage of the project cycle and should be an integral part of each stage of the project cycle.
- This is not an exhaustive list of factors that should be considered in gender analysis but an overview of issues relating to individuals, policies and institutions.

Background

This framework was developed by the United Nations Development Programmes' Sustainable Livelihoods Unit.

Other relevant frameworks, approaches and tools

- # 1: The Project Design Handbook
- # 2: The Social Assessment Method
- # 4: Stakeholder analysis
- # 6: SEAGA
- # 11: Addressing gender in development projects

References

Mondesire A., 1999, *Gender in sustainable livelihood: issues, guidelines and a strategy for action*, United Nations Development Programme, http://www.undp.org/sl/Documents/Strategy_papers/gender_sl.pdf.

6 – Socio-economic and Gender Analysis (SEAGA)

FAO

An approach to development and emergency relief projects based on the analysis of socio-economic patterns and the participatory identification of gender issues.

When can SEAGA help?

- The capacities and priorities of women and men are not always addressed
- Gender is often an add-on to decision-making
- Institutions can be gender-biased
- Support for rural women is focused on micro- or field-level interventions
- Men and women have unequal access to and control over productive resources, opportunities and have different degrees of influence in decision-making
- Disaster relief and rehabilitation are focused on the short-term.

What can SEAGA be used for?

- Including all stakeholder groups in participatory development processes
- Analysing gender roles and relations and addressing other socio-economic variables such as age, wealth, religion, caste, ethnicity and geographical location at the household, institutional and policy-making levels
- Addressing gender issues in planning, implementation, monitoring and evaluation for development and rehabilitation at the field, intermediate, and macro levels
- Reducing the disadvantages of women and other vulnerable groups
- Understanding gender-based needs, priorities, capacities and opportunities
- Developing a holistic perspective of the development context.

Why use SEAGA?

- Improve the sustainability of development by engaging all stakeholders
- Understand the influence of gender, wealth, ethnicity, caste and other social differences on livelihood strategies and development priorities
- Direct investment towards women and the most vulnerable groups to promote growth and development, reduce poverty, improve food security, and improve the well-being of children and households
- Increase efficiency and the potential for rural growth by promoting gender equity
- Address socio-economic patterns in emergency response projects to promote long-term development outcomes.

Key concepts

Socio-economic and gender analysis (SEAGA): SEAGA has three guiding principles:

- Gender roles and relations are of key importance
- Disadvantaged people are a priority
- Participation of all stakeholders is essential for development.

Source: FAO, 2001. *Project cycle management technical guide*, Socio-economic and gender analysis programme, Rome, 2001.

Outline of SEAGA

SEAGA recommends tools and approaches to address socio-economic and gender-related issues at the field (community), intermediate (institutional) and macro (decision- and policy-making) levels. Boxes 6.1 – 6.3 provide key questions and actions for development practitioners to ensure that gender and socio-economic issues are addressed at each of these levels. Tables 6.1 – 6.2 outline key questions and actions for incorporating gender and social differences in the project management cycle and in emergency relief programmes.

Box 6.1: Application of SEAGA at the field level

Aim: Identify and understand the needs and priorities of men and women and of people from different socio-economic groups as individuals, within households, and communities as a whole.

Development officers can use the key questions outlined below to analyse socio-economic and gender issues in the following types of field level analysis.

▪ **Developing an understanding of the development context**

Key questions:

- What are the important environmental, economic, institutional and social patterns in the village?
- What are the links between the field-level patterns and those at the intermediate- and macro-levels?
- What is getting better? What is getting worse?
- What are the supports for development? What are the constraints?

▪ **Analysing livelihood strategies**

Key questions:

- How do people make their living? How do the livelihood systems of women and men compare? How do the livelihood systems of different socio-economic groups compare?
- Are there householders or individuals unable to meet their basic needs?
- How diversified are people's livelihood activities? Do certain groups have livelihood strategies that are vulnerable to specific problems identified in the development context?
- What are the patterns for use and control of key resources? ... by gender? ... by socio-economic group?
- What are the most important sources of income? ... expenditure?

▪ **Identifying men's and women's priorities**

Key questions:

- What are the priority problems in the community? ... for women? ... men? ... for different socio-economic groups?
- What development activities do different people propose?
- For each proposed development activity, who are the stakeholders? How big is their stake?
- Is there conflict between stakeholders? ... partnerships?
- Given resource constraints and stakeholder conflicts, which proposed development activities can realistically be implemented?
- Which development activities must support the SEAGA goal of establishing an environment in which both women and men can prosper?
- Which development activities most support the SEAGA principle of giving priority to the disadvantaged?

* (See also # 4 – Stakeholder analysis)

Box 6.2: Application of SEAGA at the intermediate level

Aim: Account for gender differences and other socio-economic characteristics in institutions and services that link the macro and field levels through communication and transport systems, credit institutions, markets, extension programmes and health and education services.

Development planners working with international, national, non-governmental and private institutions can use the key questions outlined below to assess socio-economic and gender issues at the organizational level, in relation to:

- **The organizational context**

Key questions:

- What are people (men and women) content with?
- What are people (men and women) discontent with?
- What are people fearful about?
- What are people sad about?
- What are people hopeful about?

* These issues should be identified at the field-, intermediate- and macro- levels.

- **Organizational capacity**

Key questions:

- How do institutional structures and mechanisms such as policies and regulations control the costs and benefits of development?
- Are there gender-linked differences that effect the distribution of these costs and benefits?
- Which groups work most closely with community members?
- What are their ties to other levels, such as government and private sector groups?
- What are intermediate needs for capacity building in order to facilitate a participatory approach to development?
- How does the community infrastructure support opportunities for economic development in a community?
- Are there gender-specific aspects related to infrastructure?

Box 6.3 Application of SEAGA at the macro level

Aim: Mainstream gender within national and international, economic and social policies, including trade and finance policies and national development plans.

Decision- and policy-makers can incorporate socio-economic and gender analysis into agricultural policy and practice through the following actions.

Key actions:

- Develop the institutional capacity to incorporate gender into policy and programme work
- Conduct a baseline gender analysis of the agricultural sector
- Develop gender sensitive sector policies
- Improve budgeting to incorporate gender concerns
- Improve the monitoring and evaluation of policy in terms of the impacts on and implications in relation for different gender roles, including the analysis of gender disaggregated data.

Table 6.1: Incorporating SEAGA into the project management cycle

Key questions for incorporating socio-economic and gender considerations at each stage of the project management cycle are outlined below.

Stage in the project cycle	Key gender-related questions and criteria
Identification <i>Identify the project in a participatory manner.</i>	<ul style="list-style-type: none"> ▪ Have all stakeholders been involved in identifying project options? ▪ Will any stakeholders be disadvantaged? How may this be minimized? ▪ Are there any potential conflicts between stakeholders? How may they be resolved? ▪ Have the situational review and the socio-economic and gender analysis captured any differences that exist between members of the community? ▪ Have opportunities for addressing strategic gender needs been identified? ▪ Have all stakeholders identified ways in which they can contribute to the project?
Design <i>Design the project to meet the needs of stakeholders, especially the poorest of the poor and those who are usually excluded.</i>	<ul style="list-style-type: none"> ▪ Does the project recognize differences in the roles and needs of women and men? ▪ Will the project activities improve the productivity of women and men? ▪ Whose access to and control of resources will be improved? ▪ Who will benefit from the project and whose control of the benefits will increase? ▪ Whose participation in decision-making will be strengthened? ▪ Is the project meeting practical or strategic gender needs? ▪ Will the project empower women? ▪ Do the indicators differentiate between the impacts on women and men? ▪ What may inhibit women’s participation in the project? How may this be overcome? ▪ What will be the likely impact of the project on workloads? Will it be necessary to take any remedial measures?
Appraisal <i>Review the social and gender dimensions of a project.</i>	<ul style="list-style-type: none"> ▪ What will the effect of the project be on different groups at the individual, household and community levels? ▪ How will the project impact on women and men? ▪ How will men and women participate in various stages of the project cycle? ▪ Will the social benefits of the project be greater than the social costs over the life of the investment?
Proposal preparation <i>Include the gender and socio-economic dimensions of the project.</i>	<ul style="list-style-type: none"> ▪ Who are the beneficiaries and other stakeholders? What are the gender roles and different socio-economic groups? ▪ What are the gender-dimensions of project goals, objectives, outputs and activities, risks and assumptions ▪ How will the project promote the involvement of men and women and different socio-economic groups? ▪ How will monitoring and evaluation be disaggregated? ▪ Does the implementing agency have the capacity to address gender and socio-economic issues?
Implementation and monitoring <i>Ensure the target community participates.</i>	<ul style="list-style-type: none"> ▪ Are the gender-related dimensions of project activities and outputs consistent with target performance? ▪ How are the beneficiaries – men and women - responding to the project? ▪ Have any unexpected outputs arisen for different socio-economic groups? Should they be included in a revised logical framework? ▪ Have any killer assumptions or new risks emerged in relation to different groups?
Evaluation <i>Determine whether the project will meet the needs of disadvantaged people.</i>	<ul style="list-style-type: none"> ▪ Who were the intended beneficiaries of the project? How were they to benefit? Did the project address practical or strategic gender needs? ▪ Were there any unexpected outputs for beneficiaries – men and women? ▪ Have lessons been learned in relation to gender roles and socio-economic differences that could inform the design of similar projects in the future?

Table 6.2: Incorporating SEAGA into emergency programmes

This table outlines broadly, the issues covered by key questions recommended in the SEAGA approach for incorporating socio-economic and gender into emergency programmes.

Emergency programme component	Gender-related analytical questions
Context analysis	<ul style="list-style-type: none"> ▪ What are the effects of the crises on political, institutional, agro-environmental, economic and social patterns? How are these patterns linked? ▪ Are existing emergency support structures different for women and men? ▪ Have any lessons relating to specific gender issues and strategies in the broad context of crisis been documented from previous years? ▪ Is gender mainstreamed within food and agriculture policies? ▪ Do women and men participate equally in policy-making processes?
Participatory needs assessment	<ul style="list-style-type: none"> ▪ Who is affected by the disaster and what are the characteristics of the most affected groups in terms of food security and other livelihood assets? ▪ What problems are identified by women and by men? Which problems result from the gender-based division of labour or from inequitable access to resources? ▪ Do women, men or children have any capacity building needs? ▪ What capacities, assets, income, resource access and decision-making powers do women and men use to maintain their livelihoods? ▪ What are the specific needs of women and men for achieving household food security? ▪ Do women and men have access to adequate food supplies, water, sanitation, medical services, shelter, clothing, education, transport, energy sources, materials and psychological support? Will emergency supplies be acceptable for women and men? ▪ What are the gender implications of using the resources available within the community? ▪ Will women and men benefit equally and have equal access to any new community assets? ▪ Which proposed activities will directly benefit women and the most disadvantaged? ▪ Will the project change existing gender roles and relations? What are the implications? Does the project provide support for both women and men to manage these changes?
Targeting and registration of beneficiaries	<ul style="list-style-type: none"> ▪ Are the gender dimensions of vulnerability considered? ▪ Are gender-balanced criteria used to identify the beneficiaries? ▪ What role will women have in registering beneficiaries and distributing benefits? ▪ What are the implications of registration and distribution for women and men?
Local organizations	<ul style="list-style-type: none"> ▪ How can the local knowledge of men and women be used? ▪ What food security and agricultural programmes are available to women and men? ▪ Do women and men prefer different service providers and why? ▪ What are the capacities of informal networks and formal organizations available to women and men? ▪ How does women's and men's participation in decision making and implementation differ? What support measures are required to equalize their participation? ▪ What is the capacity of potential partner organizations to address gender issues? ▪ Is the gender of project staff important? What are the implications?
Implementation	<ul style="list-style-type: none"> ▪ What are the implications of women's involvement in aid collection and distribution?
Monitoring and evaluation	<ul style="list-style-type: none"> ▪ Are women and men able to provide feedback and participate in assessing project effectiveness and identifying problems? ▪ Is data disaggregated on the basis of gender? ▪ What were the differential effects of the project on women and men?

Further considerations

- The information provided in this tool is only a summary of the more specific questions and actions outlined in the SEAGA handbooks.
- The SEAGA approach and principles should be incorporated throughout all development and rehabilitation processes. The questions and checklists provided here should only be viewed as a starting point. These should be adapted and revised to suit specific situations and new, more specific questions can be included.
- The SEAGA handbooks also provide guidance on facilitation skills.

Background

The SEAGA programme started in 1993 and is organized by the FAO (Rome). The SEAGA approach was originally used for development purposes and is now increasingly applied in emergency relief and rehabilitation contexts to deliver long-term benefits for communities and individuals suffering from shocks. It is based on experiences in agriculture, forestry and fisheries and has been tested in a number of countries. SEAGA combines original tools with tools from a variety of development methods including project cycle management, the logical framework, rapid appraisal techniques, participatory approaches, stakeholder identification and organizational planning.

The SEAGA package includes guides for:

- Irrigation
- Livestock: planning with a gender and HIV/AIDS lens
- Rural households and resources: a guide for extension worker
- Addressing HIV/AIDS through agriculture and natural resource sector
- Microfinance
- Gender-disaggregated data for agriculture and rural development
- Mainstreaming gender perspectives in emergency operations (pocket document)
- Socio-economic and gender analysis for emergency and rehabilitation programs.

Other relevant frameworks, approaches and tools

- # 1: Project Design Handbook
- # 2: Social Assessment Method
- # 3: Livelihood analysis and human rights in project design
- # 4: Stakeholder analysis
- # 11: Addressing gender in development projects

References

FAO, 2001. *Field level handbook*, Socio-economic and Gender Analysis programme, Rome, 2001.

FAO, 2001. *Intermediate level handbook*, Socio-economic and Gender Analysis programme, Rome, 2001.

FAO, 2003. *Macro-level handbook*, Socio-economic and Gender Analysis programme, Rome, 2003.

FAO, 2001. *Project cycle management technical guide*, Socio-economic and Gender Analysis programme, Rome, 2001.

Further information (not included in bibliography)

www.fao.org/sd/SEAGA

7 – Community Micro-project Planning (CMP)

FAO (SDAR and AGSF)

A bottom-up, participatory community planning process.

When can Community Micro-project Planning help?

- Projects are not always adapted to local conditions and needs
- Projects do not always meet the needs of poor and of vulnerable households
- Community members are not often involved in identifying development problems and solutions to development problems
- Development project benefits are often not sustained after project completion.

What can Community Micro-project Planning be used for?

- Analysing the livelihood strategies of different socio-economic groups and identifying ways to improve them
- Ensuring that expected beneficiaries participate in micro-project planning
- Prioritizing development problems and micro-projects to address them
- Identifying responsibilities within communities for micro-project implementation
- Planning micro-projects in terms of actions, resource requirements and timelines
- Ensuring that micro-projects are feasible
- Informing grant applications and community investment plans for development.

Why use Community Micro-project Planning?

- Recognize that people are the experts of their own lives and that understanding the livelihood strategies of the poor can help to develop micro-projects that build on these strategies and enable the poor to fulfill their potential
- Involve a wide range of community members and leaders in decision-making
- Build people's capacity to participate in development planning
- Build on and support existing and new community organizations
- Ensure community members have ownership of development micro-projects
- Ensure communities take responsibility for the planning, implementation and maintenance of micro-projects
- Identify development projects that benefit large groups within communities.

Key concepts

Micro-projects: Development projects that are part of overall village or community development plans. There are three different types of micro-projects: 1) those that involve and benefit the whole community or more than a single household and create community-owned property, 2) those that improve the living conditions of individual households, and 3) those that improve individual household incomes.

Source: Sieffert, B. and Kodamanchaly, J., 2005. *Guidelines for participatory village planning for the National Programme for Food Security and Poverty Reduction*, Cambodia 2005, FAO, Rome.

Outline of Community Micro-project Planning

Community Micro-project Planning (CMP) aims to identify and plan micro-projects that address specific problems relating to food security and nutrition and their causes at the community and household levels. This tool focuses on planning for micro-projects that benefit the whole community or large, vulnerable groups within the community. It provides checklists that can assist with the following key steps in CMP:

1. Establishing a facilitation team (see Box 7.1)
2. Preparing for the workshop (see Box 7.2)
3. Conducting a workshop (see Boxes 7.3 – 7.6)
4. Developing micro-project action plans (see Boxes 7.7 – 7.9)

Box 7.1: Establish a facilitation team

Aim: Establish a facilitation team which consists of a maximum of 9 people, including representatives from different socio-economic and geographically-based groups within the community. Members should be experienced in facilitation. The responsibilities of specific roles within the team are outlined below.

1. Team Leader

- Take responsibility for the CMP team
- Take responsibility for all organizational and logistical matters concerning the CAP workshop
- Moderate the CMP workshop and evaluate meetings with the team
- Introduce the CMP team to the community
- Make sure that workshops start and finish on time
- Keep a record of the progress of different groups and assist the groups with any problems
- Ensure that women's groups have a female facilitator and female note-taker
- Coordinate the focused work of different groups or sub-groups
- Facilitate the summarizing and documentation processes of the smaller groups
- Stay in close contact with community leaders and opinion leaders during the whole workshop
- Facilitate the quick feasibility check (see Box 7.3)
- Hold an evaluation meeting with the CMP workshop team at the end of every workshop.

2. Facilitator

- Facilitate the group events, moderate the process
- Find ways of integrating dominant and quiet people
- Make sure that the groups keep to the topic and are flexible in handling additional information
- Repeat in own words what people say to confirm their understanding of the discussion
- Manage time
- Ensure that proper visualization techniques are used by participants or note-takers
- Support the note-taker in gathering all relevant information and completing the documentation sheets
- Report to the team leader.

3. Note-taker

- Bring necessary materials including paper for recording what is written on charts by groups during the workshop
- Observe the event from the background
- Write down all important information
- Support the facilitator directly by asking questions, if the situation requires it
- Make a copy of any visualized subject on blank paper or a prepared documentation sheet
- Discuss the notes with the facilitator while filling the documentation sheet after the end of the event.

Box 7.2: Prepare for the workshop

Aim: Organize the workshop, inform the facilitation team and prepare the community.

- **Develop an understanding of the development context and specific development problems**
Review existing documents on the socio-economic situation, livelihoods and farming systems, population data, previous workshop discussions and outcomes and development plans.
- **Identify the stakeholders and different groups within the community**
Identify stakeholder from different geographic areas, farming systems, age groups and socio-economic groups. The most vulnerable groups, including women, must be included.
- **Organize the logistics of the workshop**
Logistics include the organization of a venue, a time and date, transport etc.
- **Obtain and prepare the necessary materials for the workshop**
Materials may include paper, pens, flip charts etc.
- **Inform the community about the workshop**
Information that should be provided to the community includes:
 - Details about the members of the facilitation team and its tasks
 - An explanation of the CMP process, including the objectives, outputs and a proposed agenda
 - Opportunities for community members to formulate micro-projects
 - Different types of micro-projects
 - Technical and financial assistance available
 - Venue, time and duration of CMP workshops
 - Nature of involvement - participation is voluntary and that everybody is invited.

Box 7.3: Conduct the workshop

Aim: Identify, develop and plan micro-projects. A two-day agenda is provided below, as a guide.

Day 1: Identify possible micro-projects

- **Introduction**
Reiterate the objectives of the workshop and provide an explanation of the CMP process.
- **Identification of development problems**
In focus groups, identify problems to be addressed using participatory rural appraisal techniques.
- **Prioritization of identified problems**
Rank the list of problems according to importance to develop a priority list for further action planning.
- **Planning on the basis of analysis of problems and potentials (PAPP Matrix)**
Analyse problems, their causes and livelihood strategies, and propose solutions (see Box 7.4).
- **Ranking of micro-project ideas**
Rank micro-projects in terms of priority and include this in the PAPP Matrix (above).
- **Feasibility check of micro-projects**
Screen the proposed micro-projects according to criteria and refer rejected proposals (see Box 7.5).

Day 2: Develop micro-project action plans

- **Review brainstorming results, PAPP matrix and feasibility check from Day 1**
- **Institutional analysis**
Identify organizations, groups and individuals that can support the micro-project (see Box 7.6).
- **Prepare micro-project action plan**
Develop action plans to guide micro-project implementation (see Box 7.7).

Box 7.4: Planning on the basis of analysis of problems and potentials (PAPP) matrix

Aim: Analyse problems, their causes, livelihood strategies and potentials, and activities to address the problems identified.

PROBLEM	CAUSES OF THE PROBLEM	LIVELIHOOD STRATEGY	POTENTIALS	PROPOSED PROJECT	RANK (importance)
Describe the existing situation and the problem, its location and impacts.	What are the factors influencing the problem? Why do we have this problem?	How do you cope with this problem? What activities help you to minimize the problem or the cause?	What are the human, natural, material and social resources available to solve the problem or the causes of the problem?	What measures need to be taken to address the problem or causes of the problem?	

Box 7.5: Feasibility check

Aim: Assess the feasibility of micro-project ideas.

The following criteria can be used to assess the feasibility or micro-project ideas:

- The micro-project would benefit the entire village or a larger group of the poorest community members (<20 households) and have high relevance to reducing food insecurity in the village
- The micro-project has been proposed by community members, and was ranked among the top six ideas
- The micro-project is technically feasible in the proposed location
- The micro-project could be implemented and maintained by a community group
- Development officers or others have the capacity to support the group with further planning and implementation
- The micro-project will qualify for available grants, if additional funding is required
- The micro-project could be designed in a self-sustaining manner beyond the current development programme.

*Micro-projects that are rejected on the basis of the feasibility check should be recorded and referred on to community leaders and development officers for potential future development.

Box 7.6: Key questions for institutional analysis

Aim: Identify organizations, institutions, groups and individuals within the community that can directly or indirectly address the problems and identify their potential to support a micro-project.

The following key questions can be used to help identify institutional partners:

- Which organizations, local institutions, groups and individuals are responsible for and already work to address the problems identified in the PAPP matrix and their causes?
- What other institutions could be helpful in turning this idea into a successful micro-project?
- Which institutions are most important in terms of helping the micro-project interest group?
- What support could these institutions provide to the micro-project?
- Are any participants members of the organizations that have been identified?

Box 7.7: Develop micro-project action plans

Aim: Develop action plans for implementing micro-projects, with an emphasis on community ownership and management.

For each micro-project selected for implementation:

- Identify the micro-project goal
- Develop a preliminary plan for the micro-project (see Box 7.8)
- Discuss the preliminary micro-project plans with the rest of the community, clarify outstanding issues and identify the next steps in planning the micro-project
- Reorganize the focus groups to ensure that the membership structure meets the requirements of the different micro-project types and that members:
 - (i) Have a common interest in the micro-project goal
 - (ii) Agree on some basic rules for their group and agree to obey them
 - (iii) Elect their leaders and representatives
 - (iv) Are motivated to actively participate in meetings and other activities.
- Focus groups revise and finalize micro-project plans, undertake more detailed planning to identify resource and management requirements and identify whether any additional funding is required to implement the micro-project.
- Prepare a time plan for input requirements (see Box 7.9)
- Prepare a micro-project maintenance plan that includes expected tasks on a monthly basis, cash requirements for each month and roles and responsibilities for maintenance.

Box 7.8: Micro-project planning matrix

Aim: Assist in the preliminary and more detailed planning of micro-projects.

MAJOR ACTIVITIES REQUIRED TO ACHIEVE THE GOAL	DETAILED STEPS OF HOW TO DO EACH ACTIVITY	RESPONSIBILITY FOR EACH STEP/ACTIVITY	START DATE	FINISH DATE	PHYSICAL INPUTS REQUIRED

Box 7.9: Micro-project time plan for input requirements

Aim: schedule inputs required to implement the micro-project.

Month	Week		Month	Week		Month	Week	
	Cash required	Source (Community or other)						
<i>Input x</i>								
<i>Input y</i>								
Total cash required								
Cash from community								
Grant required								

Further considerations

- CMP is an ongoing, learning process. It should promote mutual accountability between community members and officials.
- Facilitators should: listen rather than teach; have a good attitude in terms of behaviour, respect, patience, a good sense of humour and a willingness to learn and reflect on their role; be willing to hand responsibility over to participants as much as possible and involve participants when writing on charts and drawing pictures; and be trained in the CMP methodology.
- Technical advisors and facilitators may be required to provide input during the identification of problem causes and detailed planning of micro-projects.
- Workshops should be conducted as often as appropriate for achieving the necessary levels of geographic coverage, participation and progress.
- Participatory monitoring and evaluation is an essential part of subsequent planning cycles and is important to improve the processes and methods used as well as the effectiveness and ultimate impact of micro-projects themselves.
- Members of the focus groups responsible for the implementation of the micro-project should have good leadership and coordination skills and the ability to delegate responsibility, anticipate and solve problems, keep adequate records and monitor progress.

Background

This tool is derived from guidelines developed by FAO to assist facilitators in community and village level planning for improved household food security and nutrition in Ethiopia and Cambodia. It has been adapted here for application in broader community planning. The FAO guidelines include specific tools to assist in identifying livelihood strategies, enterprise planning, calculating profitability, understanding cash flow, developing business plans, preparing cash flow budgets, and record keeping, which can inform planning processes and assist in micro-project management. Community planning tools have also been developed by FAO to assist in community and village level planning for forestry, energy, agricultural and rural development and watershed management.

Other relevant frameworks, approaches and tools

- # 1: Project Design Handbook
- # 2: Social Assessment Method
- # 9: The SARAR method

References

Heney, J. and Seiffert, B. (2003) *Improving household food security and nutrition in Northern Shewa, Amhara Region and Southern Zone, Tigray Region, Ethiopia: community action planning guidelines for facilitation teams*, Food and Agriculture Organization of the United Nations, Rome (GCP/ETH/056/BEL), <http://www.fao.org/docrep/006/ad741e/ad741e00.HTM>

Sieffert, B. and Kodamanchaly, J., 2005. *Guidelines for participatory village planning for the National Programme for Food Security and Poverty Reduction*, Cambodia 2005, FAO, Rome, <ftp://ftp.fao.org/docrep/fao/008/ag139e/ag139e00.pdf>

Project implementation

Project implementation follows project design and formulation and involves the management of project resources and the delivery of project activities to achieve intended outcomes.

Project implementation should aim to:

- Ensure project activities are consistent with project design and have the intended impacts
- Involve stakeholders in an appropriate way to build ownership and empower them
- Coordinate different stakeholder groups to manage competing interests, minimize conflict and build on common interests and maximize the potential for cooperation
- Ensure men and women are equally involved in project activities
- Manage the roles and responsibilities of different project actors
- Learn from project implementation and respond to changes in the project context
- Collect the necessary data to measure project performance (efficiency and effectiveness of project delivery) and evaluate project performance and impacts.

The tools, methodologies and frameworks to assist in project implementation are listed in Table 4. Tools relating to the monitoring of project activities to assess consistency with project objectives and inform the ongoing management of project activities of changes in the project context and lessons are discussed in the Monitoring and evaluation section.

Table 4: Frameworks, approaches and tools for project implementation

Framework/approach/tool	Description	Related framework/approach/tool
8. Co-management of natural resources	An approach for the managing shared responsibilities for natural resources.	2: The Social Assessment Method 4: Stakeholder analysis
9. The SARAR method	An adult education methodology combining stakeholder participation and training in development projects, using visual, group-based techniques.	10: Establishing farmer groups/clusters 20: Participatory development of indicators
10. Establishing farmer Groups/Clusters	Guidelines for establishing effective rural groups.	9: The SARAR method 12: Technology transfer for SARD 14: Farmer Field Schools
11. Addressing gender in development projects	A checklist to guide the incorporation of gender issues into project design and formulation, implementation and evaluation.	3: The Social Assessment Method 4: Stakeholder analysis 5: Gender analysis 6: SEAGA 16: Methodological framework for project evaluation (Box 6)
12. Technology transfer for SARD	A checklist for promoting technology transfer in SARD.	10: Establishing farmer groups/clusters 14: Farmer Field Schools
13. Participatory policy development	Engage stakeholders in the development of agricultural and rural development policies.	4: Stakeholder analysis 9: The SARAR method 18: Selecting indicators 20: Participatory development of indicators
14. Farmer Field Schools (FFS)	A community-based, adult-education method using an active learning approach.	9: The SARAR method 10: Establishing farmer groups/clusters 12: Technology transfer for SARD

8 – Co-management of natural resources

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)
and International Union for the Conservation of Nature and Natural Resources

An approach for managing shared responsibilities for natural resources.

When can this approach help?

When multiple actors share responsibility for natural resource management and there is:

- A lack of awareness or understanding of each others' needs and interests
- Unequal distribution of power in decision making
- Conflicting needs and interests.

What can co-management of natural resources be used for?

- Negotiating, defining and establishing agreements between actors
- Equitable sharing of resource-related benefits and responsibilities between actors
- Managing conflict.

Why use the co-management of natural resources approach?

- Recognize and accommodate the different values, interests and concerns of different parties sharing responsibility for natural resources
- Incorporate a variety of actors in a variety of roles in natural resource management
- Promote justice and democracy in the management of natural resources
- Promote transparency and equity in natural resource management
- Incorporate traditional and scientific approaches in natural resource management.

Key concepts

Co-management: A situation in which two or more social actors negotiate, define and guarantee amongst themselves a fair sharing of the management functions, entitlements and responsibilities for a given territory, area or set of natural resources.

The co-management approach is based on the following concepts:

Adaptive management: A management approach acknowledging a lack of unequivocal and definitive knowledge in the ways ecosystems work and the uncertainty that dominates our interaction with them.

Pluralism: The interaction and collaboration of autonomous and independent, or inter-dependent, groups in natural resource management issues, and on the basis of different views, interests and entitlements.

Governance: The complex ways by which individuals and public and private institutions manage their common concerns.

Patrimony: The set of all material and immaterial elements that help maintain and develop the identity and autonomy of a group or territory, through time and space, by adaptation to its evolutionary context.

Conflict management: Guiding conflicts towards constructive rather than destructive results.

Social communication: A process of bridging understanding within a community, involving exchanging messages to create meaning and enrich common knowledge, often in order to face change.

Source: Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Outline of the co-management of natural resources

The three phases of the process for effective co-management are outlined in Box 6.1 and linked to additional detail in subsequent text boxes.

Box 8.1: Three phases of co-management

(The need for co-management and the feasibility of the process should be assessed, along with the available human and financial resources, before engaging in a co-management process.)

1. Organising or preparing for the partnership

- Gather information and tools (e.g. maps) on the main ecological and social issues at stake
- Identify, in a preliminary way, the resource unit(s) and institutional actors at stake (see Box 8.2)
- Launch and maintain a social communication campaign on the need for co-management and its objectives and the expected process
- Contact the institutional actors to facilitate appraisal exercises and their input to ecological, social and stakeholder analyses
- Help the institutional actors to organize and identify their own representatives, as necessary
- Organize the first meeting of institutional actors and propose a set of rules and procedures for the negotiation phase, including explicit equity considerations.

2. Negotiating co-management plans and agreements

- Agree on the negotiation rules and procedures
- Develop a common vision for the desired future of the resource unit(s)
- Ritualize the agreed common vision
- Review the current socio-ecological situation and trends, and agree on a strategy towards the common vision
- Negotiate specific co-management plans and agreements for each component of the strategy (this includes identifying what will be done by whom and with what means; mediating conflicts; clarifying zoning arrangements, sharing of management functions, rights and responsibilities among stakeholders; agreeing on follow-up protocols) (see Box 8.3)
- Institutionalize co-management via organizations and other initiatives
- Legitimize and publicize the co-management plans, agreements and organizations.

3. Implementing and revisiting plans and agreements (learning by doing)

- Practice adaptive management and action-research, keeping in mind the experimental nature of natural resources management
- Apply and implement the co-management plans, agreements and organizations
- Clarify the entitlements and responsibilities of the institutional actors, as necessary
- Collect data and information on the results and process, as specified in the follow up protocols
- Identify the main factors impacting upon natural resources and stakeholders; judiciously experimenting with innovations
- Organize review meetings at regular intervals to evaluate results and lessons learned (see Box 8.4) and modify co-management plans, agreements and organizations.

Source: Borrini-Feyerabend, G. 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Box 8.2: Key questions to identify institutional actors

- Are there communities, groups or individuals actually or potentially affected by the management decisions?
- Are there historic occupants (e.g. indigenous communities or regular transients); traditional resource users with customary rights of ownership or access; recent migrants; non-resident users of resources; absentee landlords; major secondary users of local resources (e.g. buyers of products, tourists); local associations or NGOs concerned with natural resources; businesses and industries potentially impinged upon by the decisions; research, development or conservation projects in the area and employees (national and international) living in the area because of such projects? Are these people active in natural resource management?
- Who are the main traditional authorities in the area at stake? Are there government agencies officially responsible for the management units or resources at stake? Are there respected institutions, to which people recur in a variety of needs and circumstances?
- Who has access to the land, area or resources at stake? Who is using the natural resources at present? In what ways? Has this changed over time?
- Which communities, groups and individuals are most dependent on the resources at stake? Is this a matter of livelihood or economic advantage? Are these resources replaceable by others, possibly in less ecologically valuable or fragile areas?
- Who upholds claims, including customary rights and legal jurisdiction over the territory, area or resources at stake? Are there communities with ancestral and/or other types of acquired rights? Are various government sectors and ministry departments involved? Are there national and/or international bodies involved because of specific laws or treaties?
- Which communities, groups or individuals are most knowledgeable about, and capable of dealing with, the territories or resources at stake? So far, who has direct experience in managing them?
- What are the seasonal/ geographical variations in resource use patterns and interests of the users? Are those interests geographically and seasonally stable (e.g., are there seasonal migration patterns)? Are there major events or trends currently affecting local communities and other social actors (e.g. development initiatives, land reforms, migration, important phenomena of population mobility or natural growth or decline)?
- Are there other co-management initiatives in the region? If so, to what extent are they succeeding? Who are their main partners?

Source: Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Box 8.3: Elements of a co-management plan

- The geographical limits of the territory, area or set of natural resources at stake
- The complex of functions and sustainable the natural resources can offer
- A co-ordinated series of objectives, priorities and activities for the management of natural resources
- The recognised institutional actors
- The functions and responsibilities assigned to each institutional actor
- The entitlements and benefits granted to each institutional actor
- Procedures for negotiating on-going decisions and managing eventual conflicts
- Procedures for implementing and enforcing decisions
- Expected results at given times
- Rules for monitoring, evaluating and eventually revising the co-management plan and agreements.

Source: Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Box 8.4: Examples of indicators to assess the process of co-management

- Knowledge and understanding of: the institutional actors; the co-management process; co-management plans, agreements, organizations and rules; the co-management objectives and schedule of events; and the management entitlements and responsibilities assigned to each actor
- Existence of regular mechanisms for exchange and dissemination of natural resource management information as well as forums to communicate and negotiate co-management plans and agreements
- Actors' ease of access to communication and negotiation forums (are some actors discriminated against?)
- Availability of facilities to assist during meetings, mediate conflicts and help institutional actors to communicate among themselves
- Active participation of the institutional actors in the preparation of co-management plans and agreements (e.g. presence at meetings, effective expression and defence of the respective interests and concerns, willingness to take on responsibilities)
- Existence of co-management plans and agreements linking various institutional actors (oral or written, formal or informal)
- Specific definition of the functions, entitlements and responsibilities of each institutional actor in the co-management plans
- Existence of co-management organizations (with executive, advisory, decision making or mixed roles) expressing the plurality of resource entitlements in the context at stake
- Institutional actors adhering to and complying with their agreed entitlements and responsibilities
- Institutional actors satisfied with the co-management plans, agreements and organizations
- Availability of competent personnel to clarify entitlements and responsibilities and mediate in the event of conflicts among the institutional actors during implementation of the plans and agreements
- Institutional actors committed to and active in promoting political and legal changes that facilitate implementing co-management plans and agreements
- Plans and agreements extended in both geographical scope and complexity, over time
- Progressively "institutionalised" co-management plans, agreements and organizations in society.

Source: Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Further considerations

- Participatory methods should be used in the three stages of co-management.
- Co-management depends on participants' "full access to relevant information, freedom and capacity to organize, freedom to express needs and concerns, a non-discriminative social environment, the will of partners to negotiate, confidence in the respect of agreements, etc".
- Co-management processes can be "experimental" and the process needs to be adapted to suit specific situations.
- Co-management requires acceptance "that there is no unique and objective solution to manage natural resources but, rather, a multiplicity of different options compatible with both indigenous knowledge and scientific evidence".

Background

This tool was developed by the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) and International Union for the Conservation of Nature and Natural Resources (IUCN). It is designed to assist development and conservation professionals working in situations where two or more social actors share responsibility for the management of a given territory, area or set of natural resources. It was developed on the basis of the *Co-management for nature conservation in unstable socio-political conditions: learning by doing* project in the Congo Basin.

Other relevant frameworks, approaches and tools

- # 2: The Social Assessment Method
- # 4: Stakeholder analysis

References

Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organizing, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

9 - The SARAR method

The World Bank

An adult education methodology for stakeholder participation and training in development projects, using visual, group-based techniques.

When can the SARAR method help?

- Stakeholders are not committed to implementing development project actions
- Projects are not appropriate in a local context or do not build on local knowledge
- Communities feel that development interventions have been imposed on them
- Participation is interpreted as ‘cheap labour’
- Participatory approaches are given limited credibility
- Sustainable practices are abandoned following the completion of development projects.

What is the SARAR method used for?

- Generating community awareness and commitment to address development problems
- Engaging stakeholders in planning, problem solving and evaluation
- Building stakeholder capacity to assess, prioritize, create, plan, organize and evaluate development
- Empowering people to take initiative and responsibility for decision-making
- Creating awareness of and helping train staff in the use of participatory approaches.

Why use the SARAR method?

- Foster and strengthen **SARAR** (Self-esteem, Associative strength, Resourcefulness, Action planning and Responsibility) for follow through among participants
- Incorporate participants’ own life experiences, local perspectives, feelings, values and relevant social data in development projects and encourage innovative thinking
- Encourage participants to learn from local experience rather than from external experts
- Replace ‘top-down’ approaches to development with a facilitation approach
- Help communities take more control over their own development
- Involve groups that are hard to access with traditional development approaches, such as women and non-literate people, in development planning and decision making.

Key concepts

Self esteem: A sense of self-worth as a person as well as a valuable resource for development

Associative strength: The capacity to define and work toward a common vision through mutual respect, trust and collaborative effort

Resourcefulness: The capacity to visualize new solutions to problems even against the odds, and the willingness to be challenged and take risks

Action planning: Combining critical thinking and creativity to come up with new effective and reality-based plans in which each participant has a useful and fulfilling role

Responsibility: For follow through until the commitments made are fully discharged and the intended benefits are achieved.

Source: Rietbergen-McCraken, J. and Narayan, D., 1998. *Participation and social assessment: tools and techniques*, The World Bank, Washington D.C.

Outline of the SARAR method

Different SARAR techniques are recommended for different project activities and for achieving different capacity building outcomes. To identify the types of tools best suited to the particular needs of a development project, refer to Table 9.1 below.

Table 9.1 Identifying SARAR techniques for different scenarios

SARAR technique	Project activity	Capacity building outcomes
Investigative activities e.g. pocket charts	<ul style="list-style-type: none"> ▪ Participant-led needs assessments 	<ul style="list-style-type: none"> ▪ Understanding of research ▪ Ownership of project outputs ▪ Commitment to development activities
Creative activities e.g. social mapping	<ul style="list-style-type: none"> ▪ Identification of participant perspectives and values ▪ Identification of differences in participant views ▪ Identification of resource-based conflicts 	<ul style="list-style-type: none"> ▪ Capacity for innovative thinking ▪ Openness to change
Analytic activities e.g. 3-pile sorting	<ul style="list-style-type: none"> ▪ Assessment of problems, their causes and effects ▪ Identification and prioritization of alternative solutions to problems ▪ Identification of gender roles and access to resources 	<ul style="list-style-type: none"> ▪ Ability to engage the mind in critical thinking
Planning activities e.g. force field analysis story-with-a-gap	<ul style="list-style-type: none"> ▪ Goal setting ▪ Identification of strategies and resources to achieve goals ▪ Development of management, monitoring and evaluation strategies 	<ul style="list-style-type: none"> ▪ Less powerful and non-literate people contribute to decision-making ▪ Improved management, monitoring and evaluation abilities
Informative activities e.g. games	<ul style="list-style-type: none"> ▪ Information gathering ▪ Provision of information for decision making 	<ul style="list-style-type: none"> ▪ Improved decision-making abilities

Further considerations

- SARAR activities should be linked to concrete follow-up activities and the activities should not be used solely to generate data.
- Allow for communities to establish their own development agenda by maintaining an open-ended approach and building flexibility into time frames.
- Ensure communities are ready to accept planning and decision making responsibilities before using the SARAR method.
- Support the credibility of results of qualitative, informal and visual-based techniques.
- It is best if facilitators are adequately trained and experienced in using the technique.
- Explore opportunities to combine and create new techniques through the experience of using existing techniques.
- Apply different techniques progressively for a comprehensive and cumulative effect.

Background

The concept was developed through field-based training of rural extension workers in Indonesia, India, the Philippines and Latin America in the 1970s. It has evolved from having a primary focus on communities and field staff to being applied at institutional levels, in urban settings and across multiple sectors including rural development and agricultural extension.

Other relevant frameworks, approaches and tools

- # 10: Establishing farmer groups/clusters
- # 20: Participatory development of indicators

References

Rietbergen-McCraken, J. and Narayan, D., 1998. *Participation and social assessment: tools and techniques*, The World Bank, Washington D.C.

<http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/1996/04/01/0000092653980624143608/Rendered/PDF/multi0page.pdf>.

The World Bank, (no date). "SARAR collaborative decision making: community-based method", *The World Bank participation sourcebook*, Appendix 1: methods and tools,

<http://www.worldbank.org/wbi/sourcebook/sba105.htm>.

Further information (not included in bibliography)

Narayan, D. and Srinivasan, L., 1994. *Participatory development tool kit: training materials for agencies and communities*, The World Bank, Washington D.C.

Srinivasan, L., 1990. *Tools for community participation: a manual for training in participatory techniques*, PROWESS/UNDP, New York.

Narayan, D., 1993. *Participatory evaluation: tools for managing change in water and sanitation*, The World Bank technical paper 207, Washington D.C.

10 – Establishing farmer groups/clusters

Kansas Rural Centre and FAO

Guidelines for establishing effective rural groups.

When can farmer groups/clusters help?

Farmers or community members are:

- Limited in their capacity to solve problems or manage the change involved in the adoption of more sustainable practices
- Isolated from communication, information and support networks
- Subject to inadequate or unequal power, influence or leverage when engaging with government, business or community institutions
- Limited in their ability to understand farming systems in a holistic way.

What can farmer groups/clusters be used for?

- Supporting learning and information sharing
- Empowering farmers to act
- Managing interactions and exchange with off-farm institutions
- Building management skills for addressing the complexity of sustainable agriculture
- Managing the transition to more sustainable practices.

Why use farmer groups/clusters?

- Increase the efficiency of information exchange
- Increase learning because farmers tend to learn from each others' experience
- Provide a structure for peer support among farmers
- Encourage broader, systems thinking and joint problem solving
- Increase farmers' bargaining power or leverage
- Increase the efficiency and impact of development services.

Key concepts

Rural groups: Small groups of farmers or community members working together in a voluntary and democratic way to improve their livelihoods or achieve other Sustainable Agriculture and Rural Development outcomes. Groups create opportunities that would not be available to individuals if they were operating independently. The aim is for groups to eventually be self-reliant and autonomous.

Guidelines for establishing effective rural groups

The steps in Box 10.2 should be followed to establish rural groups that operate effectively and to achieve the objectives of a group-based participatory approach.

Box 10.1 Steps for establishing effective farmer groups

▪ **Background**

Develop an understanding of the rural community in which the group will be established (see Box 10.2).

▪ **Funding**

Identify funding sources, membership fees or other financial contributions necessary to establish the group and fund initial group activities.

▪ **Group members**

Identify individuals to create an effective group (see Box 10.3).

▪ **Objectives and plans**

Identify specific and realistic goals/objectives to inform the development of workplans and budgets. Some basic questions addressed through focus group discussions can help to identify objectives (Box 10.4).

▪ **Rules**

Identify rules (see Box 10.5), including obligations of group members (see Box 10.6), to ensure the smooth running of the group and avoid conflict within the group.

▪ **Roles and responsibilities**

Identify responsibility for leadership, coordination of logistics, record keeping, networking, team building, communication and other roles.

*These steps should be undertaken by group members (or potential group members) and development project officers should only have a facilitation role.

Source: Jost J., Norman D. and Freyenberger S., (no date). *Enhancing sustainable agriculture through farmer groups: the experience of the Kansas Heartland Sustainable Agriculture Network*, Kansas Sustainable Agriculture Series, paper #4, Kansas Rural Centre.

Box 10.2: The group's background

To understand the community in which the group will be operating, identify:

- The living conditions of different socio-economic groups in the community
- The needs of the community, especially of the poor
- The way the community solves its problems (e.g. Does it use traditional methods and/or involvement or assistance of outside organizations?)
- Social patterns in the community including who talks to whom and why
- The community power structure including the leaders and opinion makers
- Informal and formal organization of men and women (both mixed and separate)
- Links between the community and supply of services and who controls them.

Source: Groverman, V., Cook, J. and Thomas, G. 1994. *The group promoter's resource book*, FAO, Rome.

Box 10.3: Group members

Group members should:

- Have common interests and similar resources at their disposal to form relatively homogenous groups
- Be self-motivated
- Be trustworthy/honest
- Be opportunity minded
- Be willing and able to contribute to group activities and meet group obligations (see Box 10.4)
- Know how to and be prepared to work with others
- Have clear objectives
- Include both genders.

Sources:

Goverman, V., Cook, J. and Thomas, G., 1994. *The group promoter's resource book*, FAO, Rome.

Jost J., Norman D. and Freyenberger S., (no date). *Enhancing sustainable agriculture through farmer groups: the experience of the Kansas Heartland Sustainable Agriculture Network*, Kansas Sustainable Agriculture Series, Paper #4, Kansas Rural Centre.

Box 10.4: Group objectives

Key questions to address in focused discussion groups to inform the development of group objectives:

- What drew you to farming?
- What are the goals of your farm?
- What are the barriers to your farm goals?
- How can you overcome these barriers?
- How could a farmer-to-farmer cluster/group help you?

Source: Jost, J., 1998. *Farmer clusters*, Sustainable Agriculture Management Guides, August 1998, Kansas Rural Centre.

Box 10.5: Group rules

Protocols should be established by the group concerning:

- Decision making processes
- Record-keeping
- Rotation of leadership responsibilities
- Obligations of group members (see Box 10.6)
- Management of expected transitions (e.g. changes in membership or leadership)
- Monitoring and evaluation of group activities and achievements for transparency and accountability
- Lesson learning and re-evaluation of goals
- Preparation of annual reports
- Meeting schedules and frequency of meetings

Sources:

Goverman, V., Cook, J. and Thomas, G., 1994. *The group promoter's resource book*, FAO, Rome.

Jost J., Norman D. and Freyenberger S., (no date). *Enhancing sustainable agriculture through farmer groups: the experience of the Kansas Heartland Sustainable Agriculture Network*, Kansas Sustainable Agriculture Series, Paper #4, Kansas Rural Centre.

Box 8.6: Obligations of group members

Group members should be able to:

- Attend regular meetings
- Pay membership fees, if relevant
- Elect the group leader
- Make regular contributions to the group savings fund, if relevant
- Repay group loans quickly, if relevant
- Help other group members
- Contribute to running the group and group activities.

Source: Groverman, V., Cook, J. and Thomas, G., 1994. *The group promoter's resource book*, FAO, Rome.

Further considerations

- There may be some obstacles to forming groups. Individuals, especially the poor, may not have the time and capacity to participate, some individuals may not be comfortable/ effective in groups, and groups may threaten traditional power bases in communities.
- The process of establishing groups will vary depending on local conditions such as the stage of development of different communities and the ability and experience of individuals in group-based participatory approaches.
- Groups should be encouraged to help individuals outside the group so that the benefits of the group's work can extend beyond the group itself and so that the group can benefit from wider networks and the economies of scale of larger associations.
- It is important to acknowledge when a group has reached its natural end and ensure that the group dissolves acknowledging what the group has learned and gained.
- Project officers should act as facilitator that advises, coordinates and assists the group rather than participating in group activities or assuming the role of group leader.

Background

This tool summarizes recommendations made by the FAO and the Kansas Rural Centre for establishing and operating effective rural and/or farmer groups. The FAO method contains additional recommendations that are not included here and which are aimed specifically at working with the rural poor and helping group facilitators to fulfill their role.

Other relevant frameworks, approaches and tools

- # 9: The SARAR method
- # 12: Technology transfer for SARD
- # 14: Farmer Field Schools

References

Jost, J., 1998. *Farmer clusters*, Sustainable Agriculture Management Guides, August 1998, Kansas Rural Centre, <http://www.kansasruralcenter.org/publications/clusters.pdf>.

Groverman, V., Cook, J. and Thomas, G., 1994. *The group promoter's resource book*, FAO, Rome, <http://ftp.fao.org/docrep/fao/003/T1965E/T1965E00.pdf>.

Jost, J., Norman, D. and Freyenberger, S., (no date). *Enhancing sustainable agriculture through farmer groups: the experience of the Kansas Heartland Sustainable Agriculture Network*, Kansas Sustainable Agriculture Series, Paper #4, Kansas Rural Centre, http://www.kansassustainableag.org/Pubs_kcsaac/ksas4.htm.

11 – Addressing gender in development projects

Swedish International Development Agency (SIDA) for the OECD

A checklist to guide the incorporation of gender issues into project design and formulation, implementation and evaluation.

When can a framework for addressing gender help?

- Inequality and inequity is based on gender
- Women or men are marginalized in development projects
- Women are restricted in their roles as producers and facilitators of change
- Access to and control of natural resources and labour conditions are gender-biased
- Project impacts are unequally distributed between men and women
- Assumptions about gender roles are false.

What can this checklist be used for?

- Ensuring that gender issues are addressed upfront in project design and formulation
- Maintaining a focus on gender throughout project implementation
- Evaluating the impact of development projects in terms of gender.

Why use this checklist?

- Promote gender equality and incorporate gender issues at all stages in the project cycle
- Design and implement development projects that meet both women's and men's needs and constraints
- Improve development efficiency and sustainability by reducing gender inequality and inequity.

Key concepts

Gender: The social roles and relations between men and women including the different responsibilities of women and men in a given culture or location. Unlike the sex of men or women, which is biologically determined, the gender roles of women and men are socially constructed and such roles can change over time and vary according to geographic location and social context.

Source: FAO, 2004. *Training manual on gender analysis for monitoring and evaluation*, FAO, Rome.

Checklist for incorporating gender into project management

These actions are based on questions developed by the Swedish International Development Agency (SIDA) to assess whether gender has been incorporated into project identification, implementation and monitoring and evaluation.

Box 11.1: Incorporation of gender in the project management cycle

Project identification and preparation

- Explicitly refer to women and men in project objectives
- Describe project consultation and participation strategies for men and women
- Consider the current gender division of labour
- Consider who has access to and control of productive resources (e.g. land, forests, waterways, foreshores, markets, energy/fuel, equipment, technology, capital/credit and education/training)
- Identify the project beneficiaries
- Consider how social, cultural, religious, economic, political and environmental factors will influence women's and men's participation in the project
- Ensure government partner agencies have the capacity to implement gender-sensitive projects
- Determine how women's social status, including their role as decision makers will be affected
- Arrange to monitor gender impacts (the impact of the project on men and women, and on the relationships between them)
- Ensure project resources are adequate to deliver services and opportunities to women and men.

Implementation and monitoring

- Identify strategies and targets for promoting equal opportunities and benefits in project design
- Develop adequate and operational gender-sensitive monitoring mechanisms
- Ensure that both men and women are participating in the project activities
- Ensure that both men and women are benefiting from project activities
- Identify and manage constraints that arise during project implementation and that restrict women's and men's participation and the equal distribution of benefits
- Assess whether the project is adversely affecting women or men
- Determine how participation by women is affecting men's and women's roles and relationships
- Reconfirm assumptions and information about the characteristics, needs and interests of women and men
- Ensure contractor management and performance is adequate in relation to gender.

Evaluation

Assess whether:

- The project has succeeded in promoting equal opportunities and benefits for men and women
- Women and men have been disadvantaged or advantaged by the project
- Women's status has improved as a result of the project (i.e. education levels, health status, access to productive resources, employment opportunities, political and legal status)
- The government partner agency has the capacity to implement gender-sensitive projects
- Contractor management has been adequate (in relation to gender equity)
- The project has been effective in integrating gender into the development activity.

(see also Box 16.6 in #16 – Methodological framework for project evaluation)

Source: (adapted from) Woroniuk B., Schalkwyk J., 1998. *Identification and preparation: implementation and monitoring and evaluation*, OECD Gender Tipsheets, OECD, Paris.

Further considerations

- Gender should be incorporated at the earliest possible stage of the project cycle and should be an integral part of the entire planning cycle.
- Some actions are relevant across project design and formulation, implementation and evaluation.
- This is a generic tool that can be applied across all sectors and that can be supplemented with sector-specific information if necessary. Some actions may not be relevant to all projects.

Background

These actions were identified from a series of tipsheets developed by the OECD DAC Working Party on Gender Equality for gender experts and others working in development. Additional tipsheets are also available for sector-specific issues such as agriculture, coastal zone management and energy policy.

Other relevant frameworks, approaches and tools

- # 2: The Social Assessment Method
- # 4: Stakeholder analysis
- # 5: Gender analysis
- # 6: SEAGA
- # 16: Methodological framework for project evaluation (Box 6)

References

FAO, 2004. *Training manual on gender analysis for monitoring and evaluation*, FAO, Rome, http://www.fao.org/sd/dim_pe1/pe1_040702_en.htm.

Woroniuk B., Schalkwyk J., 1998. *Donor practices: identification and preparation*, OECD Gender Tipsheets, OECD, Paris <http://www.oecd.org/dataoecd/2/17/1896384.pdf>.

Woroniuk B., Schalkwyk J., 1998. *Donor practices: implementation and monitoring*, OECD Gender Tipsheets, OECD, Paris <http://www.oecd.org/dataoecd/2/18/1896392.pdf>.

Woroniuk B., Schalkwyk J., 1998. *Donor practices: evaluation*, OECD Gender Tipsheets, OECD, Paris <http://www.oecd.org/dataoecd/2/13/1896352.pdf>.

Further information (not in bibliography)

Additional OECD Gender Tipsheets are available at:

http://www.oecd.org/document/34/0,2340,en_2649_34541_1896290_1_1_1_1.00.html.

12 –Technology transfer for SARD

IFAD, Neely and Scherr

A checklist for promoting technology transfer in SARD.

When can this checklist for technology transfer help?

- Technologies promoted and used in agriculture and rural development projects are not used or maintained after project completion
- The benefits of innovation in SARD are contained to a single, isolated project
- Innovation and technology is delivered inefficiently to the rural poor.

What can the checklist be used for?

Assessing the suitability of:

- Technologies proposed for use in agricultural and rural development projects
- Agricultural and rural development technologies proposed for further development
- Agricultural practices and related technologies proposed for adoption by poor farmers.

Why use this checklist?

- Promote the replication and scaling up of technologies
- Enhance the efficiency of distributing technologies and practices to the rural poor
- Extend the benefits of development projects beyond initial beneficiaries.

Key concepts

Innovation (IFAD operational definition): A process involving the development of improved and replicable ways to deal with development problems and opportunities faced by the rural poor in a specific context and the up-scaling of those improved ways. It aims to improve technologies and development approaches. As a process, it involves the following stages: (i) recognition of the need/opportunity for improvement; (ii) scouting for and selecting promising innovations and solutions from a range of options; (iii) testing the performance and impact of innovations; (iv) modifying and improving results; (v) extracting and sharing lessons learned from innovations; (vi) promoting innovations; and (vii) arranging for users to up-scale /replicate innovation.

Source: IFAD, (no date). *Evaluation of IFAD's capacity as a promoter of replicable innovation*, IFAD, Rome.

Further considerations

Projects involving technology transfer for SARD should be supported by:

- Research, education, capacity building and information systems
- Social learning systems
- Activities to raise awareness of the need for new technology
- Adequate human, institutional and financial capacity
- Policies to facilitate the development and adoption of innovation.

A checklist for successful technology transfer for SARD

Box 12.1: Considerations for technology transfer in SARD

For effective technology transfer, SARD technologies should be:

- Built on existing local and indigenous technologies or approaches ^{A, B}
- Based on a widely shared need or problem of the rural poor ^A
- Simple to understand and implement ^A
- Able to be adopted incrementally ^C
- Able to be adapted to local conditions, including adverse climatic conditions ^C
- Culturally and socially acceptable ^{A, B}
- Environmentally sound ^B
- Economically viable, enhancing total farm productivity and stability ^B
- Affordable to the rural poor in terms of financial and time constraints ^A (e.g. have a rapid return on investment) ^C
- Support the diversification of production ^C
- Relatively independent from the use of purchased inputs (especially for subsistence production, for farmers distant from road networks or where input markets function poorly) ^C
- Low risk and or able to protect the basic survival of the poor, including their food security ^{A, B, C}
- Able to be reversed. ^A

Sources:

^A IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome

^B Neely C.L., 2002. *Priorities of stakeholder decision makers*

^C Scherr, S.J., 1999. *Poverty-environment interactions in agriculture: key factors and policy implications*, Paper to the UNDP/EC expert workshop on poverty and the environment, 21-21 January 1999, Brussels

Background

This checklist was compiled from the lessons and recommendations of three independent researchers' and practitioners' involved in technology transfer projects for SARD.

Other relevant frameworks, approaches and tools

10: Establishing farmers groups/clusters

14: Farmer Field Schools

References

IFAD, 2003. *A methodological framework for project evaluation. main criteria and key questions for project evaluation*, IFAD, Rome.

IFAD, (no date). *Evaluation of IFAD's capacity as a promoter of replicable innovation*, IFAD, Rome, http://www.ifad.org/evaluation/public_html/eksyst/doc/corporate/innovation.htm#1.

Neely C.L., 2002. *Priorities of stakeholder decision makers*
<http://www.sanrem.uga.edu/sanrem/conferences/nov2801/Neely.htm>.

Scherr, S.J., 1999. *Poverty-environment interactions in agriculture: key factors and policy implications*, Paper to the United Nations Development Programme (UNDP) and the European Commission (EC) expert workshop on poverty and the environment, 20-21 January 1999, Brussels
<http://www.undp.org/seed/pei/publication/agriculture.htm>.

13 – Participatory policy development

FAO – SARD farming systems evolution project

Engage stakeholders in the development of agricultural and rural development policies.

When can participatory policy development help?

- Different stakeholder groups have conflicting policy needs and interests
- Stakeholders have limited trust in governments and decision-makers
- Policies do not always suit local conditions or achieve their intended outcomes
- Existing policies begin to have negative impacts or are no longer relevant within a changing policy environment
- Implementation and uptake of policies are low
- There is duplication and poor coordination of policies and programmes
- Policy development processes are captured by experts, landowners, rural elites and agribusiness lobbies, whose interests do not represent those of the majority.

What can participatory policy development be used for?

- Understanding a specific policy problem
- Incorporating a wide range of stakeholder views into policy development
- Reconciling the competing interests of different stakeholder groups
- Involving stakeholders in the policy-making process
- Integrating economic, environmental, social and cultural aspects of development
- Improving the transparency of decision-making and accountability to stakeholders.

Why use a participatory approach to policy development?

- Improve the sustainability of agriculture and rural development
- Promote democratic processes that improve the understanding of differences, trade-offs, social cohesion and equity
- Produce realistic and acceptable policy recommendations
- Empower rural people, especially the poor, to raise their political voice and improve policy outcomes in their favour
- Build ownership among local people and stakeholders.

Key concepts

Stakeholders: Those who are affected by and/or those who can influence (the policy development process) and policy outcomes positively and negatively, directly and indirectly.¹

Participatory and bottom-up processes: Processes which involve and build ownership among local people and stakeholders in the public, private and non-government sectors and donor agencies.²

Sources:

¹ McPhail, K. and Jacobs, S., 1995. *Social assessment*, Social Development Notes, Note no. 13, September 1995, the World Bank, Washington D.C.

² FAO. 2005. *Participatory policy development for Sustainable Agriculture and Rural Development*, Sustainable Agriculture and Rural Development – FSE project, Rome, 65 p.

Outline of participatory policy development

Policy evolves through successive cycles of policy development, implementation, and evaluation and review. The policy development process consists of identifying policy problems and their causes, defining policy goals, analysing policy options, and selecting preferred policy measures. Policy impacts and changes in the policy environment must be monitored on an ongoing basis to inform policy evaluation and review, which then informs a new phase of policy development and a new policy cycle.

Stakeholder participation is important at each stage of the policy cycle - policy development, the planning and execution of policy implementation, and policy evaluation and review – and in monitoring policy impacts and changes in the policy environment. This tool provides methods and frameworks for engaging stakeholders in the process of policy development (see Boxes 13.1 – 13.4). Additional tools are required to facilitate stakeholder participation in policy implementation, monitoring and evaluation.

Box 13.1 Prepare for participatory policy development

Aim: Ensure the participatory policy development process is based on a well-informed plan.

1. Establish a project team to implement the participatory policy development process

- The project team should include people with functional and technical skills relating to the process and the policy issue in question (e.g. policy analysis, stakeholder participation, facilitation skills, and expertise in the economic, environmental, social and cultural aspects of the policy issue).
- Individuals should be neutral, independent brokers who have good working relationships with the relevant stakeholder groups.
- A project steering committee should oversee the project team and should include representatives of all of the major stakeholder groups.

2. Identify stakeholders

- Stakeholders may include governments, local authorities, civil society, NGOs, farmer groups, private enterprises, religious groups, and research, scientific and international organizations.
- (See also # 4 – Stakeholder analysis).

3. Identify institutional partners

- Institutional partners may include local NGOs, local government, and minority groups.

4. Determine methods for engaging stakeholders

- This may include, *inter alia*, workshops and interviews.

5. Consider the use of a study or ‘pilot’ area

- A case study or pilot area can be used to obtain a detailed understanding of a policy problem or to test potential policy options.

6. Determine time frame and resources required

- Resources may include a mandate and support from government and allocations of staff, facilities, information, financial and other resources, and time.

7. Determine how to manage the flow of information

8. Determine how to monitor progress of the policy development process

- This information can be used to improve the effectiveness of participatory policy development processes in successive policy development cycles.

Box 13.2: Analyse the current situation

Aim: Develop a comprehensive description of the current status of SARD that is informed and understood by all stakeholder groups. This helps to familiarize stakeholders with the key issues relating SARD. This knowledge is used in subsequent steps to develop policy options. To conduct this exercise, use appropriate stakeholder communication tools to:

1. Identify realistic and attainable development goals

2. Identify and select indicators to assess progress towards goals

- Indicators should: be relevant at the national, regional and local levels; measure the economic, environmental, socio-cultural, technological and institutional dimensions of SARD; and assess the interests and expectations of stakeholders.
- (See also #18 – Selecting indicators and #19 – Participatory development of indicators).

3. Analyse current national, regional and local situations in relation to the policy issue

- As a group, identify key internal and external factors and events that have contributed to the current situation. Assess how these have changed over time. Factors to consider might include: demographical trends; institutions, legislation, policies and projects related to SARD; major risks and shocks; government services and relations; food security; culture and indigenous culture; social aspects (e.g. equity, vulnerability); climate and biophysical factors; environmental and natural resource issues; economic factors (e.g. income, employment); agricultural, fishery, forestry and livestock practices and technology; and political power, alliances and stability.
- Compare the group's interpretation of events with the literature and consult key informants to enrich the record of historical trends and milestones.
- Present a revised version to the group for discussion, confirmation and improvement.

4. Analyse the strengths, weaknesses, opportunities and threats (SWOT) for SARD

- Identify the existing and future advantages and disadvantages of the current situation. This provides the basis for planning strategies in subsequent stages of the process.

Box 13.3: Identify scenarios for the future

Aim: Help stakeholders define a desired situation and reflect on whether the current policy environment will lead to that desired situation. Using the information gathered in the previous step, lead stakeholders through a facilitated process to:

1. Identify long-term trends

- Identify trends that have caused the changes in the rural community, farming system or industry.

2. Identify the causes of change

- Identify the underlying causes of the trends identified above.

3. Identify future scenarios (for the medium term – 20 to 25 years)

- Make a checklist of the key themes, variables and issues to be analysed in each scenario.
- Ask each stakeholder group to predict the situation at a selected time in the future, should current trends continue. This is the **business-as-usual scenario**.
- Then, ask each group to identify a desirable future scenario and the changes required to achieve it. It should be plausible and based on changes that stakeholders can control and decisions that the government or other actors might conceivably make. This is the **optimistic scenario**.
- With a subset of each stakeholder group, compare the draft **business-as-usual** and **optimistic** scenarios, support or explain the assumptions and implications upon which the scenarios depend and review the draft scenarios and reconcile the differences to develop two master scenarios.

Box 13.4: Identify possible policy reform

To identify the policy change required to reach the desired future scenario, ask stakeholders to:

- Identify the policy changes required to meet the optimistic scenario including general economic and social policies, agricultural and rural development policies, rural market and property rights policies, policies aimed at establishing democratic and participatory processes, and policies focused specifically on natural resource use and environmental protection
- Identify and prioritize the strategic objectives of these policies.
- Identify specific objectives that will help achieve each of the strategic objectives.
- Identify and describe the potential policy measures required to achieve the specific objectives, using the policy ranking matrix (see Table 11.1)
- Prioritize potential policy measures using the policy ranking matrix
- Validate the results by presenting the findings to key stakeholders in workshops and adjust them where necessary. This process should include local stakeholders, national level policy-makers, donors and senior regional policy-makers.

Table 13.1: Policy ranking matrix for the analysis and prioritization of policy options

This tool can be used to identify and prioritize potential policy measures (see Box 13.4).

Strategic objective	Specific objective 1	Specific objective 2	Specific objective 3
Recommended policy measures of local stakeholders			
Existing policy instruments that are relevant			
Evaluation of existing policy instruments (favourable, unfavourable or neutral)			
Policy gaps			
Recommendations for implementation			
Priority ranking of recommendations (high, medium or low)			
Key result areas			
Execution level (national, regional or farming systems level)			
Stakeholders responsible for:			
- Decision making			
- Execution			
- Strategy to implement			
Cost:			
- Year 1			
- Year 2			
- Year 3			
Time frame:			
- Short term (1-2 years)			
- Medium (3-5 years)			
- Long term (+5 years)			

*This table combines the policy ranking matrix and policy action matrix from the SARD - FSE project.

Further considerations

- This tool is intended for use by government agencies, NGOs, research institutions, donors, local authorities, and private firms engaged in or wishing to influence policy development.
- After developing a preferred policy measure, proponents need to present their solution to decision makers for consideration in decision-making processes or to other stakeholders to build support for their proposal. To do this, policy-makers and those wishing to influence policy need to maintain an ongoing dialogue with all stakeholders and key decision-makers in parallel to the policy development process. They also need to be prepared to engage in an iterative process which involves successive and incremental cycles of policy development, implementation and review.
- This process was developed for use in SARD policy development and can be adapted for use in other policy areas.
- The process may need to be tailored to local conditions and specific policy issues.
- Stakeholder groups may have expectations, pre-established attitudes, capacities and opportunity costs that may affect their participation.
- A special effort should be made to facilitate the participation of the poor and marginalized groups, remembering that the participation of the elite, powerful and middle classes is also essential to bring about meaningful change.
- Joint activities involving the different stakeholder groups can promote understanding, learning, collaboration and the identification of common interests.
- Tools and techniques that can be used in stakeholder workshops and meetings for participatory policy development include brainstorming, diagramming and mapping, semi-structured interviews, card sorting, focus group discussions, value-chain analysis, scenario analysis, write-shops, and logical frameworks.

Background

This tool is based on the *Guidelines for participatory policy development*, an output of the FAO, *SARD: institutional, social, economic and environmental aspects influencing farming systems evolution* project (SARD - FSE). The guidelines were field tested in three case studies in Mali, Honduras and the Philippines and were improved on the basis of lessons learned and feedback received during these case studies.

Other relevant frameworks, approaches and tools

- # 4: Stakeholder analysis
- # 9: The SARAR method
- # 19: Selecting indicators
- # 20: Participatory development of indicators

References

FAO, 2005. *Participatory policy development for Sustainable Agriculture and Rural Development*, Sustainable Agriculture and Rural Development: institutional, social, economic and environmental aspects influencing farming systems evolution – GCP/INT/819/MUL, Rome, 65 p. (available at www.fao.org/tc/easypol/output/index_main.asp).

14 – Farmer Field Schools (FFS)

FAO

A community-based, adult-education method using an active learning approach.

When can Farmer Field Schools help?

- Traditional extension programmes, using a top-down approach, are often ineffective
- Farmers' knowledge and experience are not always incorporated in agricultural education and extensions programmes
- New practices and technologies are often not adapted to local conditions
- Education processes are not always appropriate for adults
- Approaches to farmer education are often based on information dissemination
- Trainers frequently lack basic farming skills.

What can Farmer Field Schools be used for?

- Helping farmers learn about their agro-ecosystem through practical experiences
- Building the capacity of farmers to observe, experiment, be analytical, learn, continue to develop local knowledge and help other farmers to learn
- Reducing pesticide use; increasing productivity, the uptake of sustainable farming practices and income; and improving the use of inputs such as water
- Enabling farmers to take greater control over technology, markets, agricultural policies and their agro-ecosystems and hence their everyday lives
- Allowing participants to become aware of and develop their own learning styles.

Why use Farmer Field Schools?

- Empower people to solve problems through in-formal and learner-centred education
- Make farmers feel more comfortable by conducting training in a field situation
- Use adult-preferred learning styles, which include reinforcing learning with repetition, practical experience, and learning within a real life context
- Educate small groups of farmers in a low cost way
- Enable people to realize their own self-worth through collaborative group approaches
- Improve the sustainability of agricultural systems using locally-relevant practices
- Foster self-directed learning, responsibility and self-evaluation, enabling groups to continue to address agricultural and community problems independently.

Key concepts

Farmer Field School (FFS): Groups of people with a common interest who get together on a regular basis to study the 'how and why' of a particular agricultural topic.

Learning: The process whereby knowledge is created through the transformation of experience (Kolb, 1984).

Learning cycle: The learning cycle includes stages of concrete experience; observation and reflection, generalization and abstract conceptualization; and active implementation.

Source: www.farmerfieldschool.net

Outline of Farmer Field Schools

Farmer Field Schools (FFS) are a non-formal style of education that helps farmers' to develop knowledge about their agro-ecosystems. It relies on facilitation rather than teaching. A checklist for planning and running a FFS is provided in Box 14.1, the outline of a typical FFS in Box 14.2 and a specific checklist of responsibilities for facilitators in Box 14.3.

Box 14.1: Checklist of Farmer Field School basics

- **Facilitator:** Ensure FFS facilitators undergo intensive, season-long residential training to prepare them for organizing and conducting the field school. Farmer-facilitators can be better than external extension staff because they know the community and its members; speak similar languages; are recognized; know the area well; and do not need to travel as much and therefore require less financial support than professional extensionists to attend the school events.
- **Preparation:** Precede each FFS with a preparation meeting to determine needs, recruit participants and develop a learning contract. Potential participants should be involved in this meeting.
- **Participants:** Identify between 25 and 30 participants. The groups will be broken up into smaller groups of a maximum of five for learning activities.
- **Study fields:** Identify study fields of about 1000 square metres.
- **Meeting place:** Meet in the field, a farmer's house or under the shade of a tree near the trial plots.
- **Timing of field schools:** Synchronize field schools with the planting season or the growth cycle of the crop or animal being studied so that lessons can be introduced in their real life context.
- **Frequency of meetings:** e.g. a rice FFS meets once a week with 10-16 meetings in total.
- **Schedule or agenda:** A full schedule should be maintained for each meeting. A schedule should consist of an agro-ecosystem analysis activity followed by a presentation of results, a special topic and a group dynamic activity (see below). An example schedule is provided in Box 14.2.
 - (i) **Agro-ecosystem observation, analysis and presentation:** In IPM focused FFS, participants conduct a study comparing IPM with non-IPM treated plots. Groups of five observe general field conditions, sample plants, collect insects, make notes and gather live specimens. Groups create agro-ecosystem drawings and use this analysis to inform a field management decision. Decisions and their supporting analyses are then presented to the group in an open discussion. A FFS can also include additional field studies.
 - (ii) **Special topic:** This is a discussion on a topic of interest to the group.
 - (iii) **Group dynamic exercise:** These are used to strengthen group cohesion, maintain motivation and help participants develop organizational skills. These should be physical and active or used as 'brain teasers' to stimulate thinking.
- **Field and materials:** Use the actual crop and the resources in the field as the training material for experiments and demonstrations and the subject matter for learning. Other materials should be sourced locally or in cities, if cheaper.
- **Financing:** A FFS may be financed through grants or through the proceeds of commercial plots managed by school members alongside the study plots. This helps to provide a more sustainable source of funds for the group than periodic grants. Timing of the arrival of funds is critical for running the school in parallel with the crop cycle.
- **Review and planning:** Each meeting ends with a summary of developments in the field and a review of the results of the agro-ecosystem analysis.
- **Follow-up activity:** Plan follow-up activities at the final meeting.

**Box 14.2: A typical Farmer Field School meeting agenda
(in the original Indonesian setting)**

8:00	Opening (often with prayer) Attendance call Day's briefing activities Stretching exercises
8:30	Go to the field in small teams Make observations. These are recorded by another person in the group and the facilitator points out interesting and new developments
9:30	Return to shade. Begin making agro-ecosystem drawing and discuss management decisions
10:15	Each team presents results and the group arrives at consensus on management needs for the coming week
11:00	Short tea/coffee break
11:15	Energiser or group building exercise
11:30	Special study topic or second crop/livestock study. This could include nutrition, or chicken parasites, or something else of special interest to the group
12:30	Closing (often with prayer).

Box 14.3 Checklist for facilitators of Farmer Field Schools

Facilitators responsibilities

- Identify the potential participants, usually via a local agriculture group
- Determine the site for the FFS and identify study fields
- Determine local endemic problems to be considered as the topics of the FFS
- Conduct preparation meetings
- Facilitate the activities at each meeting
- During the meeting: introduce each activity, clarify the process, set participants to work, ask open-ended questions as groups make their presentation and summarize presentations underlining the important points
- Maintain constructive communications with local government officials, NGOs and other agencies in the areas where the FFS is located
- Develop a system to evaluate the impact of the Farmer Field School
- Organize the school
- Address administrative issues:
 - Collect and report data such as participants' names, age, gender, education, access to land
 - Report results of pre- and post-tests
 - Save weekly results of agro-ecosystem analyses
 - Prepare activity plans for each FFS meeting with ensuing reports per meeting containing comments about implementation (a useful analysis would be to have the facilitator describe positive aspects of each activity, identify improvements needed and how those improvements could be made, record data on attendance, and prepare relevant notes on field conditions)
 - Interview a number of participants prior to the start-up of the FFS about the pre-FFS farming practices to be used as baseline data to determine changed practices.

Further considerations

- There is a lot of room for variation from the standard FFS model, as long as the approach is participatory and based on experiential learning.
- Farmer Field Schools should not be created with the intention of establishing a long-term organization.
- Facilitators should be trained in facilitation skills and should aim to help the group learn, not to teach them.
- The agenda of each FFS meeting should be tailored to the specific needs of a group or agro-ecosystem.
- Farmer Field Schools should acknowledge and foster individual learning styles.
- Farmer Field Schools can be expensive or low-cost depending on who implements them and how they are conducted.

Background

Farmer Field Schools were originally developed to facilitate the implementation of Integrated Pest Management (IPM) in the rice and cotton industries in South East Asia. The first FFS was conducted in Indonesia in 1989. It was developed by 50 plant protection officers to test and develop field training methods as part of an IPM train-the-trainer course. The technique has since been applied to organic agriculture, animal husbandry, soil and water management, income-generating activities such as handicrafts and cash crops including tea, coffee, cacao, pepper, vegetables, small grains and legumes. The approach has also incorporated human ecological perspectives in the development of livelihood and survival skills among women, youth, landless people, poor individuals, and HIV/AIDS affected communities through Village Life Schools and Junior Farmer Field and Life Schools.

Other relevant frameworks, approaches and tools

- # 9: The SARAR method
- # 10: Farmer groups/clusters
- # 12: Technology transfer for SARD

References

Okoth, J.R., Khisa, G.S. and Julianus, T., 2003. 'Towards self-financed Farmer Field Schools', *Leisa Magazine*, March 2003, available at www.farmerfieldschool.net/document_en/28_29.pdf.

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Gallagher, K.D. 2003. 'Fundamental elements of a Farmer Field School', *Leisa Magazine*, March 2003, available at www.farmerfieldschool.net/document_en/05_06.pdf.

Pontius, J., Dilts, R. and Bartlett, A., (eds) 2000. *Ten years of building community: from Farmer Field Schools to community IPM*, FAO Community IPM programme, Jakarta, also available at www.communityipm.org/downloads.html.

Further information (not in bibliography)

www.farmerfieldschools.net

Project monitoring and evaluation

The main purpose of project monitoring and evaluation is to compare the actual achievements of the project with its intended objectives as they are defined in the project design.¹⁷

Monitoring is undertaken to measure characteristics and trends of each component of the project hierarchy (i.e. inputs, outputs, outcomes and objectives). This is done using indicators that are identified during project design. Monitoring is undertaken as part of project implementation to inform the ongoing management and periodic review of project activities and also to inform an evaluation of the efficiency, effectiveness and appropriateness of projects after project completion.

Project evaluation is conducted to:

- Assess whether project inputs were used and activities were implemented as intended
- Assess whether a project achieved its intended objectives
- Assess whether project objectives are relevant
- Assess whether project impacts reached intended beneficiaries and their satisfaction with the project
- Identify ways to improve and adapt similar projects in the future.

Problems that can arise from the evaluation stage of the project cycle include:

- Project achievements are difficult to attribute to project actions
- Project managers and development organizations cannot be held accountable for the implementation of development activities /impacts of development projects
- Project design and implementation do not improve in response to lessons learned.

Project evaluation can involve both qualitative and quantitative methods of data analysis both during and after the completion of the project. The quality of evaluation results will depend on the rigor of data collection and analysis which needs to be balanced with the time and resources available for project evaluation.¹⁸

Project evaluations should provide recommendations for the modification of projects, follow-up action or the implementation of similar projects in the future. An action plan addressing recommendations should be developed in response to project evaluations. This process should be impartial and independent from policy-making processes and the delivery and management of project activities.¹⁹

Evaluations can be conducted internally or by independent, external evaluators. This section discusses the purpose and merits of both approaches and includes frameworks, approaches and tools to help in each case. Frameworks, approaches and tools in this section are listed in Table 5.

¹⁷ FAO - Evaluation Service (PBEE), 2003. *Auto-evaluation guidelines*, Version 1.1, FAO, Rome.

¹⁸ IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

¹⁹ IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Table 5: Frameworks, approaches and tools for monitoring and evaluation

Framework/approach/tool	Description	Related frameworks/approaches/tools
15. The auto-evaluation method	A participatory evaluation methodology for the internal review of project achievements to facilitate learning and continuous improvement.	16: Methodological framework for project evaluation 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 19: Selecting indicators 20: Participatory development of indicators
16. Methodological framework for project evaluation	A framework for the systematic evaluation of development projects.	15: The auto-evaluation method 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 19: Selecting indicators 20: Participatory development of indicators
17. Grassroots Development Framework	A conceptual framework for planning, monitoring and evaluating development projects.	19: Selecting indicators
18. Impact Monitoring and Assessment	A participatory framework for incorporating impact assessment into the project cycle.	17: Grassroots Development Framework 19: Selecting indicators
19. Selecting indicators	A checklist of criteria for selecting indicators for monitoring the inputs, outputs, outcomes and impacts of development projects.	15: The auto-evaluation method 16: Methodological framework for project evaluation 17: Grassroots Development Framework 18: Impact Monitoring and Assessment 20: Participatory development of indicators
20. Participatory development of indicators	A framework for developing sustainability indicators that can be used by land users to guide sustainable land management.	19: Selecting indicators

15 – The auto-evaluation method

FAO

A participatory evaluation methodology for the internal review of project achievements to facilitate learning and continuous improvement.

When can the auto-evaluation method help?

- External evaluations are be too expensive to undertake regularly
- Project staff lack ownership of recommendations from external evaluations
- External evaluators are unfamiliar with the context and specificities of the project
- External evaluations focus too heavily on what has happened in the past rather than what needs to happen in the future.

What can the auto-evaluation method be used for?

- Describing project achievements qualitatively and quantitatively
- Determining whether project objectives are realistic and appropriate
- Comparing actual project achievements with project objectives, outcomes and outputs
- Reporting on project achievements for transparency and accountability purposes
- Identifying lessons that can be applied to the management of other projects
- Analysing project strengths, weaknesses, opportunities and threats
- Informing future project management decisions.

Why use this framework?

- Improve project effectiveness, efficiency and relevance
- Facilitate project improvement and lesson learning
- Conduct rapid, internal evaluations systematically and with rigor
- Provide a strong basis for independent evaluation
- Develop ownership of evaluation findings and recommendations among project staff.

Key concepts

Evaluation: The measurement of progress with respect to original objectives and the assessment of whether they have been attained and/or their relevance.

Source: Borrini-Feyerabend, G., 2000, *Co-management of natural resources: organising, negotiating and learning by doing*, IUCN, Yaoundé, Cameroon.

Outline of the auto-evaluation method

Table 11.1 outlines key steps in the auto-evaluation method. More detailed guidance is provided where useful and in text boxes following the initial outline.

Table 15.1: Key steps in the auto-evaluation method

Stage of auto-evaluation	Implementation notes
1. Define the evaluation issues/questions	<ul style="list-style-type: none"> ▪ Identify questions that the evaluation should answer (see Box 15.1) (A common set of questions can be developed for the auto-evaluation of projects within a broader programme or organization and specific questions included for individual projects). ▪ Evaluation issues should be based on the project rationale, objectives, outcomes, outputs and pre-determined indicators, as well as unforeseen problems and opportunities, emerging issues and planned contributions to broader organizational or programme objectives. ▪ Involve stakeholders in the identification of evaluation issues to broaden the scope of issues to be addressed. ▪ Refine the list of evaluation issues to a manageable size by categorising and identifying similar issues and determining priority questions to be addressed.
2. Decide of the evaluation methodology – information sources and techniques	<ul style="list-style-type: none"> ▪ Obtain feedback from staff, users of the project outcomes, peers and partners. ▪ Select appropriate evaluation techniques (see Table 15.2). ▪ Use different qualitative and quantitative information sources to validate results through triangulation. ▪ Include external information sources.
3. Estimate the budget	<ul style="list-style-type: none"> ▪ Estimate resources required to conduct the evaluation and adjust the budget and methodology iteratively until they are compatible.
4. Draft and circulate terms of reference	<ul style="list-style-type: none"> ▪ Outline the evaluation in terms of: background; issues to be evaluated; tentative methodology; description of people conducting and participating in the evaluation; and the evaluation budget. ▪ Circulate the terms of reference to all staff and partners concerned.
5. Sequence data collection techniques	<ul style="list-style-type: none"> ▪ Determine a sequence for the selected evaluation techniques (see Table 15.3).
6. Prepare report	<ul style="list-style-type: none"> ▪ Structure the evaluation report according to the evaluation issues identified in the terms of reference. ▪ Identify important points to be included in the report and exclude those that are incidental or contradictory. ▪ Clearly identify achievements and results qualitatively and quantitatively. ▪ Display a critical outlook and include precise, creative recommendations.

Source: FAO, 2003. *Auto-evaluation guidelines*, FAO, Rome.

Box 15.1: Key questions to be considered for evaluation

1. Design issues

- Are objectives, outcomes and outputs achievable and is the relationship between them coherent?
- Are adequate resources allocated to deliver the identified outputs?
- Does the organization have a clear comparative advantage, mandate and priority to deliver the project?

2. Implementation and process issues

- Are the planned human and financial resources available and well utilized?
- Is the organization working with the right partners and does it have the competencies for the project?
- Are the outputs produced at a reasonable cost and within accepted quality standards?

3. Output issues

- What outputs are produced compared to the planned outputs?
- How do outputs contribute to broader program and organizational outputs?
- Is there an effective dissemination strategy for the outputs?

4. Outcome issues

- Who is the actual project audience? How many and what type of users did the outputs reach?
- What do users think of the outputs and what do they do with them?
- Are there any unplanned outcomes (positive or negative) resulting from the project?

5. Objective-level issues

- What contributions to organizational or broader program objectives are evident in existing documentation?

6. Cross-sectoral issues

- How has the project contributed to the organization's goals?
- Was any contribution made to other, related, priority issues?

Source: FAO, 2003. *Auto-evaluation guidelines*, FAO, Rome.

Further considerations

- Auto-evaluations are not intended to verify project impacts (including long-term, positive or negative, and intended or unintended consequences).
- Auto-evaluation facilitates lesson learning and continual improvement and should be combined with external evaluations to provide objectivity for accountability.
- The method and results should be communicated to relevant stakeholders and partners.
- Within an organization or broader programme, auto-evaluations can be streamlined using a common set of evaluation issues so that the results can be compared.
- Auto-evaluations can be streamlined for related projects to improve cost-effectiveness. However, this results in a trade-off against the relevance of auto-evaluation questions to individual projects.
- Incorporating some external information sources such as a peer review of the evaluation report and/or the participation of external consultants is especially important for high priority, high-profile projects and to provide neutrality in projects involving several partners.

Table 15.2: Advantages and disadvantages of auto-evaluation techniques

Technique	Description	Advantages	Drawbacks
Indicators	Pre-determined indicators that the project must report on (e.g. organizational objectives).	<ul style="list-style-type: none"> ▪ Link accountability to original project plan ▪ Measure change and trends ▪ Can be qualitative 	<ul style="list-style-type: none"> ▪ Can be difficult to verify ▪ Don't capture unexpected developments ▪ Describe but do not explain
Desk studies/ annotated bibliographies	Review of project documentation including meeting minutes, reports and project documentary outputs	<ul style="list-style-type: none"> ▪ Good starting point ▪ Reduce time needed to access project details or identify status of research 	<ul style="list-style-type: none"> ▪ May take time to assemble ▪ Needs good supervision if undertaken by junior staff
SWOT analysis	Qualitative identification of project Strengths Weaknesses, Opportunities and Threats (SWOT).	<ul style="list-style-type: none"> ▪ Participatory and transparent ▪ Good strategic tool to focus on what is important and define recommendations 	<ul style="list-style-type: none"> ▪ Time consuming and involves many staff ▪ Can be regarded as a childish technique by some
Semi-structure interviews	Individual interviews of project stakeholders and participants, guided by a checklist of issues to be addressed qualitatively	<ul style="list-style-type: none"> ▪ Capture complex projects with varied outcomes ▪ Capture processes and problems ▪ Help understand stakeholder perceptions 	<ul style="list-style-type: none"> ▪ Take time and cannot be automated ▪ Unsuitable for projects with repetitive, predetermined outcomes ▪ Distrust qualitative research
Focus group interviews (usually semi-structured)	Group interviews guided by a checklist of issues to be addressed qualitatively	<ul style="list-style-type: none"> ▪ (as above) ▪ Work by consensus between informants ▪ Collect views from a range of informants ▪ Quickly identify important issues 	<ul style="list-style-type: none"> ▪ (as above) ▪ May inhibit the expression of minority views
Questionnaire surveys	Completed by participants to assess strengths and weaknesses in a quantitative way and collect observations and recommendations.	<ul style="list-style-type: none"> ▪ Powerful data collection for larger groups ▪ Objective - data collection is standardized and formal 	<ul style="list-style-type: none"> ▪ Difficult to design a good questionnaire ▪ Response rate is often low ▪ Sample can be biased towards the most opinionated
Web statistics	Identify the number and geographical origin of people consulting particular websites.	<ul style="list-style-type: none"> ▪ Low cost ▪ Crude analysis of the number and geographical origins of the audience, and of documents/pages most downloaded 	<ul style="list-style-type: none"> ▪ Difficult to interpret and need to eliminate hits by search engine 'robots' ▪ Misses vital data e.g. gender, nationality, occupation ▪ Geographic data biased towards access providers in developed countries ▪ Visit quality may be more important than quantity
Country case studies	In-country analysis of outcomes	<ul style="list-style-type: none"> ▪ Best way to capture rich results at the country level 	<ul style="list-style-type: none"> ▪ Need good planning and administration ▪ Costly
Expert panels	Independents provide quality control of reports and a broader perspective	<ul style="list-style-type: none"> ▪ Provide accountability and transparency ▪ Help confirm evaluation validity 	<ul style="list-style-type: none"> ▪ Can produce conflict if act in parallel to internal review process

Source: FAO, 2003. *Auto-evaluation guidelines*, FAO, Rome.

Table 15.3: Time-frame and sequencing of techniques for auto-evaluation

Activities	Months					
	1	2	3	4	5	6
Preparation of terms of reference	←→					
Desk review/web statistics		←→				
Identification of people to interview						
Interviews/brainstorming with staff			←→	→		
Interview partners and users			←→	→		
Preparation of questionnaires		←→				
Completion of questionnaires			←→	→		
Analysis of questionnaires				↔		
Draft report				↔		
Internal comments on draft report					←→	
Second draft report						↔
Peer review of report						↔
Finalize report						↔

Source: (adapted from) FAO, 2003. *Auto-evaluation guidelines*, FAO, Rome.

Background

This tool was developed by the FAO to promote learning and continual improvement in project development and delivery.

This tool is written for use within FAO administrative structures but has been outlined in a generic way here for broader application. The tool was also designed for use at the FAO programme level. However, in line with this document, the term project has been used to generically describe all actions contributing to development processes.

Other relevant frameworks, approaches and methods

- # 16: Methodological framework for project evaluation
- # 17: Grassroots Development Framework
- # 18: Impact Monitoring and Assessment
- # 19: Selecting indicators
- # 20: Participatory development of indicators

References

Evaluation Service (PBEE) - FAO, 2003. *Auto-evaluation guidelines*, Version 1.1, FAO, Rome
http://www.fao.org/docs/eims/upload/160705/auto-evaluation_guide.pdf.

16 – Methodological framework for project evaluation

International Fund for Agricultural Development (IFAD)

A framework for the systematic evaluation of development projects.

When can the methodological framework for project evaluation help?

- Project impacts are not identified and cannot be attributed to project activities
- Project evaluations do not assess the relevance of project objectives
- There is inadequate data to support quantitative assessment of project efficiency
- The contributions of different partners to development projects are not transparent
- Project evaluations do not consolidate gender-related impacts
- Project evaluations cannot be compared across similar or related projects
- Lessons that could be used to improve future projects are not identified.

What can the methodological framework for evaluation be used for?

- Evaluating project performance and project impacts
- Assessing project partners' contributions to development projects
- Providing a basis for accountability for project impacts
- Identifying and documenting lessons to inform future, related projects.

Why use the methodological framework for evaluation?

- Take a systematic approach to evaluation using a clear set of evaluation criteria
- Aggregate evaluation results across and within projects
- Assess project impacts at project completion
- Consolidate the evaluation of results, impacts, project performance and lessons
- Focus on sustainability, innovation and the replication of project results and the impacts on gender equality and women's empowerment.

Key concepts

Impact (2 - for the purposes of the methodological framework for project evaluation): impacts are the intended or unintended changes in the lives of the rural poor – as perceived at the time of the evaluation – to which the organization's interventions have contributed.

Impacts are determined at the end of project implementation and not some time later when secondary and indirect effects may be observed. They include what, in other evaluation frameworks, may be called results, outcomes and effects.

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Outline of the methodological framework for project evaluation

In the methodological framework for project evaluation, project achievements and impacts are assessed against key evaluation criteria. The criteria and notes on their use are outlined in Table 16.1 and more detail is provided in the following text boxes.

Table 16.1: Evaluation criteria

1. PROJECT PERFORMANCE	
1.1 Relevance of project objectives	The extent to which the project objectives (at the time of evaluation) are consistent with: the rural poor's perceptions of their needs and potential at the time of the evaluation; the economic, social and policy environment; the organization's mandate, strategic framework and policies; and the country's current poverty-reduction policies and strategies.
1.2 Effectiveness	The extent to which the project's major objectives (at the time of evaluation) were achieved, or are expected to be achieved, at project completion. Project effectiveness is measured with respect to the project designer's expectations of project's impacts (see Tables 16.1 and 16.2).
1.3 Efficiency	The extent to which the project achieved, or is expected to achieve benefits commensurate with inputs, based on economic and financial analysis or unit costs compared with alternative options and good practices to determine how economically resources have been converted into results (see Box 16.2).
2. IMPACT ON POVERTY (see Table 16.2 for key evaluation questions)	
2.1 Impact on physical and financial assets	
2.2 Impact on human assets	
2.3 Impact on social capital and people's empowerment	
2.4 Impact on food security	
2.5 Impact on the environment and communal resource base	
2.6 Impact on institutions, policies and the regulatory framework	
2.7 Overarching factors:	
(i) sustainability - assess whether the net benefits of the project can be maintained in the long term (see Box 16.3)	
(ii) Innovation and replicability/scaling up - assess the catalytic role of the organization or project in developing cost-effective ways to address problems/opportunities faced by the rural poor (see # 12 - Technology transfer for SARD)	
(iii) Impact on gender equality and women's empowerment - assess the gender-related impacts in relation to each impact domain to consolidate gender considerations (see Box 16.4)	
3. PERFORMANCE OF PARTNERS (see Box 16.5 for key evaluation questions)	
3.1 Primary organization	
3.2 Cooperating institutions	
3.3 Government agencies	
3.4 Non-governmental organizations and community-based organizations	
3.5 Co-financiers	

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Table 16.1: Project effectiveness matrix (completion of this matrix requires prior assessment of project impacts – see Table 16.2)

Main domains of impact	Key questions for impact assessment (Changes to which the project has contributed)	Expectation of impact (project's stated objectives)				Effectiveness rating (achievement against stated objectives - 4/3/2/1)			
		Reach who?	Change what?	Change how much?	Reach how many?	Reach who?	Change what?	Change how much?	Reach how many?
1. Physical and financial assets	1.1 Did farm households' physical assets change (land, water, livestock, trees, equipment etc)?								
	1.2 Did other household assets change (houses, bicycles, radios etc)?								
	1.3 Did infrastructure and people's access to markets change (transport, roads, storage, communication facilities etc)?								
	1.4 Did households' financial assets change (savings etc)?								
	1.5 Did rural people's access to financial services change (credit, saving, insurance etc)?								
2. Human assets	2.1 Did people's access to potable water change?								
	2.2 Did access to basic health and disease prevention services change?								
	2.3 Did the incidence of HIV infection change?								
	2.4 Did maternal mortality change?								
	2.5 Did access to primary education change?								
	2.6 Did primary school enrolments for girls change?								
	2.7 Did women's and children's workloads change?								
	2.8 Did adult literacy rate and/or access to information and knowledge change?								
3. Social capital and people's empowerment	3.1 Did rural people's organizations and institutions change?								
	3.2 Did social cohesion and local self-help capacity or rural communities change?								
	3.3 Did gender equality and/or women's conditions change?								
	3.4 Did rural peoples feel empowered vis-a-vis local and national authorities and development partners? Do they play more effective role in decision making?								
	3.5 Did rural producers feel empowered vis-a-vis the marketplace? Are they in better control of input supply and marketing of their products?								
4. Food security (production, income and consumption)	4.1 Did children's nutritional status change?								
	4.2 Did household food security change?								
	4.3 Did farming technology and practices change?								
	4.4 Did the frequency of food shortages change?								
	4.5 Did agricultural production change (area, yield, production mix etc)								
5. Environmental and common resource base	5.1 Did status of the natural resource base change (land, water, forest, pasture, fish stocks etc)?								
	5.2 Did exposure to environmental risks change?								
6. Institutions, policies and regulatory framework	6.1 Did rural financial institutions change?								
	6.2 Did local public institutions and service provision change?								
	6.3 Did national/sectoral policies affecting the rural poor change?								
	6.4 Did the regulatory framework affecting the rural poor change?								

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Table 16.2: Impact matrix

Main domains of impact	Key questions for impact assessment (changes to which the project has contributed)	Assessment of change				Reach of change				Dynamic processes 4/3/2/1**	Sustainability potential 4/3/2/1***
		Presence /direction of change (+)(0)(-)	What has changed? (indicator)	Extent of change:		How many? (households/people)	Who? (poor/poor-est/better off)	Who? (M/F)	Project contribution 4/3/2/1		
				How much?	Rating (4/3/2/1)*						
1. Physical and financial assets	1.1 Did farm households' physical assets change?										
	1.2 Did other household assets change?										
	1.3 Did infrastructure and people's access to markets change?										
	1.4 Did households' financial assets change?										
	1.5 Did rural people's access to financial services change?										
2. Human assets	2.1 Did people's access to potable water change?										
	2.2 Did access to basic health/disease prevention services change?										
	2.3 Did the incidence of HIV infection change?										
	2.4 Did maternal mortality change?										
	2.5 Did access to primary education change?										
	2.6 Did primary school enrolments for girls change?										
	2.7 Did women's and children's workloads change?										
	2.8 Did adult literacy rate/access to information/knowledge change?										
3. Social capital and people's empowerment	3.1 Did rural people's organizations and institutions change?										
	3.2 Did social cohesion/local self-help capacity/communities change?										
	3.3 Did gender equality and/or women's conditions change?										
	3.4 Did rural peoples feel empowered vis-a-vis local and national authorities and development partners? Do they play more effective role in decision making?										
	3.5 Did rural producers feel empowered vis-a-vis the marketplace? Are they in better control of input supply and marketing?										
4. Food security (production, income and consumption)	4.1 Did children's nutritional status change?										
	4.2 Did household food security change?										
	4.3 Did farming technology and practices change?										
	4.4 Did the frequency of food shortages change?										
	4.5 Did agricultural production change (area, yield, production mix)?										
5. Environment and common resource base	5.1 Did status of the natural resource base change?										
	5.2 Did exposure to environmental risks change?										
6. Institutions, policies and regulatory framework	6.1 Did rural financial institutions change?										
	6.2 Did local public institutions and service provision change?										
	6.3 Did national/sectoral policies affecting the rural poor change?										
	6.4 Did the regulatory framework affecting the rural poor change?										

* Rating: 4=high, 3=substantial, 2=modest, 1=negligible (based on rural poor's perspectives in relation to the baseline situation) ** This refers to cases where even though impact achievement is modest or negligible, the project has set in motion dynamic processes that will eventually lead to substantial impact achievement. The identification of these processes is left to the evaluator's judgment on a case-by-case basis. *** Rating: 4= highly likely, 3=likely, 2=unlikely, 1=highly unlikely
 Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Box 16.2: Qualitative assessment of efficiency

Qualitative assessments of efficiency can be used in the absence of the data required to calculate net present value, economic rate of return and estimates of the financial rate of return and include:

- Actual costs compared with appraisal estimates and any revisions
 - Implementation delays and any redesign that may have increased costs
 - The level of benefits and their growth curve compared with expectations (if feasible)
 - Utilisation rates for project facilities and services
 - Services and facilities compared to good practice standards
 - Adequacy of the benefits stream compared with the costs.
- * Qualitative assessments should always rely on an appreciation of the underlying concepts of cost-benefit analysis, the use of good practice in similar situations and other suitable indicators.

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Box 16.5: Factors affecting sustainability

Factors to be considered when assessing the sustainability of impacts include:

- **Social support** (including continued participation of beneficiaries and local communities, robustness of grass-roots organizations)
- **Technical soundness**
- **Government commitment** (including key central and local agencies and available operating funds)
- **Commitment of other stakeholders** (including NGOs, local organizations, civil society and private sector)
- **Financial viability** (including funding of rural organizations, role of cost recovery, capacity to finance recurrent cost, operationally and financial self-sufficiency and positive cash flows in marketing schemes)
- **Institutional support** (including the legal/regulatory framework and organizations and management effectiveness)
- **Environmental impact and protection**
- **Resilience** to exogenous factors (such as price variability and market access, natural disasters and unstable security in the project area)
- **Replication** (of a project approach as an indicator of sustainability).

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome

Box 16.6: Key questions to assess gender equality and women's empowerment

- Did the project design correctly identify gender-differentiated development opportunities?
- Were adequate operational measures included in the design to realise this potential?
- Has the implementation environment, including the institutional environment, been supportive of/conducive to such development?
- Have women and men had equal opportunities to participate in overall project activities and in individual components?
- Have women and men benefited equally from the overall project impact?
- Has the project been innovative in creating gender-equal opportunities and in empowering women?
- Has the project facilitated progress in gender-sensitive policies or government actions?

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Box 16.7: Key evaluation questions to assess the performance of project partners:**Implementing/
primary
organization**
(NB some of these
questions may
reflect IFAD's
internal strategies)

- Did the project design illustrate the connection with country and regional strategies?
- Was the design process participatory?
- Has the design adequately defined and addressed the project goals and objectives?
- Did the design adequately address targeting, participation and gender issues?
- Was the design suitable and modified if necessary?
- Did resource allocations accord with project objectives/goals?
- Are objectives currently relevant to target group's aspirations/needs?
- Did the organization support partners by taking prompt action when required?
- Has the project been innovative in design and implementation?
- Has the organization promoted the replication or scaling-up of the project components?
- Did the organization help to enforce the cooperating institution's recommendations?
- Was the project designed to be sustainable?
- Has the organization actively created an effective partnership for implementation?
- Has the organization sought to influence poverty policies?

**Cooperating
institutions (CI)**

- Has the supervision programme been well arranged (frequency, composition, continuity)?
- Has the CI followed compliance with loan covenants?
- Has the CI been effective in financial management?
- Has the CI sought to monitor project impacts and the concerns of the organization?
- Have implementation problems been highlighted and appropriate remedies suggested?
- Has the CI promoted or encouraged self-assessment and learning processes?
- Has the supervision process enhanced implementation and poverty impacts?

**Government
agencies**

- Has government correctly assumed ownership and responsibility for the project?
- By its actions and policies had government been fully supportive of project goals?
- Did government contribute adequately to the project preparation process?
- Have adequate staffing and project management been assured?
- Has technical assistance been contracted and used well when needed?
- Has appropriate staff training been arranged and funded?
- Have the appropriate levels of counterpart funds been provided on time?
- Have administrative arrangements (e.g. procurement) been suitable for implementation?
- Have participatory approaches included in the design been encouraged and/or adopted?
- Have loan covenants and the spirit of the loan agreement been followed?
- Has coordination of the implementing agencies been well arranged?
- Has policy guidance been provided to the project management where necessary?
- Has the project management discharged its functions adequately?
- Has government facilitated the work of NGOs and civil society where appropriate?
- Has adequate reporting and auditing been arranged?
- Has government planned an exit strategy and/or made arrangements for continued project activities?

NGOs and CBOs

- Have NGOs/CBOs been involved in the project as envisaged?
- How effectively have NGOs fulfilled their contractual service agreements?
- Have the NGOs/CBOs acted to strengthen the capacity of rural poor organizations?
- Will NGOs/CBOs contribute to the sustainability of project activities?

Cofinanciers

- Were cofinanciers well chosen in terms of congruence of mandates?
- Have adequate and timely resources been made available as agreed?
- Have administrative arrangements worked well?
- Have cofinanciers been active in encouraging project implementation?
- Has there been adequate coordination with cofinanciers?
- Is there potential for scaling up or continuing of cofinanciers' contributions actions?

Source: IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome.

Further considerations

- The matrices should be used as supporting tools and not as summary assessments – they assess ‘what’ has happened but do not address ‘why’ it has happened. They should inform the development of evaluation tools rather than being completed directly.
- Only those boxes in each matrix that are relevant to individual projects should be completed.
- Determining values for each cell in the matrices will require balancing the different perceptions of actors involved in the evaluation process.
- Project intentions may need to be reconstructed if the original project objectives are too general to use in the evaluation or they have not been developed using a logical framework.
- Stakeholder perceptions of changes that have occurred and the extent to which the project is responsible must be supported by other objective data and consultation with partners.
- Evaluations should precede the development of an action-oriented document proposing how the recommendations will be implemented.

Background

The criteria proposed in this framework are based on the *IFAD strategic framework for IFAD 2002-2005*. This framework is based on the experience of IFAD’s Office of Evaluation in evaluating more than 200 IFAD projects.

While this framework was developed for specific use within IFAD, there is some flexibility in the framework which enables it to be applied to development projects in general. The tool has been reproduced here in general terms so that it can be applied across development projects in general. However, there has been no intent to change the meaning of the original material.

Other relevant frameworks, approaches and tools

- # 15: The auto-evaluation method
- # 17: Grassroots Development Framework
- # 18: Impact Monitoring and Assessment
- # 19: Selecting indicators
- # 20: Participatory development of indicators

References

IFAD, 2003. *A methodological framework for project evaluation: main criteria and key questions for project evaluation*, IFAD, Rome <http://www.ifad.org/gbdocs/eb/ec/e/34/EC-2003-34-WP-3.pdf>.

17 – Grassroots Development Framework

(also called 'the Cone')
The Inter-American Foundation

A conceptual framework for planning, monitoring and evaluating development projects.

When can the Grassroots Development Framework help?

- There is an over-emphasis on the tangible, measurable results of a project and the direct impacts on intended beneficiaries
- Valuable, unanticipated impacts are not be taken into consideration
- There is a long lag time before evaluation results can inform decision making
- Evaluations are conducted too soon after project completion to measure long-term impacts
- There is an over-emphasis on short-term results
- Evaluations cannot be compared across different projects.

What can the Grassroots Development Framework be used for?

- Informing the development of organizational objectives, goals and directions
- Comprehensive planning, monitoring and evaluation of development projects incorporating all areas of potential impacts
- Identifying the expected impacts and areas of influence of a development project
- Measuring the results and impacts of development projects
- Comparing and contrasting the related projects across programmes, institutions, geographic areas and/or over time.

Why use the Grassroots Development Framework?

- Evaluate the broader economic and social impact and the intangible impacts of development projects (as well as anticipated, tangible and direct results)
- Link monitoring and evaluation to the planning process
- Incorporate data collection methods that are culturally and organizationally appropriate
- Focus on the process (means) of development as well a products (ends) to pursue long-term goals of poverty alleviation and sustainable development
- Ensure that all areas of potential impacts and the interactions between them are considered in project planning and evaluation.

Key concepts

There are three levels of impacts in the Grassroots Development Framework: 1) Direct benefits (individuals or families); 2) Organizational impacts (NGOs, CBOs, networks); and 3) Broader impacts on society (community, regional and national).

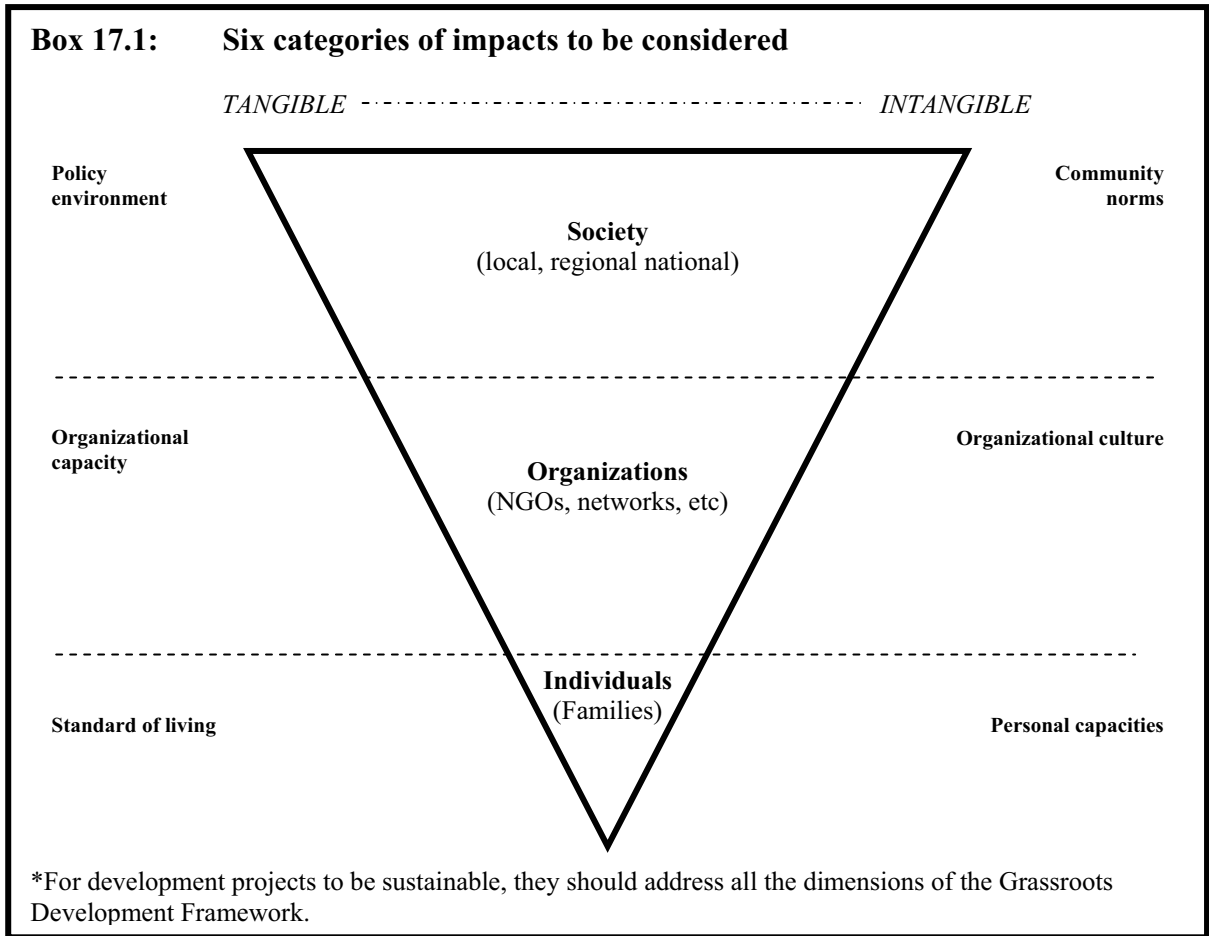
Tangible impacts: Are physical and material impacts that can be measured and substantiated by direct evidence.

Intangible impacts: can only be observed or inferred and are harder to measure in a quantitative manner.

Source: Pasteur, K. 2002. *Analysing the cone: a review of literature and experiences relating to the Grassroots Development Framework*, IDS.

Outline of the Grassroots Development Framework

The Grassroots Development Framework outlines six categories of impacts that should be assessed (see Box 17.1). The indicators within these categories are shown in Box 17.2.



Source: Pasteur, K. 2002. *Analysing the cone: a review of literature and experiences relating to the Grassroots Development Framework*, IDS.

Box 17.2: Grassroots Development Framework indicators**Standard of living:**

1. Basic needs	1.1	Number of beneficiaries who have improved or are improving their standard of living as a result of project activities
	1.2	Number of beneficiaries whose socioeconomic conditions changed owing to project activities themselves and not the economic or political situation in the country
2. Jobs and income	2.1	Number of beneficiaries who through the project, obtained new jobs, improved those they have (better pay and/or working conditions), or kept those that otherwise would have been eliminated
	2.2	Average income received by beneficiaries in the last 6 months from project activities
3. Assets	3.1	Total annual liquid and/or fixed assets that beneficiaries accumulated as a result of project activities
	3.2	Number of beneficiary families according to the level of fixed and liquid assets they have as a result of grant activities.

Personal capability - knowledge, skills and attitudes (personal capacities in Box 17.1):

4. Knowledge and skills	4.1	Number of beneficiaries who acquired knowledge and/or skills through courses, seminars or job training sponsored by the project
	4.2	Number of beneficiaries who applied the new knowledge and/or skills to their work as a result of project activities
	4.3	Number of project beneficiaries who increased their ability to lead or guide others in accomplishing project activities and goals
	4.4	Number of beneficiaries who improved their capacity to communicate their ideas and views clearly through project activities
5. Attitudes and values	5.1	Number of beneficiaries who report having the capacity, obtained through project activities, to act in their own benefit and to improve their standard of living
	5.2	Number of beneficiaries in terms of their appreciation of, care for, and presentation of their cultural values and traditional, and ethnic heritage as a result of project activities
	5.3	Number of beneficiaries that developed respect for and appreciation of other people's traditions, cultural customs and races as a result of project activities
	5.4	Number of beneficiaries with the capacity, obtained through project activities, to continue to devote time and energy to an activity, project, or goal until it is accomplished, or at least until it is determined that it is not feasible
	5.5	Number of beneficiaries who utilize and/or adapt more effective and/or efficient strategies, methods, or approaches to achieve project objectives.

Organizational capacity and culture (shown separately in Box 17.1):

6. Management	6.1	Demonstrated capacity of organization for planning, monitoring and evaluation of project activities
	6.2	The organization's demonstrated capacity to identify and use more effective strategies, methods and/or approaches to achieve project objectives
7. Implementation/ administration	7.1	Number and average amount of loans given by the organization to its beneficiaries
	7.2	The organization's demonstrated capacity to efficiently manage financial, human or material resources and allocate the resource to priority needs and supervise their use to achieve institutional goals and/or project activities
	7.3	Value of the income generating organization's profits earned as a result of project activities
8. Resources	8.1	Total amount of resources mobilized (received) by the organization from other organizations that supported projects with same funding source
	8.2	The capability of the organization to acquire resources for its own use, from various external sources.

	8.3	Monetary, material or human resources from national or international public or private entities that the grantee obtained and channeled directly to other grassroots organizations or groups that support the project. The resources brokered never pass through the organization's hands but rather to directly to other organizations, grassroots groups, or even to beneficiaries themselves
9. Vision	9.1	Capacity demonstrated by the organization to establish and modify long-term goals and plans of action, beyond the goals of the current project and enabling the project to be sustained after project funding has ended
	9.2	The organization's demonstrated capacity to foresee economic, political or market conditions and to react appropriately to the situation
10. Participatory practice	10.1	Demonstrated willingness of the organization to provide information to its staff, beneficiaries, and other organizations involved, if any, on its policies, programmes and finances
	10.2	The organization's demonstrated practice of consulting its staff, partners, and/or beneficiaries on decisions affecting project goals and operations
11. Organizational relationships	11.1	Number and types of other organizations that have established informal and/or legal partnerships with the organization. Partner organizations agree to work jointly to fulfill the project's goals and objectives. A partner organization is one contributing financial, human or material resources to support the project's objectives and participating in the decision making process
	11.2	The number and type of other organizations that have established formal and/or legal partnerships with the organization. Partner organizations contribute financial, human or material resources to support the project's objectives and participate in the decision making process
<u>Policy environment (laws/policies):</u>		
12. Laws	12.1	Number of laws, statutes, regulations and other legal provisions which the organization helped to enact as a direct result of project activities
	12.2	The number of laws, statutes, regulations and other legal provisions that were implemented as result of the activities of the organization
13. Policies	13.1	Number of topics discussed by the organization at meetings or in the media as a result of grant activities. Such discussions promote civil society, the organization and cooperating organizations
	13.2	Number of policies or plans of action designed and implemented by the organization as a result of project activities
14. Dissemination and replication	14.1	Number of speeches or presentations made or products developed for purposes of disseminating project approaches, practices or techniques. Such presentations and/or products are directed at beneficiaries or other interested parties
	14.2	Number of individuals and organizations, excluding the organization, which adopted the approaches, methods, or techniques proposed or adopted in the project
<u>Community norms (attitudes and values):</u>		
15. Awareness	15.1	Demonstrated capacity of organization to raise public awareness regarding the disadvantaged population, that is benefiting from the project
16. Practices	16.1	The demonstrated capacity of the organization, as a result of the grant, to influence the government and/or state institutions to accord more favourable treatment to disadvantaged people
17. Relations	17.1	Influence of the organization in maintaining productive working relations with civil society entities or organizations, other than its relations with partner organizations
	17.2	Influence of the organization on public sector entities or organizations other than its partner government agencies (local, regional, national).

Source: Inter-American Foundation, (no date). *Grassroots Development Framework*, http://www.iaf.gov/grants/grassroots_dev_framework_text_en.asp?grass=1.

Further considerations

- The six categories of impacts are not independent of each other and are inter-related.
- Estimation and opinion are the main forms of measurement but quantitative data is also used.
- A participatory approach should be used throughout project design and formulation, implementation and evaluation and not only to extract data but to broaden the scope of evaluation and empower stakeholders.
- In order to compare evaluations, a standardized instrument must be used to collect data. This requires a trade-off in the flexibility in the use of data collection methods tailored to specific project contexts.
- The Grassroots Development Framework can be adapted to a diversity of different contexts and is not biased towards any particular sector. It has been used in agriculture, environment, health, gender and community development sectors.
- Additional variables can be included in the Grassroots Development Framework to tailor it to specific projects. However, the inclusion of too many variables may overcomplicate the framework.
- Criteria have been developed to assess the capacity of an organization that is being funded by a donor agency to deliver a development project but may be applied in a broader context.
- The Grassroots Development Framework is still considered to be in development and it is still being built on and adapted in response to lessons learned from its use.

Background

This tool was developed from the experience of monitoring 4,000 projects financed by the Inter-American Foundation. While it was developed for use within the Inter-American Foundation, it has also been adopted by a number of Latin American organizations for their own internal use. Therefore it is included in the SARD Project Toolkit for use in development organizations generally.

Other relevant frameworks, approaches and tools

19: Selecting indicators

References

Inter-American Foundation, (no date). *Grassroots Development Framework*, http://www.iaf.gov/grants/grassroots_dev_framework_text_en.asp?grass=1.

Pasteur, K. 2002. *Analysing the cone: a review of literature and experiences relating to the Grassroots Development Framework*, IDS, <http://www.livelihoods.org/info/tools/Thecone.pdf>.

18 – Impact Monitoring and Assessment

Swiss Agency for Development and Cooperation (SDC) and
Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

A participatory framework for incorporating impact assessment into the project cycle.

When can Impact Monitoring and Assessment help?

- Monitoring project performance focuses on inputs, outputs and outcomes but does not take changes in the project context into consideration
- Project goals are not kept in sight during project implementation
- There is an over-emphasis on assessing project efficiency compared to project effectiveness
- Attributing impacts or changes in the project context to project actions is difficult.

What can Impact Monitoring and Assessment be used for?

- Observing and interpreting the changes in the project context
- Adapting and improving projects in response to changes in the project context
- Identifying plausible relations between actions and changes in the project context
- Identifying project impacts and indicators to measure project impacts
- Involving and empowering stakeholders
- Building stakeholder capacity to present views, analyze, negotiate and make decisions
- Determining the extent to which a development project has achieved its purpose/goal.

Why use Impact Monitoring and Assessment?

- Broaden the focus of project monitoring to include the project context
- Integrate impact monitoring assessment into the project cycle
- Conduct impact assessment as part of project self-evaluation
- Ensure continued appropriateness and effectiveness of project activities.

Key concepts

Context: The biological, socio-cultural, economic, institutional and political milieu or environment in which a development project is conducted.

Sustainable land management (SLM): the use of renewable land resources (soils, water, plants and animal) for the production of goods to meet changing human needs while protecting the long-term productive, physiological, cultural and ecological functions of those natural resources for the benefit of society. Land management becomes more sustainable if progress is made in the social/institutional, economic and ecological dimensions at the same time.

Source: Herweg, K. and Steiner, K., 2002. *Impact Monitoring and Assessment: instruments for use in rural development projects with a focus on sustainable land management*, Volume 1, Centre for Development and Environment, Switzerland and Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), Germany.

Outline of the Impact Monitoring and Assessment framework

Table 15.1 outlines the Impact Monitoring and Assessment framework.

Table 15.1: Impact Monitoring and Assessment in the project cycle

Project cycle	Steps and key questions for Impact Monitoring and Assessment (IMA)
Planning stakeholder analysis	<p>Step 1: Involvement of stakeholders and information management Stakeholders must be involved in stages 2 to 6 to provide their knowledge and perceptions of the project context and to balance the views, values and objectives of different groups and manage conflicts. Ensure that information is accessible for all stakeholders.</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ Who should participate in IMA? ▪ Who can provide and who needs what information, and in what form? ▪ How will information be disseminated and stored so it is accessible for anyone?
Problem analysis	<p>Step 2: Review of Problem Analysis Identify starting points for project activities.</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ What are the most important elements of the project context and how are they interlinked? ▪ What role do they play in the context? ▪ Is the context moving towards or away from sustainability?
Objectives analysis (analysis of alternative solutions)	<p>Step 3: Formulation of impact hypotheses Identify how the project can intervene, which elements/links of the system it will affect, the situation to be achieved (goals/purpose) and the expected results Define the impact hypothesis (the use of project outputs, the resultant effect, benefits/drawbacks arising and subsequent impacts)</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ What contribution can the project make towards more sustainable development? ▪ What positive and negative impacts might arise?
Indicator selection	<p>Step 4: Selection of impact indicators To determine if any change in the context is contributing to the project purpose/goal and communicate this to stakeholders and partners.</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ What indicates a change in the project context? ▪ What reveals which impact hypotheses materializes? ▪ What set of indicators will tell if changes contribute to the project purpose and goal? ▪ Can local indicators be used (see # 20)? ▪ How can a reasonable number of indicators be selected (see # 19)? ▪ How can impact assessment be prepared?
Monitoring	<p>Step 5: Development and application of impact monitoring methods</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ How can the context and impact indicators be monitored and documented? ▪ Which methods are applicable within the means and capacities of the project (e.g. cost-effective, flexible and able to be used by staff) but still meet quality requirements? ▪ How can methods be best combined for triangulation?
Evaluation	<p>Step 6: Impact assessment Find relations between project outputs and changes in the context.</p> <p>Key questions:</p> <ul style="list-style-type: none"> ▪ How did the context change in the eyes of different stakeholders (at the household level, at community level, at other levels)? ▪ What did they learn from these changes? ▪ Do the lessons learned indicate that the project has stimulated important social processes (e.g. individuation, self-determination, empowerment, innovation, adaptation, ethnic integration, participation, social learning etc)? ▪ What plausible relationships can be identified between the project, social processes and changes in the context? Would the changes have occurred anyway i.e. even without the project? Which factors - alone or in combination - have contributed to the changes? ▪ Do changes in these social processes contribute to (development) goals? ▪ Which processes should be strengthened specifically in the future?

Source: Herweg, K. and Steiner, K., 2002. *Impact Monitoring and Assessment: instruments for use in rural development projects with a focus on sustainable land management*, Volume 1, Centre for Development and Environment, Switzerland and GTZ, Germany.

Box 18.3: Questions to address in the follow up to Impact Monitoring and Assessment

- Are there new stakeholder groups that should be involved during the next project phase? (Step 1)
- Is the analysis of the project context still relevant and representative? (Step 2)
- Do the impact hypotheses have to be revised or supplemented, after initial changes and impacts appear? (Step 3)
- Is the selection of impact indicators still relevant, and can it represent all important changes? (Step 4)
- Did the monitoring methods applied produce useful data and information? How can methods be optimized or simplified? What should be added or omitted? (Step 5)
- Was the impact assessment satisfactory or does it need to be modified? (Step 6)

Source: Herweg, K. and Steiner, K., 2002. *Impact Monitoring and Assessment: instruments for use in rural development projects with a focus on sustainable land management*, Volume 1, Centre for Development and Environment Switzerland and GTZ, Germany.

Further considerations

- Impact Monitoring and Assessment (IMA) is only one option for determining the impact of development projects.
- IMA can be adapted to suit project-specific conditions and local contexts.
- Although developed for sustainable land management projects, the generic method can be applied to projects “in other sectors such as health, education and infrastructure”.
- IMA is designed to be carried out by project staff. It employs simple, cost-effective tools and instruments that have been tested in practice.
- IMA should be complemented by performance assessments that measure achievement in terms of inputs, outputs and outcomes.

Background

This tool was initially developed by the Swiss Agency for Development and Cooperation (SDC) and the GTZ (Deutsche Gesellschaft für Technische Zusammenarbeit) in conjunction with Intercooperation and Helvetas (Switzerland). Development began in 1996/97 and the version summarized here is based on feedback provided by experts who tested the framework in the field between 1998 and 2001. It builds on the *Guidelines for impact monitoring for sustainable land management* released as working documents in 1998.

Other relevant frameworks, approaches and tools

17: Grassroots Development Framework

19: Selecting indicators

References

Herweg, K. and Steiner, K., 2002. *Impact Monitoring and Assessment: instruments for use in rural development projects with a focus on sustainable land management*, Volume 1, Centre for Development and Environment, Switzerland and Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), Germany
<http://www.tropentag.de/2002/proceedings/node84.html#1597%20>.

19 – Selecting indicators

Reed, M. and Dougill, A. and The World Bank

A checklist of criteria for selecting indicators for monitoring the inputs, outputs, outcomes and impacts of development projects.

When can these criteria for selecting indicators help?

- Project outcomes and impacts cannot be demonstrated
- Project outcomes and impacts cannot be clearly linked to project actions
- Accountability for project delivery cannot be traced
- Project benefits cannot be ascribed to different social groups
- Monitoring programmes cannot be implemented with existing resources and capacity and within decision making time frames.

What can these criteria be used for?

- Measuring progress in project implementation and adapting project activities as necessary
- Measuring project outcomes and impacts
- Reflecting the causal links between inputs, outputs, outcomes and impacts
- Tracking accountability for project implementation and delivery.

Why use these criteria?

- Apply a consistent process to all project scenarios and across all sectors
- Accommodate the complexity of sustainability in indicators for evaluation
- Inform project management and decision making
- Provide an objective basis to the process of selecting indicators.

Key concepts

Indicators: Variables used to measure progress towards goals or objectives to be achieved, including measures of inputs, outputs, outcomes and impacts.

Source: The World Bank, 2004. *Selecting indicators*, Poverty Monitoring Guidance Note 1, The World Bank, Washington D.C.

Criteria for selecting indicators

The selection of indicators should be guided by the criteria outlined in Box 19.1.

Box 19.1: Evaluation criteria for selecting sustainability indicators

Indicators should:

- Be easily measured
- Be rapid to measure
- Be sensitive to spatio-temporal change (and variable across social groups)
- Assess trends over time and provide early warning of detrimental change, progress and improvement
- Be cost-effective to measure (and able to be measured within existing capacity and resources)
- Be easy to understand and interpret
- Be reliable (not dependent on the interpretation of the user) and robust (difficult to manipulate or be blown off course by unrelated developments and not sensitive to external or exogenous factors (e.g. require self-reporting or are linked to incentives that may encourage over- or under-estimation))
- Be representative of system variability and applicable over different regions
- Be timely
- Be scientifically credible
- Be verifiable and replicable
- Be consistent over time
- Have social appeal and resonance
- Be policy relevant (in terms of level of aggregation and the timing of the decision-making cycle)
- Make use of available data
- Be locally relevant
- Be accurate
- Be free from bias
- Be derived by the users
- Simplify complex phenomena
- Quantify information so that its significance is readily apparent
- Facilitate communication of information, particularly between data collectors and users
- Able to be disaggregated according to factors relevant to project activities, goals and decision (e.g. geographic areas, gender, age groups, income, consumption or asset ownership levels and ethnic, religious, tribal and other social groups).

Sources:

Reed, M.S. and Dougill, A.J., 2003. *Facilitating grass-roots sustainable development through sustainability indicators: a Kalahari case study*, presentation to “Frontiers 2: European applications in ecological economics”, 12-15 February 2004, Canary Islands.

The World Bank, 2004. *Selecting indicators*, Poverty monitoring guidance note 1, The World Bank, Washington D.C. (criteria from this source are denoted in brackets).

Further considerations

- The World Bank recommends selecting few indicators “to answer the right questions at the right level of disaggregation” and that are “of good quality and easily measurable within existing capacity and available resources”.
- Selecting indicators to a scientific and political process and should be done in consultation with communities and decision makers.
- Qualitative and quantitative indicators are complementary and provide different types of information. Qualitative indicators provide important descriptive information.
- The quality of an indicator can only be considered in the context of its intended use.
- Measurement of performance indicators (measures of inputs, outputs, outcomes and impacts) should be accompanied by the measurement of overall performance and the context in which the project is being implemented.

Background

This checklist is a combination of two checklists, one developed by the World Bank for monitoring poverty reduction projects and the other developed from a review of 22 publications by Reed and Dougill in their development of a methodology for developing sustainability indicators.

Other relevant frameworks, approaches and tools

- # 15: The auto-evaluation method
- # 16: Methodological framework for project evaluation
- # 17: Grassroots Development Framework
- # 18: Impact Monitoring and Assessment
- # 20: Participatory development of indicators

References

Reed, M.S. and Dougill, A.J., 2003. *Facilitating grass-roots sustainable development through sustainability indicators: a Kalahari case study*, presentation to “Frontiers 2: European applications in ecological economics”, 12-15 February 2004, Canary Islands.

The World Bank, 2004. *Selecting indicators*, Poverty monitoring guidance note 1, The World Bank, Washington D.C. http://siteresources.worldbank.org/INTPAME/Resources/Selective-Evaluations/NoteIndicators_eng_Apr04_doc.pdf.

20 – Participatory development of indicators

M.S. Reed and A.J. Dougill

A framework for developing sustainability indicators that can be used by land users to guide sustainable land management.

When can the participatory development of indicators help?

- Frameworks developed to classify or guide the development of indicators have been developed from a theoretical perspective
- Sustainability indicators are often designed for use at national and international scales or for donor organizations and have little meaning for land users
- Land users require training and equipment to use sustainability indicators
- Indicators do not usefully inform land management decisions.

What can the participatory development of indicators be used for?

- Identifying indicators to assess progress towards goals, project impacts on rural communities and environments and the sustainability of policies and programmes
- Accounting for social factors influencing indicator use and development
- Identifying new indicators relevant to land users and local environments
- Broadening the scope of sustainability indicators for development projects
- Integrating local and scientific knowledge for accurate and usable indicators
- Developing more meaningful interpretations of existing sustainability indicators
- Developing indicators that can be used by land managers without training or specialist equipment
- Identifying indicators that can feed into sustainable land use decisions.

Why use the participatory development of indicators?

- Focus research at local scales relevant to land users
- Facilitate practical improvements in sustainable land use management practices
- Link sustainability indicators to land management objectives
- Reduce trade-offs between meaningful participation and scientific rigor
- Encourage locally-targeted responses to degradation and sustainability
- Improve transparency in decision-making and facilitate accountability to local stakeholders as well as governing bodies or donors sponsoring the program or policy.
- Empower local stakeholders.

Key concepts

Indicators: variables used to measure progress towards goals or objectives to be achieved, including measures of inputs, outputs, outcomes and impacts within a project logic framework. ^A

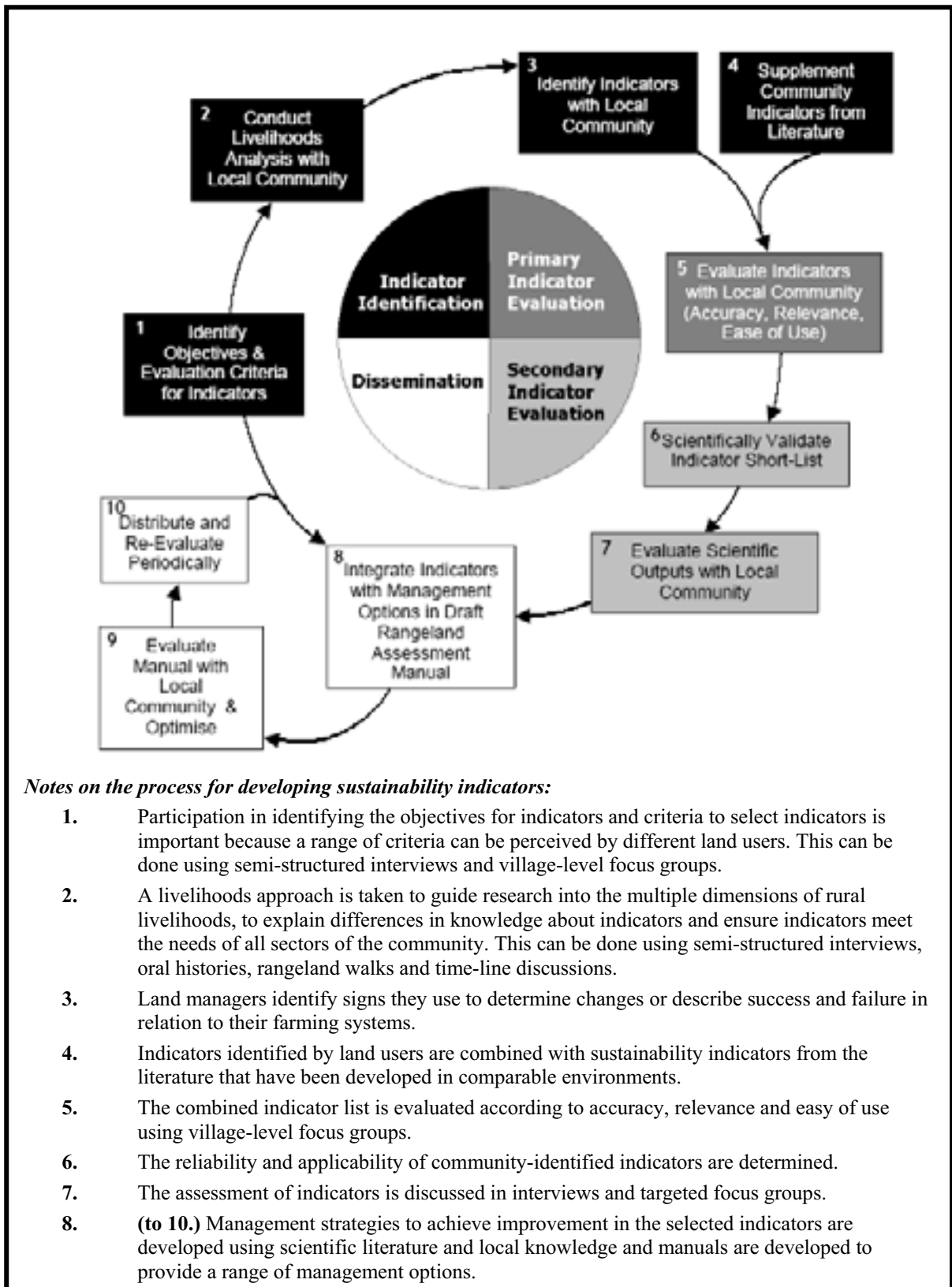
Sustainability indicators: indicators that look at the economic, social and environmental information in an integrated manner ^B

Sources:

^A The World Bank, 2004. *Selecting indicators, Poverty Monitoring Guidance Note 1*, The World Bank, Washington D.C.

^B Tschirley, J., 1996. *Use of Indicators in Sustainable Agriculture and Rural Development*, Sustainable Development, FAO, Rome.

The participatory framework for developing sustainability indicators



Source: Reed, M.S. and Dougill, A.J., 2003. *Facilitating grass-roots sustainable development through sustainability indicators: a Kalahari case study*, Presentation at "Frontiers 2: European applications in ecological economics", 12-15 February 2003, Tenerife, Canary Islands, Leeds Environment and Development Group, School of the Environment, University of Leeds, Leeds, UK.

Further considerations

- The need for an agreed working definition of sustainability is a challenge when engaging communities in the identification of sustainability indicators.
- The authors advise that more work is required to validate and optimize this approach.
- Stakeholders to be include: those who will plan, support, implement and benefit from the policy or project in question (FAO, 2005).
- Different social groups will use locally-identified indicators differently and this has implications for aggregating local data to inform decisions at larger scales and making comparisons between local areas. However, this trade-off may be justified in order to drive action at the local level.
- Community-identified indicators may include surrogates that are qualitative but accurate enough to support management decisions.
- Indicators identified by the community should be complemented by indicators chosen to monitor progress towards sustainability regional, national and international scales.
- The successful identification and use of indicators depends on: clearly defined objectives, appropriate reporting structures and appropriate data (FAO, 2005).
- Build the capacity of stakeholders to participate in the process such as helping to meet the expenses associated with participation (FAO, 2005).
- Delegating responsibility for the participatory development of indicators to local governments can help monitoring become embedded in local planning and budgeting processes (FAO, 2005).

Background

This framework was developed by the Leeds Environment and Development Group and was tested with land users in the south Kagalagadi district, Botswana.

Additional descriptive information has been added from the lessons of the SARD - FSE Project: *SARD and farming systems evolution project* from lessons learned during case studies in Honduras, Mali and the Philippines during 2002-2005.

Other relevant frameworks, approaches and tools

19: Selecting indicators

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Reed, M.S. and Dougill, A.J., 2003. *Facilitating grass-roots sustainable development through sustainability indicators: a Kalahari case study*, Presentation at “Frontiers 2: European applications in ecological economics”, 12-15 February 2003, Tenerife, Canary Islands, Leeds Environment and Development Group, School of the Environment, University of Leeds, Leeds, UK.

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Appendix 1: Future versions of the SARD Project Toolkit

Future editions of the SARD Project Toolkit will also build on this initial version in the following ways:

- Information will be sought from practitioners to provide guidance on the application of the frameworks, approaches and tools and provide concrete examples of their application.
- Advice on the relative merits and appropriate use of the different frameworks, approaches and tools, which is based on practitioners' experience in their use, will be provided to help readers choose between different frameworks, approaches and tools.
- Material may be developed to assist in training development practitioners in the use and application of the frameworks, approaches and tools.
- Additional frameworks, approaches and tools that promote sustainability will be included on the recommendation of people working in the design and formulation, implementation and monitoring and evaluation of agriculture and rural development projects. Some suggestions for additional frameworks, approaches and tools to be included are provided below (see Table A1)
- Additional frameworks, approaches and tools developed by the FAO will be included, while maintaining a balance across the different actors and organizations contributing to sustainability in agriculture and rural development.

Table A1: Frameworks, approaches and tools to be considered for inclusion in future editions of the SARD Project Toolkit:

Framework/approach/tool	Description
Incorporating social dimensions	A model for incorporating social dimensions into development projects
Guidelines for sociological analysis	A guideline to incorporate sociological assessment into the early diagnosis of development projects rather than being used as descriptive background.
Participatory research for sustainable livelihoods	An approach for incorporating participation into Sustainable Livelihoods Research
The LEADER model	Guidelines for defining and designing sustainable rural development projects and their evaluation
The platform approach	A broadened approach to extension including social factors
Evaluation of rural development programmes	Guidelines for evaluation of rural development and agriculture programmes
Evaluation in a DPSIR framework	A framework incorporating a DPSIR approach in evaluation and recommended agri-environmental indicators
Sustainability indicators	A list of recommended sustainability indicators.

Any links between these frameworks, approaches and tools suggested for inclusion in the SARD Project Toolkit and those already summarized in the Toolkit, will be identified as new additions to the Toolkit are made.

Suggestions for frameworks, approaches and tools to be identified or developed for inclusion in future editions of the SARD Project Toolkit:

- Exit strategies for agriculture and rural development projects
- Impact assessment
- Cultural indicators
- Finance for SARD (i.e. income generation, rural credit and banking)
- Legal tools (i.e. gender equity, protection of indigenous knowledge)
- Integrating indigenous and technical knowledge
- Environmental markets
- SARD and globalization (i.e. linking local communities into global networks)
- Ecological agriculture
- Decentralization for SARD.