Local Participation in policy:
Perspectives from FAO experience

by

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With contributions from

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FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Livelihood Support Programme (LSP)
An inter-departmental programme for improving support for enhancing
livelihoods of the rural poor.

Framework perspective on local participation in policy:
Views through FAO experience

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The Livelihood Support Programme

The Livelihood Support Programme (LSP) evolved from the belief that FAO could have a greater impact on reducing poverty and food insecurity, if its wealth of talent and experience were integrated into a more flexible and demand-responsive team approach.

The LSP, which is executed by FAO with funding provided by DfID, works through teams of FAO staff members who are attracted to specific themes being worked on in a sustainable livelihoods context. These cross- departmental and cross-disciplinary teams act to integrate sustainable livelihoods principles in FAO's work, at headquarters and in the field. These approaches build on experiences within FAO and other development
agencies.

The programme is functioning as a testing ground for both team approaches and sustainable livelihoods principles.

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Participation, Policy & Local Governance sub-programme

The main goal of the participatory policy reform sub-programme is to identify ways to enhance the participation of the poor in policy making processes. It is trying to improve methods to develop trust among multiple stakeholders and broaden the participation of local government, private sector and civil society organizations representing the interests of the rural poor in policy making.

Local people, especially poor and marginalised groups, often have very weak or only indirect influence on the policies that affect their livelihoods. Policies that are developed at central level are often not responsive to local needs and do not provide the rural poor with the access to assets and services that they need to improve their livelihoods.

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Executive summary

The goal of this exercise is to identify some of the tools a development agent needs for achieving effective local participation in policy development. The intended audiences are FAO professionals and their colleagues, in other agencies and in the field programs. This paper uses an analogy of walking and climbing to separate the familiar project experiences (the walking) from the less-known territory of policy influence (the climbing).

This exercise is unusual in that it looks back at a number of field experiences that were not formulated with a focus on local participation in policy development (no one started out with the intention to climb). From a research perspective we attempted to understand processes after the fact rather than following them as they developed, and we leaned on fields such as organizational management that deal with such challenges on a regular basis.

The case studies here were written with the aim of learning about the participatory policy development processes that took place around and within the contexts of the FAO projects. The majority of selected cases constitute a series of projects that started with a technical orientation (e.g. food security) and over time began to appreciate the significance of the policy context as an area where the project could play a direct role.

All projects contributed by creating new capacities at the individual and organizational levels. They created networking opportunities (spaces) whereby different stakeholders gained a voice. While many of those spaces were temporary, their very existence established both a precedent and a sense of what is possible. However, by not having an explicit "policy influence" agenda, the projects may have missed opportunities to document and report on some of these achievements. In the analogy: the walker may have climbed without knowing he followed good practices because he did not know their name, or their foundation.

Each case is unique when it comes to the political context, the levels of intervention, and the stage of policy development. Each project sought to develop spaces that worked in each context. While we found some common contextual elements, it was the art of adapting to what can work locally that made a difference. In so doing, the aim was to increase the agency and ownership over the development process by groups or coalitions that have in the past been left voiceless. Many of the case studies were able to do this effectively for two reasons: FAO was involved in the country of extended periods of time with access to stakeholders at local, meso and macro levels, and they had project champions in place who took advantage of emerging opportunities.

We noted the importance of working in concert with content, context and process. FAO projects will continue to have a content entry point in the food, agriculture and related sciences. However, the age of the technical assistance projects has shifted to a more holistic approach that integrates policy, organizational and capacity development. The cases in this report are examples of projects that began 'walking' along the technical road, and had to then also 'climb' the policy development challenge (cliff).

We identified several dimensions to capture the projects' accomplishments in a systematic manner: the **historical and political context**, the **levels at which the projects intervened**, the **types of policy spaces** that they created or encountered, and the **stages of policy development** that they worked with. We also looked at how the projects supported specific **coalitions of stakeholders**, whether they improved linkages or created new ones across levels, and whether they enabled higher **levels of participation** by those with least power. We paid particular attention to how project **champions** managed the process and enhanced a sense of **agency** and **ownership** by the less powerful over their own development.

The dimensions became the basis for our analytical framework and represent, in our analysis, some practical tools and pointers for climbing.   As new holistic projects are prepared and formulated, the context gains a prominent place, and so does the attention to process. The dimensions that are most difficult to capture as tools – namely agency and ownership- *are* about process. At the same time those nine dimensions are about context, but a context seen through the lenses of a policy development that actively seeks local participation.

The dimensions finally end up being the tools that we offer to the development agent willing to "climb the cliff" and accept the challenge of participatory policy development. To be ready to face whatever mountain the climber will run into, he would have to collect as much information as possible and carry all the tools available. In our case, the complete set of tools to help achieve effective participation of the poor in policy making (integrating policy, organizational and capacity development) would include:

1. An assessment of the **policy context**

2. Definition of the **kind of policy influence** that is sought

3. Project objectives that address the historical and political **context**, the levels of intervention, the type of policy spaces or incidents, and the stage of policy development.

4. Project interventions that are strategically situated to support specific coalitions of stakeholders, improve linkages, enable higher levels of participation, agency and ownership over the development **process**.

5. A definition of the types of **champions** that are needed in recognition of their central role in making or breaking the overall achievement.

6. An acknowledgement that policy windows are largely unpredictable, but that the project can enhance the system's **readiness** to respond when the opportunity arises.

1. Introduction

Purpose and objectives

The goal of this exercise is to identify the essential conditions for having effective local participation in policy development. The intended audiences are FAO professionals and their colleagues, in other agencies and in the field programs. The expected outcome is first a structured reflection process, and on its basis, improved strategies and actions for future programs.

This document is the result of a process of reflection among a number of professionals involved with the Livelihoods Support Program (LSP) of the Food and Agriculture Organization of the United Nations (FAO) on the subject of Participatory Policy Development throughout 2006[1]. The main authors of this report were contracted as researchers and facilitators of a process of learning based on a dialogue between the FAO staff field experiences and an analytical framework derived from the literature.

The nature of this exploration

This exercise is unusual in that it looks back at a number of field experiences that were not formulated with a focus on local participation in policy development, and yet they created "critical incidents", (Lindquist, 2001, 17) where and impact on policy took place. By "critical incident" we mean an accidental trigger that may focus attention on a problem and hence create opportunities to influence policy that were unexpected. We compare those experiences with a review of the literature that sheds lights on the conditions that have enabled those influences to take place. We then turn our attention to what it will take to formulate future projects that wish expressly to take on the challenge of enhancing local participation in policy development in a systematic manner.

From a research perspective the approach was less than conventional as it is based on attempting to understand processes after the fact rather than following them as they develop. However, we found that we were not alone in this kind of exploration as other fields, such as organizational management, deal with such challenges on a regular basis.

Where this exercise has its limitations, is in the extent to which our case studies can be used analyzed retrospectively using to full benefit the concepts from the literature. Our focus therefore is on a set of case studies each of which provides a context for observing participatory policy incidents. We will dedicate our efforts to identifying key conditions within the contexts that can help us to understand what participatory processes are made of and how they might be built into future projects and programs.

One way to better explain this effort is through an analogy.

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[1] The LSP was funded between 2000 and 2007 with a grant from the Department of International Development (DFID) that enabled wide range of FAO technical divisions to incorporate additional activities to established programs. The activities were varied but were all influenced by the Sustainable Livelihoods framework and shared a commitment to increase stakeholder engagement in project implementation. For background on the LSP and its component sub-programs visit www.fao.org/sd/dim_pe4/pe4_040501_en.htm

A walking versus climbing analogy

I go for a hike wearing my walking gear, I have done it before, I know the path… On one such walk I realize that I should/need to climb that cliff that I have often passed by (for whatever reason) to see the view. I perform this climb using some intuition - maybe I have seen others do it and know some basic rules of climbing, but I do not spend (much) time learning special skills nor do I buy extra gear. Later, when I tell a friend about my climb, she asks me to explain what I did and how, she wants to know it all…one step at a time. She happens to be an expert climber; has the gear and the skills. When she asks me how I used the pilot, or how I planned the approach, I have little to go on by.

The "expert climber" is our set of concepts and typologies; the good practices in the literature. Our "normal walk without climbing gear" is how the projects described in the case studies began and developed along a path that did not project the "cliff" of participatory policy development nor the need to take it into account. In all of the cases presented here, the challenge was accepted – the walker climbed the cliff, but with little knowledge of the good practices the literature – with few skills and no gear. We argue that our contribution is to help future "walkers" recognize the minimum gear necessary so that when they plan their next walk up the cliff of local policy development they can make the climb more effective.

As in any walk or climbing plan, mapping is important. Lindquist (2001), talks about the importance of mapping out policy communities and determining the different levels of power in each of them. He further points to the need to identify policy entrepreneurs who can best sense when policy windows open up. The projects that provide the framework for the case studies may have done similar things intuitively, but they were not always conscious of the skills and gear necessary to facilitate participatory policy development although they responded to needs and opportunities that presented themselves.

Structure and guide to readers

The report has 8 sections and all readers are invited to review them. However, the "rushed practitioner" may want to read Section 2, a selection of summaries from the case studies in Section 3, followed by Sections 5 and 6. The "academic" reader will benefit from reading all sections and may want to pick a couple of cases to read. The broad literature reviewed is covered in Section 2 (participation and participatory policy literature). Section 4 is the most theoretical in that it addresses how we learned (epistemology); it focuses on a narrow set of sources that contribute insights about strategies for policy development. Section 5 presents a framework to turn those key ideas from the literature in previous sections into a structured process of analysis, which is demonstrated in the same section. Section 6 concludes with attention to the overall objective of identifying the essential conditions for participatory policy development.

Table 1.1 below summarizes the sections and indicates how they respond to the analogy presented above.

Section	Contribution	What it means in the analogy
1. Introduction	Sets the purpose, nature of the exercise, along with an analogy to communicate the challenge.	
2. Case study development	Describes the origin of the case studies and the conditions that helped shape their structure and common concepts or tools.	An organization of the "walking gear" (we review literature in participatory development) plus some basic components for "climbing".
3. Case study summaries	Content[2]: The executive summaries of cases.	Eight stories of what started as a walk, and ended up including a climb.
4. Methodology	Process: The main feature of the "contextualist" learning methodology underlying this exercise. Context: A summary of key issues needed to influence policy.	A holistic way of learning and reflecting about both walking and climbing. The climber presents her gear.
5. Framework and analysis	Locating the main concepts along a common framework to allow for analysis. Cross case analysis illustrating a contextualist methodology.	The walkers get ready to explain their experiences to the climber. A dialogue between the walkers and the climber.
6. Conclusions and future directions	Determining the essential conditions for participatory policy development.	We are advising the walkers as "colleague walkers" that have spent a bit more time looking at the climbing gear; there is no such a thing as "THE recommended climb".
7. Appendices	1. Tools for data collection and analysis 2. Terminology 3. Full case studies	
8. Annotated bibliography		

Table 1.1 Sections of the report, their contribution and their place in the analogy.

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[2] The reference to Content, Process and Context is further explained in Section 4.

2. Case Study Development

Selection

The case studies included here were developed on the basis of a set of FAO projects that between 2002 and 2006 requested help from the Livelihood Support Program to strengthen activities intended to contribute to improving policy at local and national level.
Section 3 includes the executive summary for each case study, while Appendix 3 includes all of the full case studies.

Table 2.1 FAO case studies included in the scoping exercise

Country	Case Study	Year*
Bolivia	Facilitating Community Participation In Municipal Planning Though Communication	1990
Brazil	Support in the area of agrarian reform and family farming	1991
Cambodia	Poverty and Food Security Monitoring in Cambodia	1995
Honduras	Strengthening Local Government in Lempira Sur	1988
Mozambique	Land, Environment Forestry and Wildlife Management in Mozambique	1994
Philippines	Agricultural planning assistance to agrarian reform communities	1991
Syria	Institutional Development for Food and Agricultural Policies in Syria	1997

* Year FAO activities began on the projects that provide the context for the Case Studies

The cases frame periods of FAO cooperation that range from 10 to 18 years. Most evolved, in different phases, through agricultural, food security and land management. Most of the cases were built on the efforts of the various governments to bring about land reform and/or decentralization. Only one had an explicit intention of supporting or dealing with policy issues as a central focus (Syria). It was only over time that the need to support local and national efforts at policy development and implementation became evident. At this point lead technical staff searched for support to carry out activities that are central to each case study (see Table 2.1) and that are directly linked to policy development, not contemplated in project plans and budgets.

Why Case Studies

Case studies are used frequently in the social sciences to select and organize information gleaned from long-term situations so that it can be shared and analyzed more effectively. The case studies are our units of analysis.

Yin (1984) defines a case study as an empirical inquiry that investigates a contemporary phenomenon within its real-life context, when the boundaries between phenomenon and context are not clearly evident, and when multiple sources of evidence exist. Case studies make evident the causal links in real-life interventions and the real-life context in which an intervention has occurred. Case studies help explore situations in which the intervention being evaluated has no clear, single set of outcomes (Yin, 1984).

A case study:

- Permits the grounding of observations and concepts about social action and social structures in natural settings studied at close hand.

- Provides information from a number of sources and over a period of time, thus permitting a more holistic study of complex social networks and of complexes of social action and social meanings.

- Can furnish the dimensions of time and history to the study of social life, thereby enabling the investigator to examine continuity and change in life-world patterns.

- Encourages and facilitates, in practice, theoretical innovation and generalization. (Feagin et al., 1991, 6-7)

Limitations

The case studies have the following limitations:

The authors of this report did not have direct contact with the situations described in the cases nor to the many primary stakeholders involved. The information and perspectives expressed in the cases are those of individual interviewees (FAO headquarters technical staff) and to project that that could be gleaned from documentation. This narrow data source limited the extent to which triangulation was possible.

The verification of the information organized by the tools with other stakeholders has yet to happen and would be an important challenge for the reflective practitioner (to use Pettigrew's language). The bulk of the case study text constitutes findings, and while the contextualist analysis is addressed in Section 5, this process will be more coherent in dialogue with the project champions.

Case study structure

The case studies here were written with the intention of learning about the participatory policy development processes that took place around and within the contexts of the FAO projects. The initial intention was to build them up from reports and other studies that had been carried out around the projects over the years. A revision of the material available attested to the fact that local and participatory policy development had not been an explicit objective and therefore was not documented accordingly. The first attempt to overcome this difficulty was a round of interviews based on a policy-focused questionnaire. Later the team decided to go for a second round adopting a "narrative" method to stimulate the key informants, only two of whom had worked specifically on policy, to remember and share information on situations, incidents, actors and actions related to local and participatory policy. Wherever possible, the team, together with technical staff who had worked with the projects (and who would be the "key informants"), sought to identify a ***critical incident*** or a ***policy space*** as the focus of the interview (see Table 2.4 for a clarification of these terms).

The notion of a key policy incident or event is taken from both the policy literature (Lindquist, 2001) and from the organizational literature (Pettigrew, 1990), though they are

used differently. In the policy literature they signal an accidental trigger that may focus attention on a problem and hence create a policy window. A policy window refers to a short-lived opportunity during which it may be possible to influence a policy. For Pettigrew instead, what is important is to understand "…the underlying logics that give events meaning and significance" (p. 273). For our study, these two meanings are complementary; the first is strategic while the second is a useful entry to analysis.

For our purposes, the key incident or event was one that the interviewee could identify has having resulted from local involvement or action that had led to some form of policy impact. The assumption being that for the incident to have happened, some kind of participatory policy process would need to have taken place. The significant policy incidents identified for each of the cases are listed in Table 2.2.

Case	Policy Spaces
Bolivia	Formulation of Municipal Development Plans
Brazil	ICARRD (conference) Puerto Alegre 2006
Cambodia	Decentralization & Establishment of Commune council
Honduras	Activation of representative bodies from municipal level
Mozambique	Making Rights a Reality
Philippines	ICARRD (conference) Puerto Alegre 2006
Syria	Creation of an institution dedicated to policy research

Table 2.2 An approximation of a policy space for each case study.

Once the interviews were completed, the third challenge was to organize the narrative in such a way that the key conditions of the participatory policy process could be identified, analyzed and compared with those found in the other cases. In order to do this, a number of *concepts* were identified in the literature on participatory policy. We then summarized them into *dimensions* for analysis, and where possible we expressed them as *tools* to organize the information available in each of the cases.

After several iterations, we came to develop the following common structure for the case studies:

- Introduction
- Executive Summary
- The context
- The policy environment
- The role of FAO
- Key policy space
- Outcomes
- Analysis

This structure developed on the basis of a first review of literature. ODI's Research and Policy in Development (RAPID) program provided us with a framework that emphasizes the broad context ("external factors") within which to locate more specific policy and organizational contexts (ODI, 2006).

Dimensions

We identified relevant dimensions from the literature and we developed data collection tools that were used in each case study (Table 2.3).

DIMENSION	DATA COLLECTION[3]	USE IN ANALYSIS
Historical and political time line	Narrative &	Provides context
Levels (micro-macro)	Context + time line tool	Item A in framework
Policy spaces and incidents	Narrative	Item B in framework
Stages of policy development	Stages table	Item C in framework
Coalitions and stakeholder linkages	Venn diagrams	Item D in framework
Participation	Participation and agency tool	Item E in framework
Agency		Item F in framework
Ownership	Narrative	Item G in framework
Champions	Narrative	Item H in framework

Table 2.3: Dimensions and data collection tools for the case studies

Historical and political time line dimension

This broad contextual dimension includes the history (legacy of colonial rule), relevant geo-political changes (recent government changes, territorial conflict), international pressures (market liberalization, global pressures and programs), economic realities (subsidization, devaluations) and cultural characteristics (tribal or ethnic groups, norms and practices). . We developed a tool to integrate the historical and political issues with the time line (see Figure 1 in case studies). We paid special attention to the introduction of new policies and acts of government, all of which tend to respond and adjust national priorities to global pressures from multilateral funding organizations.

Levels dimension: micro to macro

Moore and Putzel (2000) suggest that states create and shape political opportunities for the poor at three levels. The macro level is about the character of the states; the meso level refers to patterns of public policy; while the micro is the level at which government programs and

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[3] Appendix 1 describes the data collection and analysis TOOLS and provides reference to on-line tool resources.

project take shape (Moore and Putzel, 2000). The policy and organizational environment take place at the middle level; this level is more specific to the sector(s) in question and the particular organizations involved. While outcomes signal attention to what actually happened. We caution against the temptation to conclude that a project will be the causal agent behind the policy change outcome. Instead we argue that the projects are likely contributors to the reported outcomes (Earl et al., 2003).

The macro is the level where an FAO intervention can have least influence and yet it shapes the project environment at the meso and micro levels. One example is the global trend towards decentralization of responsibility from central to local government. The Meso level is where policy is developed and expressed, oftentimes within sectors like nutrition or land tenure. International projects often enter at this level with an attempt to support capacity development and policy innovation with local organizations at the national level and below. Many projects, however, then deliver activities at the micro level, so the separation between meso and micro is blurry. In most of the cases FAO, the projects started acting at middle level and later migrated both to the upper and lower levels.

Policy spaces and incidents dimension

We first explore the meaning of the terms "critical incidents", "events", and "policy spaces"; while at first they may seem equivalent, each provides us with a different perspective. Table 2.4 provides a summary of them.

Field and (authors)	Public administration (Lindquist, 2001)	Organizational management (Pettigrew, 1990)	Participatory development (Cornwall, 2002; McGee, 2002; Tooke, 2003; Brock et al., 2001)
Term	Critical incidents	Events	Policy space
Examples and explanations	A death, a scandal. An unexpected happening that shines light on a policy issue and galvanizes attention in contrast with other competing issues.	An observable "drama". Events are stepping stones in the search for the study of structures. What is critical is to understand the underlying logics that give events meaning.	A protest by the landless; a workshop organized by a project. These are opportunities for voices to be heard, some started from the grassroots, others fostered from the top.
Implications from an FAO perspective	Unexpected happenings; cannot be planned for.	An analytical term. Something that you look at because it signals that a change has happened, and you then study what conditions led to it.	Most projects offer top-down spaces where different voices can be heard. On the other hand, bottom-up spaces can challenge the legitimacy of a project.

Table 2.4: The meaning of policy incidents, events and policy spaces.

"Policy spaces" is a term that is frequently mentioned in the participatory development literature. The term refers to instances or interventions when new opportunities and relationships can be established, or bring on new stakeholders to the negotiation to shift directions (McGee, 2002). The term policy 'space' has both the connotation of a place and a time; other metaphors like policy arenas, platforms have also been used.

> Participatory poverty research seeks to open up policy spaces, or exploit existing ones, in ways that make policy more favourable to poor people. Poverty policy spaces differ from one another by origin, main function, the

actors who occupy them, and the kinds of knowledge the dominate them.
(McGee, 2002, 190)

Policy spaces will have different objectives. McGee suggests that some policy spaces are "invited" by a project, for instance by organizing a meeting to invite opinions from stakeholders; or they can be autonomously created or demanded by organized groups at the grassroots. Cornwall (2002) adds that they can be short-lived or permanent; a PRA exercise during a project formulation may be short-lived and yet have significant impact in the design of the project. On the other hand, the establishment of organizations able to convene stakeholders on a regular basis may require a much longer commitment by all parties.

The growing interest in multi-stakeholder platforms constitutes an example of a policy space (Warner, 2006); some are a one-off happenings, while others become institutionalized into regular roundtables. The case studies contain several examples that are relevant in that they signal the crystallization of years of work that led to stakeholders having the agency to come to a negotiation table and contribute to new agreements and norms.

Tooke (2003) suggests that we often face a paradox: the very acceptance by the less powerful of a policy space is in itself an acknowledgment of a power differential. In her article, participating in a "space" can be simultaneously empowering and also reinforcing existing power relations. She adds that "…this is not an either-or situation' community voices may well be simultaneously constrained and enabled by the same policy agenda." (Tooke, 2003, 236)[4]

In this paper we use the term "policy space" following the explanations by McGee, Cornwall and others.

Stages in the policy process

Phillips and Orsini (2002) list six policy stages and ODI (2006) suggests five (see Table 2.5). While it is clear to us that these steps or stages rarely take place in a linear fashion, it is interesting to note a similar listing of key steps.

Phillips and Orsini	ODI
Problem identification	
Priority setting	Agenda setting
Policy formulation and design	Policy formulation
Passage of the policy instruments	Decision
Implementation	Implementation
Evaluation	Monitoring and evaluation

Table 2.5: Stages of the policy process (summarized from Phillips and Orsini, 2002 and ODI, 2006)

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[4] This apparent contradiction is also flagged by authors analyzing the contrast between symbolic imposition of participatory policy and its actual implementation; in this case signaling the common separation between those who develop participatory policy approaches, and those who are faced with the challenges of their implementation on the ground (Chhotray, 2005). In this same vein, Hendriks (2005) addressed the challenge of different parties understanding participatory "storylines" through their own lenses. He adds that there are three kinds of 'deliberative forums': spontaneous, bottom-up networks; sustained interactive arrangements; or highly structured consensus conferences (Hendriks, 2005), but that each of them is in turn perceived with different worldviews and their relative risk and benefit is understood differently by the powerful and the disenfranchised.

What is relevant here is that a policy space may open only at specific stages, which means that the role and contribution by stakeholders needs to match the relevant stage. Both the Bolivia and the Cambodia cases constitute examples of projects that intervened during the policy implementation stage: the policy instruments were already approved, but the actual mechanisms to involve local groups in the new decentralized approach were missing.

Coalitions & stakeholder linkages dimension

Lindquist (2001) clarifies that in most contexts we are dealing with a multiplicity of **policy actors**. These may include individuals who are exposed to a project experience and then share it though other networks that they belong to. These individuals may, in turn, be part of advocacy coalitions that compete for attention in policy-making arenas. The notion of **policy communities** may include those within government and those in the public or "attentive public" domain. Then there are the **policy monopolies** that resist the influence by advocacy coalitions in the public domain.

In order to deal with the interactions among the diverse types of actors it is necessary to map out the policy community and analyze how power is distributed and what inter-relationships exist to maintain or challenge it. Lindquist refers to this as the advocacy coalition approach. The implication is that for a project to have an impact at the policy level, effective champions connected to advocacy coalitions and informal networks are critical. It is the champions and the networks that are better able to do policy transfer, or create spaces for influence.

Stakeholder analysis seeks to differentiate stakeholders on the basis of criteria and attributes. There is no single stakeholder tool; rather each context demands a set of criteria appropriate to the situation. The following are examples:
- the relative power and stake of each stakeholder (Freeman, 1984, 64);
- the importance *and* influence they have (Grimble and Wellard, 1996);
- the multiple "hats" they wear; and the networks and coalitions to which they belong (Freeman and Gilbert Jr., 1987).

These differences can also be based on attributes, of which power is the most obvious. For example, in *conflict assessment,* four types of stakeholders are expected: those with standing to claim legal protection; those with political clout; those with power to block negotiated agreements; and those with moral claims to generate public sympathy (Susskind and Cruikshank, 1987, 103).

It follows then, that in the natural resource management literature we find a range of terms such as:
- primary, secondary and key stakeholders (ODA, 1995);
- internal or external to the organization (Gass et al., 1997);
- stakeholders, clients, beneficiaries (ASIP, 1998); and
- stakeholder typologies on a macro to micro continuum and on the basis of their relative 'importance' and 'influence' (Grimble et al., 1995).

Although differentiation among stakeholders is necessary, the distinction is often based on qualitative criteria that are difficult to generalize. The use of matrices is common in stakeholder analysis, in which stakeholder groups appear on one axis and a list of criteria or attributes on the other (Ramírez, 1999).

Participation dimension

Participation is a process characterized by recognition of multiple voices that must be invited to the negotiation table, making space for disagreement, experimentation and learning in order to create or enhance policy networks or communities. Participation has different levels, like rungs on a ladder, ranging from passive compliance, to collective action.

If participation is a process, then what kind of participation are we talking about? A simple typology is presented in Table 2.6 as a summary from existing 'ladders of participation' in the literature (Arnstein, 1969, Pretty, 1994, Chambers, 2005). The simplified ladder of participation is meant to *qualify* the type of participation that is alleged to have taken place in the projects and programs.

Type	What it means
1. Compliance	This project is coming to your area.
2. Consultation	We have a plan and do you agree with it?
3. Cooperation	We have a plan; do you want to be part of it?
4. Co-learning	We have a problem and figure out together how to solve it.
5. Collective action	You have a plan; can we help you with it?

Table 2.6: A simplified typology of participation

Agency dimension

Agency is about empowerment, it is about conscientization; it is not something a project can give to people, but rather something that people take upon themselves in a process of self-awareness. Collaborative approaches that seek to involve people in managing their resources have come under critique when they ignore the issue of human agency, which is influenced by power dynamics (Daniels and Walker, 1996, Hildyard et al., 1999, Hildyard et al., 1998). People who have been under the domination of local power elites or colonial regimes cannot be expected –when regimes change-- to suddenly be willing and able to come to a negotiation table with their former despots. Both, power reduction and capacity development may be necessary, and this will take both time and trust. Longer engagement in countries in transition may create the conditions for such actions to take place[5].

According to social cognitive theory, human agency is "…the capacity to exercise control over one's own though processes, motivation and action..." (Bandura, 1989, 1175). Bandura adds that judgments and actions are partly self-determined, and humans can affect change in themselves and their context. Human agency is in turn influenced by the environment, and it is in that interaction that new forms of action and motivation can emerge. Human agency contributes to social cohesion, trust and communication. (Panesar, 2006); it allows individuals to process their social experience and developing coping mechanisms to relate to the environment (Long, 1992). In collaborative management, agency is seen as one of the factors that influence how women or men participate or not in forma and informal organizations. The complex decision-making process is also shaped by incentives, social and economic status, seasonality, location and resource access (Cleaver, 2001, Cleaver, 1998, Panesar, 2006).

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[5] IIED's website "PowerTools" is dedicated to this notion http://www.policy-powertools.org/

Agency, then, is not a 'yes' or 'no' situation, but rather part of a system were external forces, organizations, and individual attributes interact. It reminds us that a situation where the poor do not participate in a project space will have a complex set of plausible explanations.

According to Swanson (2001) "…the success or failure of locality-based programs as a policy tool will depend on the interplay of several factors:
1. The presence or absence of local democratic decision making processes;
2. Inclusion, either direct or by representation of local stakeholders;
3. A local civil society in which civility and local civil institutions facilitate a broad dialogue;
4. A degree of local social infrastructure to provide the capability for informed discussion;
5. A capacity for emergent community agency which channels local energy and expertise into sustained problem solving;
6. The presence of physical, economic, and social infrastructures that facilitate rather than inhibit civic responsibility and community agency;
7. A partnership with key extra local stakeholders, particularly government agencies and NGOs that account for the local program's embeddedness in the larger political economy." (Swanson, 2001, 17-18)

When conditions exist that enable individuals to participate and get involved, Phillips & Orsini (2002) suggest a gradient of eight dimensions of citizen involvement, starting with the least engaged and ending with the most significant.
- mobilizing interest
- claims making
- knowledge acquisition
- spanning and bridging
- convening and deliberating
- community capacity building
- analysis and synthesis
- transparency and feedback

This gradient is reminiscent of the levels of participation, where at the least engaged level people are passively involved, whereas at the most significant one they transforming themselves and their context.

Ownership dimension

Checkland and Scholes' work on soft systems methodology emphasizes that those who 'own a problem' should also 'own the process of resolving it' (Checkland and Scholes, 1990). Development cooperation has often ignored this fundamental notion of ownership by creating intermediating organizations rather than helping those who own problems to gain agency to resolve them. Stakeholder analysis tools can help identify those who are most closely affected by a problem and engage them in the process of addressing it (Grimble and Wellard, 1996). Ownership over policy may constitute the ultimate achievement; and we have included this notion in general terms.

There is evidence in natural resource management that progress in governance depends as much on the quality of the policy making as it does on the degree of ownership over the process. This is evident in difference fields, from forestry (Macqueen and Bila, 2004) to agriculture (Lee, 2002); from HIV/AIDs communication (Ford et al., 2002) to capacity

development; (Horton, 1999) and stakeholder participation (Dietvorst, 2001). Like with 'agency', 'ownership' is both a core dimension and one that can only be appreciated in a narrative, contextual manner. In our efforts to capture this dimension, we relied on narrative and to some extent on the combined tool of participation and ownership[6]. Ownership is closely linked with other dimensions: space and types of participation, yet it does not lend itself to an instrumental approach to development (Lightfoot et al., 1999).

Champions dimension

In Gladwell's book "The Tipping Point" (2002) he describes what it takes for good ideas to become epidemics. He emphasizes the need to change the context, the importance of a 'sticky message' and the value of champions. Here we focus on the champions, and we understand the term to mean individuals with a combination of positive attributes such as commitment, enthusiasm, good communication, empathy and dedication. These are the leaders who make or break any endeavour; they are the ones with the intuition to manage processes that take advantage of emerging conditions. We all know them, and they certainly appear as central to the success in the case studies.

Gladwell groups them into three types:
- accomplished networkers or "communicators";
- those who enjoy synthesizing and sharing information for the joy of it or "mavens"; and
- those who are good at promoting ideas or "salesmen".

A complementary listing of the roles of effective community development workers includes: prophet, visionary, scans the scene, manager, bookkeeper, marketer and facilitator (Lotz, 1998). Lotz suggests that outstanding champions embody several of these roles. In either case, it is clear that the attributes of the leaders or managers are often central conditions for the success of the initiative. The degree of dedication and commitment, the empathy show, the ability to communicate between actors at local, middle and national levels, are all valuable assets. This was clearly illustrated, among others, in the Honduras case where the national and international project directors constituted a team of champions that were able communicators and committed to creating linkages between local, municipal and national stakeholders.

Section summary

We have now reviewed nine interrelated dimensions that we gleaned from the literature:
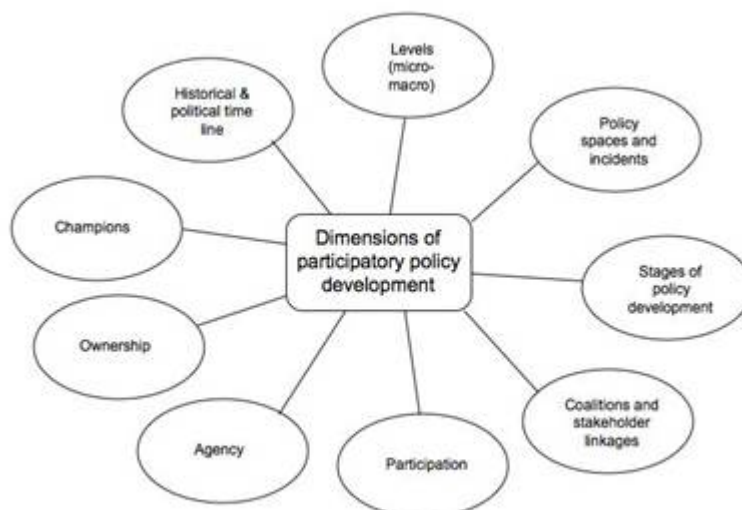
In our analogy, we have now described the 'gear' that the walker would be familiar with, and some extras that resonate after having attempted the climb. The following section contains the case studies, followed by Section 4 that includes a review of a process methodology and of additional ideas about the dynamics of policy development (more 'climbing gear'). The nine dimensions appear once again in Section 5 as a framework that we apply in the analysis of the case studies.

3. Case study summaries

The case studies that are summarized here are a series prepared by the FAO Livelihoods Support Program (LSP) to focus on identifying the essential elements for having effective local participation in the evolution of a policy. The case study collection is based on a range of projects and programs implemented by FAO over more than 10 years in eight different countries. Appendix 3 includes the full case studies.

Bolivia: Facilitating Community Participation in Municipal Planning through Communication

Over the past two decades the Republic of Bolivia turned over to municipalities the responsibility to plan, implement and manage agriculture and natural resources for sustainable rural development as part of its decentralization strategy.   At the same time as the People's Participation Law created the formal mechanism for participatory planning at the local level, the privatization of services in support of natural resource management meant that local governments were charged with additional tasks that had previously been part of central government agencies. FAO's field projects provided a wide range of technical advice during this challenging transitional period. Most projects had a technical entry point in several fields of NRM (e.g. watershed management), and they also provided support in process areas (e.g. participatory planning and communication). In many cases, however, the projects came to realize the need and urgency to also work at the policy level.

This case study focuses on a project in the Department of Santa Cruz de la Sierra that facilitated community participation in municipal planning through communication. We refer to this action as the project's main policy event in that it introduced mechanisms to channel local demands into municipal plans, while at the same time creating awareness and skills among local technicians so as to integrate communication activities in program delivery. These outcomes suggest that the project, from a policy analysis point of view, was most significant in terms of articulating an existing legal framework that had previously been hindered by a lack of methods and skills in facilitation, assessment and service provision.

Brazil and Philippines: The International Conference on Agrarian Reform and Rural Development

In March 2006, the International Conference on Agrarian Reform and Rural Development (ICARRD) was held in Porto Alegre, Brazil. The conference was organized by FAO and the Government of Brazil to encourage a constructive dialogue among governments, producers, civil society organizations and experts regarding new challenges and options for revitalizing rural communities. The idea for ICARRD goes back to the 1990s, but was formally approved by the FAO Council only in June 2005.

The objectives and agenda for the conference, as well as the strategy resulting from it, had been constructed on the basis of various national projects and country studies carried out by FAO and the Governments of Brazil and the Philippines. FAO's interest in engaging in an international conference on agrarian reform grew as the intensification of competition for land and natural resources became evident in a growing number of countries.

The process leading up to the Conference and the gathering itself had the following objectives[7]:

Create a platform that would promote the understanding, learning and constructive dialogue to address agrarian reform, sustainable rural development by monitoring and evaluating best practices and progress.

Share experiences, foster recognition, improve willingness, and concrete action to enhance international cooperation and promote more equitable, transparent and accountable access to land and natural resources on the part of the international community, governments, farmers' and civil society organizations.

This case study looks at the process developed in Brazil and the Philippines as stakeholders evaluated the need for and value of an international event that would allow them to bring a national issue and the debate to an international platform.

Cambodia: Poverty and Food Security Monitoring

In 2003, the Government developed the Cambodian Development Goals to address poverty reduction and food security in the framework of the Millennium Development Goals. This was followed by the implementation of the Rectangular Strategy that focused on four growth pillars: the enhancement of the agricultural sector, private sector development and employment generation, continued rehabilitation and construction of physical infrastructure, and capacity building and human resource development. In 2001, laws were enacted to revitalize Commune Councils (CCs) regulating the administration and management of development planning at the local level. The CCs, however, were seen by most villagers as an arm of the central government.

FAO and GTZ commissioned the development and implementation of a methodology to monitor programs, to test it at the village level and to elaborate recommendations regarding communication mechanisms for policy dialogue and decision-making. The study documented the fact that, even when information regarding policy was collected at the commune and village level and it was transferred successively to district and national levels, it had not been used. On the basis of this study, a plan was put into place to strengthen the effectiveness of the Commune Councils and support District Integration Workshops (DIWs) that were already part of the decentralization strategy. The DIWs provide an opportunity for commune representatives to negotiate their development plans with responsible ministries, donors and supporting NGOs. The District Integration Workshops held in 2005 were a turning point in the participation of CBOs and CC in the national planning process because the specific objective was to motivate the Commune Councils to become involved in policy planning.

A communication strategy was developed to facilitate the information flow between different levels of government and to feed the results into national policies and strategies. The communication strategy supported more active participation of the Commune Councils in leveraging a response to their development needs. Although the gap between local and national planning processes continues to exit, the choice to focus on communication for improving horizontal policy dialogue helped to improve the participation of civil society.

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[7] National Stocktaking and Thematic Dialogue Guidelines

Honduras: Strengthening Local Government in Lempira Sur

FAO collaboration with the Government of Honduras is a long-standing one. In 1989 it was requested to develop a program to deal with the results of a ten-year drought in the southern part of the Department of Lempira, close to the San Salvadorian border. The area lacked infrastructure and local institutions capable of implementing new decentralization policies, and 85% of the population was below the national poverty line. The program reinvented itself over time to take into consideration increasingly complex management systems as well as the need for spaces that could bring together different stakeholders to join forces for rural development. This case looks at a 15-year history through the eyes of professionals who have been monitoring the evolution in Lempira Sur for most of the period. The analysis addresses the kinds of changes that took place, the dynamics behind the change and some of the unexpected outcomes. A major lesson is that in order to influence policy it is necessary to bridge the dialogue gap between social and institutional actors. In other words, mechanisms for bottom-up communication are indispensable, and they need to be matched with a conducive policy environment.

Mozambique: Land, Environment, Forestry and Wildlife Management

Over the past decade FAO has collaborated with the Government of Mozambique and non-governmental associations to support decentralization, land reform and community based natural resource management. One group of projects led to the formulation and implementation of laws regarding land tenure, environment, forestry and wildlife and provided training in legal and judicial matters. [8] Other projects supported civil society associations for Community Based Natural Resource Management (CBNRM) while a third set provided inputs into priority national development programs. [9]

The present case study is built around a project implemented in the Macossa District originally focusing on food security and, over time, broadening into land issues and community based natural resource management due to the fact that two of the largest protected areas in Mozambique, Manica and Gamboa are in the District.

Designing agricultural for food security in protected areas requires negotiation not only with the government but with the private sector. Here we look at how FAO was able to catalyze a multi-stakeholder negotiation over land tenure rights so as to begin to insure food security for residents of the protected areas.

Syria: Institutional Development for Food and Agricultural Policies

During the 1970s and 1980s Syria underwent a gradual policy reform process in the direction of deregulation and liberalisation. The process was characterized by a set of national structural adjustment measures and stabilization programmes aimed, among other things, to allow participation of the private sector in the development of national economic policy.

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[8] TCP/MOZ/2235, TCP/MOZ/6512, UTF/MOZ/070/MOZ, UTF/MOZ/070/MOZ, GCP/MOZ/069/NET, GCP/MOZ/081/NET.
[9] GCP/MOZ/027/BEL, UTF/MOZ/0074/MOZ, FAO/GoM/BSF.

In 1997, within the framework of the transition process, and upon a request from the Syrian Government, FAO put in place a policy assistance project[10] with funding provided by the Italian cooperation programme. The objective of the project was to provide institutional support for the development and analysis of agricultural policy in Syria. The project focused on institution and capacity building, policy research and information management.

The project was implemented in three phases. During the first phase, advice was provided on the re-organization of the Ministry of Agriculture and Agrarian Reform (MAAR) in line with the new roles that it was expected to play in a market oriented economy. The second phase supported the creation of the National Agricultural Policy Centre (NAPC) for research and dissemination. The third phase focused on consolidating institutional sustainability through monitoring, communication and networking on policy with multiple stakeholders.

This case is particularly interesting because although it describes the creation of a conventional policy research unit, it provides the first opportunity for more systematic policy analysis and public policy debate.

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[10] FAO GCP/SYR/006/ITA in the Syrian Arab Republic.

4. Methodology

This section is the most abstract and theoretical of this report, yet it is relevant in that it explains the overall approach of the exercise.

During our scoping exercise we have had to work with three interrelated parts: the case studies provide our CONTENT. The review of the literature has gives us a CONTEXT to help us locate and understand the content. Lastly, our iterative exploration between the cases and the literature has constituted a learning PROCESS. In Sub-section 4.1 we explain the theoretical foundation of the learning process; while in Sub-section 4.2 we explore some elements of the context from the literature.

How we learned (process)

In this section we share how we learned. We lean on the work by Andrew Pettigrew (1990) who refers to *how we learn* as a 'theory of method'. The theory of method that he uses is referred to as "contextualist" and it seeks *understand change* with attention to contexts, content and process through time. This approach to learning comes from organizational research where case studies are used to make explicit what is known in a tacit way. This is an action-research process that focuses on helping practitioners reflect on their practical experience. As was mentioned in earlier sections, case studies are also a common feature of social science research where the importance of context is highlighted.

This scoping exercise has been iterative and cyclical. We have prepared case studies while assembling the conceptual framework (Section 6); practice has shaped the selection of theoretical issues, and the latter has helped structure our case study development[11]. This approach borrows elements from *grounded theory* where one allows patterns to emerge from the findings; from *soft system methodology* where ones comes up with models, which are then contrasted with reality, and revised; and from *experiential learning* where one works through cycles of action and reflection[12].

Pettigrew (1990) suggests a "contextualist approach" where *change* is a focus of the research. The approach pays attention to several dimensions at the same time -namely levels of analysis and time- while exploring context and action. "Context is not just a stimulus environment but a nested arrangement of structures and processes where the subjective interpretations of actors perceiving, comprehending, learning and remembering help shape process." (Pettigrew, 1990, 270).

The essence of a contextualist approach is:

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[11] This balance is best described by Hartley (1994): "The value of theory is key". Although case studies may begin with (in some situations) only rudimentary theory or a primitive framework, they need to develop theoretical frameworks by the end which inform and enrich the data and provide not only a sense of the uniqueness of the case but also what is of more general relevance and interest. In some situations, grounded theory (Glaser and Strauss, 1967) may lead to emergent theory, while in others situations the researchers may have some clear propositions to explore. Either way, without a theoretical framework, a case study may produce fascinating details about life in a particular organization but without any wider significance. Indeed a case study without the discipline of theory can easily degenerate into a 'story'...The point is that without a theoretical framework, the researcher is in severe danger of providing description without wider meaning." (p. 210)

[12] For grounded theory see the work by Strauss and Corbin; for soft systems methodology the work by Checkland and Scholes, and for experiential learning, see Kolb.

- Within each case study, **the focus of analysis is change**. Change is often made evident through critical incidents, many of which are largely unpredictable (Lindquist, 2001). In order to understand their significance, we need to appreciate them as embedded in their context.

- This **context has several dimensions**: a vertical one referring to levels of analysis (local, regional, national, global). A longitudinal referring to a temporal dimension, which will be an arbitrary past-present-future period of time. A third dimension is the interconnection between action and context, as each shapes the other. Lastly, the interrelationships among the vertical, the longitudinal and the action-context are seen as holistic, with a non-linear pattern of cause and effect.

- What this means is that a change that becomes evident through a **critical incident** (or a series of them), needs to be studied in the context of: changes at other levels of analysis, of interconnections though time, and with attention to the interplay between processes that we may control, and the context and structure we work in that we cannot control.

- There are a number of **practical challenges** when we try to apply the contextualist approach. When to locate the start and end in our time line? When to conclude data collection and when to make judgments about outcomes? How do we define change? What events do we consider to be critical incidents and for what reasons?

- Organizational researchers that follow this approach focus their attention on **collecting different types of data**: process information, comparative data across cases, pluralist sources of data, attention to historical account, and attention to the interplay with context. This calls for a research project that is part art and part science. It calls for an iterative validation of findings with case study personnel through feedback workshops, where new facts and new interpretations spin out from the discussions. Pettigrew emphasizes that this approach is very demanding on the host organization.

About the subject matter (context)

Beyond the contextualist approach, and the use of case studies, our own theory of method has also been shaped by our exploration into the situation in which participation in policy development happens; in other words the CONTEXT

Understanding the influence of an action or project on policy is difficult and indirect. In some cases, an intervention may be significant simply by altering the language and perceptions of decision makers. In other cases, the impact is felt via other intermediary organizations that are better able to link with policy actors.

Lindquist (2001) points out ways of understanding the role of research in policy-making. In the following list we have adapted those ideas from *research projects* that may be applicable to *development projects'* role in policy-making:

- Establish precisely the contributions or **intentions of projects** before attempting to assess policy influence.

- Account for the larger **institutional environment** in which the project proceeds, namely the multiplicity of actors involved in policy-making.

- Identify a sufficiently long **time frame** with which to understand the influence of the project(s).

- Recognize and **value the ongoing struggle** over ideas and policy matters greatly in the commissioning, interpretation and use of projects (Lindquist, 2001, 5).

We have already signalled that the FAO projects that provided the context for the case studies did not originally intend to focus on participatory policy development. Hence their shift in attention towards this area emerged for reasons that were not anticipated. The time dimension documents an unusually long presence of FAO in the countries through a progression of projects with readjusted objectives in the different phases. Lastly the factors that shape the preparation and formulation of a project will often change during its implementation.

External forces have a significant influence on policy processes. These come in different forms: changes in government; changes in politics; changes in the economy; changes in technology; and spillover from other policy changes. In the context of the levels presented by Moore & Putzel (2000), most of these take place at the macro level, and while they cannot be controlled by the project, they will set the stage for its performance.

The specific moments when policy influence is possible merits attention. We have already referred to the conventional sequence in policy development that appears in the literature. In practice however, this linear sequence is often not evident (though it does give us a general reference). What is more important to Lindquist is not the sequence but the dynamics of change. Each type of change (or "decision making regime") seeks different information inputs from distinct actors. For example during the agenda setting process (equivalent to the first and/or second items in the linear description), a critical incident may trigger interest in a problem, thus accelerating the adoption of new directions or ideas. This element of randomness and chance in the appearance of polity opportunities is referred to by Lindquist as **policy windows**. Policy windows are also described as "critical junctures", that is infrequent openings where decisive opportunities arise. For example, when a critical incident moves a problem to the front of the newspapers and a minister must act, and will request briefs from senior staff, who in turn may ask for inputs from trusted sources with expertise.

The notion of policy windows is relevant in that these may constitute defining moments for a tipping point (Gladwell, 2002). A number of factors need to be in place: a problem has been identified (by coalitions that get the issue on the policy agenda); the new policy ideas are communicated to confront existing wisdom or to modify it; the **policy entrepreneurs** are in place to orchestrate the linkages. Lindquist refers to this collection of factors as "readiness": "For those sponsoring policy inquiry and building capacity in developing countries, an objective is to increase chances so that supported individuals and organizations can take advantage of policy windows or to identify ways to create windows, that constitutes the critical role of policy entrepreneurs" (Lindquist, 2001, 19).

Summary

The first part of the section provides us with the foundation for our process of learning (a "theory of method"). The second part, using the terms of our analogy, presents the "climbing gear" in the form of policy development themes and issues. This has been the review of the walk and to some extent of the climb, using "climbing gear" to place the achievement in context.

We now turn our attention to the framework where we assemble the main issues from the literature (Section 2) that will allow us to do some cross case analysis in Section 6.

5. Framework and analysis

Guiding questions and dimensions

Table 5.1 provides framework for case study analysis. It includes three questions on one horizontal axis and the major dimensions on the vertical axis. In answering them, we will need to make reference to the historical and political context that shaped the overall case studies (as an attempt to follow a contextualist approach).

Guiding questions			
Dimensions	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A Levels (micro-macro)			
B Policy spaces and incidents			
C Stages of policy development			
D Coalitions and stakeholder linkages			
E Participation			
F Agency			
G Ownership			
H Champions			

Table 5.1 Guiding questions across the major dimensions of the case studies.

Cross case analysis

The cross case comparisons will need to be made with attention both to the common and to the contrasting contextual dimensions. A project may share a decentralization policy with another, and yet each will evolve in a unique historical, sociological, economic and cultural environment.   When we explore what contributed to common changes, however, we may discover shared conditions.

Contextualist questions			
Cases to compare	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Case 1 Policy spaces and incidents			
Case 2 Policy spaces and incidents			

Table 5.2 Guide to cross case analysis.

Summary Findings: Bolivia Case

	Guiding questions			
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	Community level communication efforts came to the attention of municipal authorities	Involvement of municipal staff in supporting communities and increased demand for services	Inclusion of communication in some municipal plans
B	Policy spaces and incidents	The "spaces" were a series of training and field practices in communication. Some began to include communication in the plans and assign staff full-time to making communication in the municipality more effective.	Municipalities became aware of the importance of good communication and facilitation for municipal planning and were able to effectively engage small farmers in local planning for the first time.	Communication not only improved participation in local planning, but became an explicit activity in some municipal plans. Municipal staff was trained to use communication media to share information with, and listen to, community members.
C	Stages of policy development	**Implementation of policy instruments** Communication became integrated into municipal planning and implementation in ways that, while consistent with the thrust of the Popular Participation Law, had not been realized at the local government level.	The government was concerned that although policy instruments were in place, the participation of community members in the design of municipal plans was limited.	The CARENAS project unit was incorporated in the Service for Channelling and Regulating the Pirai River (SEARPI) as an independent foundation within its legal structure, thereby instituting an information system for the entire watershed.
D	Coalitions and stakeholder linkages	Networks among NGOs, rural communities and the municipalities were strengthened and the participating municipalities were empowered to negotiate and coordinate with Departmental Government.	The effort was built on the capacity-building of municipal agricultural staff that improved their ability to listen to community needs.	Staff began to understand that communication, especially its *training function*, should be integrated with any municipal response action or program.
E	Participation	Communication improved participation in local planning.	The project contributed by creating methods and training staff that could operationalise the policy instruments for local participation.	By emphasizing the *listening function* of communication, the project opened the flood gates for communities' demands to be heard

				by municipal authorities.
F	Agency			
G	Ownership			
H	Champions	The main project champion was in Rome.	This project did not benefit from a team of champions on the ground that could lobby at higher levels, while creating local level linkages.	The limited project duration combined with the lack of champions made it impossible to move the experience from a local level to a higher level.

Summary of Findings: Brazil Case

	Guiding questions			
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	National concerns were discussed with civil society and the internationally	Lobbying, networking and coalition building among trusted partners	
B	Policy spaces and incidents	The need to develop policies and development proposals was enhanced	Country Studies	FAO is rethinking its work plan to focus more on participatory policy making mechanisms
C	Stages of policy development	**Policy formulation and design** Information was generated and space for dialogue opened so that a difficult issue could be tackled from diverse perspectives	The country studies that led into national dialogues and then to the international meeting ICAARD	An openness on the part of the government to discuss difficult national land tenure issues in an international forum
D	Coalitions and stakeholder linkages	CONDRAF was strengthened via the participation of multiple stakeholders from civil society and local communities	The mediation and networking of FAO with multiple social actors	A structural mechanism is being explored so that FAO can continue to collaborate with CONDRAFF
E	Participation	The consensus on developing proposals from a decentralized and multi-municipal perspective was translated into action	The support that FAO provided for CONDRAFF and the Country Study	The acceptance by the Brazilian government to take their Land Reform issues to ICARRD
F	Agency			
G	Ownership			
H	Champions	Although the FAO champion remained unchanged, champions in the Brazilian government increased their influence over the 10 year period	Continuity of country responsibility on the part of FAO staff that allowed for confidence building and the appointment of Brazilian staff to ever higher level government positions	*Long-term participation of FAO in CONDRAFF however, this exploration has not brought fruit as yet*

Summary Findings: Cambodia

	Dimensions *(meso and micro)*	What changed? *(between start and end of timeline)*	What contributed to the change?	What emerged that was not expected?
		Guiding questions		
A	Levels (micro-macro)	Local level Councils were facilitated by national government to contribute to planning processes	The recognition of the capacity of FAO and GTZ and the desire of the government to meet international goals	
B	Policy spaces and incidents	The main "space" would be the development of a communication strategy. In order to make it possible for the Commune Councils to better negotiate their development plans FAO and GTZ put a communication strategy in place in preparation for the 2005 District Integration workshop.	The alliance between FAO and GTZ, trusted actors on the Cambodian scene, identified the causes for lack of initiative of the Commune Councils and showed the need for mechanisms to build local capacity and enhance information generation and sharing if the Councils were to become more active in local planning.	
C	Stages of policy development	**Implementation of policy instruments.** The government enacted measures to the revitalize the Commune Councils so that they could become actors in planning for economic and social development. Previously the Councils had occupied themselves mainly with agricultural production issues and were seen by villagers as the arm of national government.	The communication strategy created linkage mechanisms and trust among stakeholders that was not possible before.	
D	Coalitions and stakeholder linkages	The Rectangular Strategy based on trans-sectoral and multi-stakeholder involvement to reduce poverty set the development priorities for the Cambodian situation.	The 2005 District Integration Workshop where initial policy dialogue began between sectors and levels of government with civil society and the Commune Councils.	Effective dialogue among national, district and local level government and civil society
E	Participation	FAO and GTZ contributed to a multi-stakeholder (donors, government) effort to support the Government's economic and social reform strategy by developing a methodology to	A FAO and GTZ commissioned study provided information to the government on the constraints to local participation in the	

		monitor the food security program.	decentralized planning process. Country programs prioritized activities to build the capacity of the Commune Councils	
F	Agency			
G	Ownership			
H	Champions	FAO and GTZ functioned as champions able to create networks that, without a neutral convener, had not been able to thrive.		

Summary of Findings: Honduras Case

	Guiding questions			
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	The focus moved from food security and land management to strengthening of community and municipal councils	The realization that sustainability of food security efforts depended upon strong local organization	A legally recognized institutional form in the CODEMs and CODECOs
B	Policy spaces and incidents	Tripartite meetings were organized involving FAO, the Government of Honduras and municipal government	Community mapping exercises that evidenced the local situation and the need for inter-institutional collaboration to move forward	An understanding of the need for chains of interaction from the local level to municipal government and beyond
C	Stages of policy development	Over a 10 year period of focusing on agricultural technologies and land management, a recognition grew of the need to deal with multidimensional issues and	Experience with the complex dynamics for local participation in planning and commitment to improving the quality of life of the rural communities	The idea of reinforcing community groups and finding a mechanism for their recognition and representation at the municipal level
D	Coalitions and stakeholder linkages			
E	Participation	Participation in local planning process increased especially in the last phase of the project	Recognition of the importance of community organizations and their representation in municipal structures	
F	Agency			
G	Ownership			
H	Champions	Project staff broadened their appreciation of the complexity of food security and rural development	Long term involvement in the FAO effort and commitment to improving the lot of rural communities	A shift in the project strategy to include strengthening of local and municipal as corollary to the economic and ecological strategies already in place

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Summary of Findings: Mozambique Case

	Guiding questions			
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	A project that began looking at local land management issues leveraged national attention to legal rights	Historical local livelihood strategies had aspects that were in conflict with state legislation	An understanding of the complexity of the issues related to management of reserves
B	Policy spaces and incidents	The focus of activity broadened from local issues to opening a national discussion via workshops on the theme of "making (land) rights a reality"	The realization that land access and use were understood differently by government, the private sector and indigenous communities	
C	Stages of policy development			
D	Coalitions and stakeholder linkages	The various FAO projects began working together to make the national discussion a reality	Recognition and strengthening of the Community Councils	
E	Participation			
F	Agency			
G	Ownership			
H	Champions	FAO project leaders interacted to bring the local issues to national level for discussion	Communication among the project leaders and staff and the willingness to join forces	A recognizable platform that enables government to understand the need for legislation and local actors to explore possibilities for negotiation

Summary of Findings: Philippine Case

	Guiding questions			
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	The discussion on land reform was raised to nation and international levels	Networking, coalition building and intermediation by FAO	
B	Policy spaces and incidents	The possibility for open discussion on the future of national and rural land tenure	The organization of the Thematic Dialogue workshop among diverse civil society organizations, social movements and the government	Negotiations between the government and civil society regarding the next phase of the agrarian reform program
C	Stages of policy development	**Policy formulation and design** Information was generated and space for dialogue opened so that a difficult issue could be tackled from diverse perspectives	The country studies that led into national dialogues and then to the international meeting ICAARD	An openness on the part of the government to discuss difficult national land tenure issues in an international forum
D	Coalitions and stakeholder linkages	Links were made with Brazilian colleagues to open space for exchange of experiences internationally	The response on the part of FAO technical staff to find ways of opening the discussion on land reform beyond national borders	Commitment to the idea of "negotiated territorial development
E	Participation	Old actors such as DAR as well as new ones – social movements and political parties participated in the project space	The presentation and discussion of the country study	A plan for post ICAARD work exists
F	Agency			
G	Ownership			
H	Champions	New national actors such as social movements and political parties	Local demand for solution to land tenure problems underlined by civil strife	The importance of long term "champion" support and networking capacity on the part of FAO

Summary of Findings: Syria Case

	Guiding questions		
	Dimensions *(meso and micro)*	**What changed?** *(between start and end of timeline)*	**What contributed to the change?**	**What emerged that was not expected?**
A	Levels (micro-macro)	The importance of Agricultural Policy as a field of study for good decision making is recognized	The development of the Centre, training of personal and the opening of spaces for discussion	
B	Policy spaces and incidents	Create a research-based policy centre that could help Syria engage better in the free-market economy	The process of governmental reform in Syria and pressure by the private sector to develop better policy to attract international investment	
C	Stages of policy development	Establishment of the National Agricultural Policy Centre		
D	Coalitions and stakeholder linkages	The capacity of the Ministry of Agriculture and Agrarian Reform (MAAR) in agricultural policy analysis was strengthened	The government of Syria developed a coalition with the Government of Italy and FAO to bring about the Establishment of the Centre	
E	Participation	Civil society: private sector, academics began to discuss Agricultural Policy issues	The organization of the Policy Forum	
F	Agency			
G	Ownership			
H	Champions			

Cross Case Analysis A: Levels (macro-micro)

Cases	Contextualist questions		
	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	Need for community communication strategy came to attention of municipal authorities	Involvement of municipal staff in supporting communities and increased demand for services	
Brazil	National concerns were discussed with civil society and the internationally	Lobbying, networking and coalition building among trusted partners	
Cambodia	Local level Councils were facilitated by national government to contribute to planning processes	The recognition of the capacity of FAO and GTZ and the desire of the government to meet international goals	
Honduras			
Mozambique			
Philippines	The discussion on land reform was raised to nation and international levels	Networking, coalition building and intermediation by FAO	
Syria			

Cross Case Analysis B: Policy spaces and incidents

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	The "spaces" were a series of training and field practices in communication. Some began to include communication in the plans and assign staff full-time to making communication in the municipality more effective.	Municipalities became aware of the importance of good communication and facilitation for municipal planning and were able to effectively engage small farmers in local planning for the first time.	Communication not only improved participation in local planning, but became an explicit activity in some municipal plans. Municipal staff was trained to use communication media to share information with, and listen to, community members.
Brazil	The need to develop policies and development proposals was enhanced	Country Studies	FAO is rethinking its work plan to focus more on participatory policy making mechanisms
Cambodia	The main "space" would be the development of a communication strategy. In order to make it possible for the Commune Councils to better negotiate their development plans FAO and GTZ put a communication strategy in place in preparation for the 2005 District Integration workshop.	The alliance between FAO and GTZ, trusted actors on the Cambodian scene, identified the causes for lack of initiative of the Commune Councils and showed the need for mechanisms to build local capacity and enhance information generation and sharing if the Councils were to become more active in local planning.	
Honduras			
Mozambique			
Philippines	The possibility for open discussion on the future of national and rural land tenure	The organization of the Thematic Dialogue workshop among diverse civil society organizations, social movements and the government	Negotiations between the government and civil society regarding the next phase of the agrarian reform program
Syria			

Cross Case Analysis C: Stages of Policy Development

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	**Implementation of policy instruments** Communication became integrated into municipal planning and implementation in ways that, while consistent with the thrust of the Popular Participation Law, had not been realized at the local government level.	The government was concerned that although policy instruments were in place, the participation of community members in the design of municipal plans was limited.	The CARENAS project unit was incorporated in the Service for Channelling and Regulating the Pirai River (SEARPI) as an independent foundation within its legal structure, thereby instituting an information system for the entire watershed.
Brazil	**Policy formulation and design** Information was generated and space for dialogue opened so that a difficult issue could be tackled from diverse perspectives	The country studies that led into national dialogues and then to the international meeting ICAARD	An openness on the part of the government to discuss difficult national land tenure issues in an international forum
Cambodia	**Implementation of policy instruments.** The government enacted measures to the revitalize the Commune Councils so that they could become actors in planning for economic and social development. Previously the Councils had occupied themselves mainly with agricultural production issues and were seen by villagers as the arm of national government.	The communication strategy created linkage mechanisms and trust among stakeholders that was not possible before.	
Honduras			
Mozambique			
Philippines	**Policy formulation and design** Information was generated and space for dialogue opened so that a difficult issue could be tackled from diverse perspectives	The country studies that led into national dialogues and then to the international meeting ICAARD	An openness on the part of the government to discuss difficult national land tenure issues in an international forum
Syria			

Cross Case Analysis D: Coalitions and stakeholder linkages

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	Networks among NGOs, rural communities and the municipalities were strengthened and the participating municipalities were empowered to negotiate and coordinate with Departmental Government.	The effort was built on the capacity-building of municipal agricultural staff that improved their <u>ability to listen</u> to community needs.	Staff began to understand that communication, especially its *training function*, should be integrated with any municipal response action or program.
Brazil	CONDRAF was strengthened via the participation of multiple stakeholders from civil society and local communities	The mediation and networking of FAO with multiple social actors	A structural mechanism is being explored so that FAO can continue to collaborate with CONDRAFF
Cambodia	The Rectangular Strategy based on trans-sectoral and multi-stakeholder involvement to reduce poverty set the development priorities for the Cambodian situation.	The 2005 District Integration Workshop where initial policy dialogue began between sectors and levels of government with civil society and the Commune Councils.	Effective dialogue among national, district and local level government and civil society
Honduras			
Mozambique			
Philippines	Links were made with Brazilian colleagues to open space for exchange of experiences internationally	The response on the part of FAO technical staff to find ways of opening the discussion on land reform beyond national borders	Commitment to the idea of "negotiated territorial development
Syria			

Cross Case Analysis E: Participation

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	Communication improved participation in local planning.	The project contributed by creating methods and training staff that could operationalise the policy instruments for local participation.	By emphasizing the *listening function* of communication, the project opened the flood gates for communities' demands to be heard by municipal authorities.
Brazil	The consensus on developing proposals from a decentralized and multi-municipal perspective was translated into action	The support that FAO provided for CONDRAFF and the Country Study	The acceptance by the Brazilian government to take their Land Reform issues to ICARRD
Cambodia	FAO and GTZ contributed to a multi-stakeholder (donors, government) effort to support the Government's economic and social reform strategy by developing a methodology to monitor the food security program.	A FAO and GTZ commissioned study provided information to the government on the constraints to local participation in the decentralized planning process. Country programs prioritized activities to build the capacity of the Commune Councils	
Honduras			
Mozambique			
Philippines	Old actors such as DAR as well as new ones – social movements and political parties participated in the project space	The presentation and discussion of the country study	A plan for post ICAARD work exists
Syria			

Cross Case Analysis F: Agency

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia			
Brazil			
Cambodia			
Honduras			
Mozambique			
Philippines			
Syria			

Cross Case Analysis G: Ownership

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia			
Brazil			
Cambodia			
Honduras			
Mozambique			
Philippines			
Syria			

Cross Case Analysis H: Champions

	Contextualist questions		
Cases	What changed (between the start and end of the timeline?)	What contributed to the change?	What emerged that was not expected?
Bolivia	The main project champion was in Rome.	This project did not benefit from a team of champions on the ground that could lobby at higher levels, while creating local level linkages.	The limited project duration combined with the lack of champions made it impossible to move the experience from a local level to a higher level.
Brazil	Although the FAO champion remained unchanged, champions in the Brazilian government increased their influence over the 10 year period	Continuity of country responsibility on the part of FAO staff that allowed for confidence building and the appointment of Brazilian staff to ever higher level government positions	*Long-term participation of FAO in CONDRAFF however, this exploration has not brought fruit as yet*
Cambodia	FAO and GTZ functioned as champions able to create networks that, without a neutral convener, had not been able to thrive.		
Honduras			
Mozambique			
Philippines			
Syria			

Common trends arising from the analysis

Policy problem

The majority of the cases constitute a series of projects over time that began with a technical orientation (e.g. food security) and over time began to appreciate the significance of the policy context as an area where the project could play a direct role. This means that existing instruments (e.g. a local government act as part of a decentralization policy) often set the scene for the project intervention, where specific implementation issues were lacking (the case of Bolivia and Cambodia). The Brazil and the Philippines situation is different, in that in both instances FAO was directly involved in supporting government in a more fundamental policy formulation phase, and it catalyzed attention by bringing the topic to an international arena.

Kinds of policy influence

All projects contributed by giving more space to existing capacities, or better recognizing and legitimizing them at both the individual and the organizational levels. They created networking opportunities (spaces) whereby different stakeholders gained a voice. While many of those spaces were temporary, their very existence creates both a precedent and a sense of what is possible. This is bound to open new horizons and perspectives, which while difficult to measure, may contribute to policy changes in the future. However, by not having an explicit "policy influence" agenda, the projects may have missed opportunities to document and report on some of these achievements. In the analogy: the walker may have climbed without knowing he followed good practices because he did not know either their name or their foundation.

The context and readiness

Each case is unique when it comes to the political context, the levels of intervention, and the stage of policy development. Each project sought to develop spaces that worked in each context. The cross case analyses illustrate how comparable projects (e.g. Brazil and the Philippines; Cambodia and Bolivia) differed because of unique cultural, political and historical reasons. While there is nothing new in this observation, it is a useful reminder that we need to keep in mind that while there will be common contextual elements, it is the art of adapting to what can work locally that makes a difference. When unexpected opportunities arise, one can only hope to be ready to take advantage of them. In this sense, the role of policy windows becomes all the more important, as does the need to have policy entrepreneurs who can sense them. It also means that policy incidents –those unexpected accidents- need to be harnesses, hence the notion of a project being "ready" to respond when such opportunities unfold. In the analogy, for the climber the context is the cliff in that he/she can do little to change its configuration. However, if the climber is "ready" then he/she can take advantage of unexpected "steps" that appear as the climb progresses. If the climber has found a policy entrepreneur, that would be an expert climber who is hanging higher up and advising of new routes up the cliff that appear more promising.

Champions are key to managing process

Project interventions support specific coalitions of stakeholders, improve linkages, and enable higher levels of participation. In so doing, the aim is to increase the sense of ownership of the development process by those groups or coalitions that have in the past been left voiceless. To manage this process strategically, project leaders need to understand the coalitions and networks in place. Many of the case studies were able to do this effectively for two reasons:

FAO was involved in the country of extended periods of time with access to stakeholders at local, meso and macro levels (e.g. case of Honduras), and they had project champions in place who took advantage of policy windows. Another key element illustrated by the process in Bolivia, Honduras and Mozambique was that those champions were trusted by the counterparts. Finally, one cannot manage process effectively without a champion who works opportunistically and who is connected to the policy entrepreneurs and trusted by stakeholders.

6. Conclusions and future directions

The goal of this exercise is to identify the essential conditions for having effective local participation in policy development. Thus far we have developed a framework with nine dimensions that guides our analyses of cases. We have also separated the familiar territory of the cases (in our analogy: the walk) from the less familiar ones (in our analogy: the climbing gear). We analyzed the case studies with the framework to illustrate where and how the walk shifted to a climb. In an attempt to apply a 'contextualist' approach, we looked at the interrelationships between the nine dimensions. We now focus on summarizing the essential conditions. The purpose of this section is to articulate the conditions in such a manner that future projects and programs can plan for participatory policy development from the start.

Assess the policy context

Lindquist's framework for a strategic evaluation of policy influence can help the project during the preparation and formulation stages. Figure 6.1 is an adaptation.

Policy problem	Project intention
Describe the policy problem and the nature or evolution of the policy network	Describe the intention and scope of the project (relates to the categories of policy influence in Figure 6.1 below)
Guiding questions	
• What in broad terms was the problem, gap or opportunity? • Who are the individuals and/or organizations that grapple with or monitor these issues? • What are the analytic capacities [agency?] of the actors pertaining to these issues? • What are the dominant and other advocacy coalitions? • What have been key events or defining moments shaping this policy area, such as changes in government, new policies, new leaders [champions?], or new crises? • Could the decision-making regime be described as either routine, incremental, fundamental or emergent?	• What does the project seek to achieve? Create or build capacity, transfer ideas, and or have policy impact? • Who does it seek to influence directly or indirectly? • Will the project rely on policy entrepreneurs? Will they be located inside or outside government? • What barriers to success are anticipated at the outset? • How will the project attempt to take advantage of policy windows?

Figure 6.1 Guiding questions about the policy problem and project intention (adapted from Linquist, 2001: 25)

Define the kind policy influence

If a project will attempt to influence policy as one of its objectives, Lindquist (2001) provides the following categories of policy influence that one could choose from:

Expanding policy capacities
- *Improving knowledge/data of certain actors*
- *Supporting recipients to develop innovative ideas*

- *Improving capabilities to communicate ideas*
- *Developing new talent for research and analysis*

Broadening policy horizons
- *Providing opportunities for networking/learning within the jurisdiction of with colleagues elsewhere*
- *Introducing new concepts to frame debates, putting ideas on the agenda, or stimulating public debate*
- *Educating researchers and other who take up new positions with broader understanding of issues*
- *Stimulating quiet dialogue among decision-makers*

Affecting policy regimes
- *Modification of existing programs or policies*
- *Fundamental re-design of programs or policies*

Some of these kinds of policy influence are compatible with the conventional project. For example, improving capabilities to communicate ideas was central to the field experiences in the Bolivia and Cambodia cases. What we are adding here is the policy influence framework (climbing gear) to formulate this objective in an explicit, policy- influencing manner.

Formulation questions

The following questions serve as touch stones to make sure that both the appraisal and formulation phases address the key dimensions (listed in Tables 2.3 and 5.1). In our analogy these questions constitute the "climbing gear":

Dimension A: Historical and political time line
- *Has the project described the historical and political precedents into which it is inserting itself?*

Dimension B: Levels (micro-macro)
- *Will the project work at complementary levels to effect change both from the top–down and the bottom-up?*

Dimension C: Policy spaces and incidents
- *Will the project create a one-time participatory policy space or a permanent one?*
- *How will the project keep abreast of policy incidents?*

Dimension D: Stages of policy development
- Are there stage(s) of development for the relevant policies evident?
- At what stage(s) of policy development will the project be able to contribute?

Dimension E: Coalitions and stakeholder linkages
- *How has the project assessed the stakeholder coalitions?*
- *Is there evidence of linkages and/or networks that need to be developed or strengthened?*
- *What are the capacity development efforts that could make the coalitions more powerful?*

Dimension F: Participation and agency
- *What are the baseline and the expected levels of participation and agency?*

- *To what extent are those changes dependent on the project?*

Dimension G: Champions
- *What are the champion attributes that are sought?*
- *How does the selection process include them?*

Essential conditions for participatory policy development

We return to Pettigrew's three coordinates to begin our closing remarks: content, context and process. FAO projects will continue to have a content entry point in the food, agriculture and related sciences. However, the age of the technical assistance projects has shifted to a more holistic approach that integrates policy, organizational and capacity development. The cases in this report are examples of projects that began 'walking' along the technical road, and had to then also 'climb' the policy development challenge (cliff). As new holistic projects are prepared and formulated, the context gains a prominent place, and so does the attention to process. The dimensions that are most difficult to capture as tools – namely agency and ownership- *are* about process. At the same time those nine dimensions are about context, but a context seen through the lenses of a policy development that actively seeks local participation.

It is now evident, then, that the essential conditions for participatory policy development are the following:

1. An assessment of the **policy problem**

2. Definition of the **kind of policy influence** that is sought

3. Project objectives that address the historical and political **context**, the levels of intervention, the type of policy spaces or incidents, and the stage of policy development.

4. Project interventions that are strategically situated because of the longstanding acquaintance with the main players, which allows FAO to play the role of facilitating the bridge between one set of actors and the others. The intervention are therefore able to support specific coalitions of stakeholders, improve linkages, enable higher levels of participation, agency and ownership over the development **process**.

5. A definition of the types of **champions** –and policy entrepreneurs- that are needed in recognition of their central role in making or breaking the overall achievement.

6. An acknowledgement that policy windows are largely unpredictable, but that the project can enhance the system's **readiness** to respond when the opportunity arises.

Furthermore, if we build on the key points summarized by Swanson (2001) in the earlier discussion about 'agency', to the extent possible project should seek to build-in specific objectives around the following:
- Encourage local democratic decision-making processes;
- Enhance inclusion, either direct or by representation of local stakeholders;
- Encourage a local civil society in which civility and local civil institutions facilitate a broad dialogue;
- Contribute to the local social infrastructure to provide the capability for informed discussion;
- Contribute capacity for emergent community agency which channels local energy and expertise into sustained problem solving;
- Contribute physical, economic, and social infrastructures that facilitate rather than inhibit civic responsibility and community agency;

- Enable partnerships with key extra local stakeholders, particularly government agencies and NGOs that account for the local program's embeddedness in the larger political economy.

The above is consistent with calls for the repolitization of participation (Williams, 2004) and the tactical utilization of the spaces that become available. This may sound like a tall order, but the experiences walker has already completed some climbs, it is our hope that the above elements provide a practical 'climbing gear' for the next attempt at enabling local participation in policy development.

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Appendix 1. Tools for data collection and analysis

The tools that we have used are not prescribed for the readers. Rather, we encourage readers to adapt tools to respond to dimensions and analytical requirements. The choice of tools will depend on a range of factors, such as:

- Purpose: problem exploration, problem definition, information gathering, idea generation, idea selection, prioritisation, or planning
- Contexts: processes involving few people versus large group gatherings, available facilitation skills, time, settings (formal versus informal)
- Types of problems: messy versus bounded problems
- Modes of learning: analytical, intuitive, collaborative
- Organisational or national cultures
- Personal preferences

In our case our choices evolved from the specific context of this scoping exercise:

- a preference for visual tools
- the messy nature of the subject
- a small informal learning group,
- alternating between analytical and intuitive mode of learning

Matching elements of analysis with tools

Each project needs to match its analysis with the appropriate questions and tools. Pasteur (2001) suggests eight elements and couples them with a range of possible methods. Figure A.1 provides an example of this matching.

Elements of analysis	Example methods (tools)
Policy priorities	Interviews, policy mapping, policy ranking, visioning
Social capital	Power analysis, social maps, strategy flow diagrams, institutional analysis
Policy process and actors	Stakeholder analysis, actor network analysis, key informant interviews
Policy context	Document analysis, time lines, policy mapping
Policy statements	Document analysis, key informant interviews
Policy measures	Document analysis, key informant interviews
Institutions & organizations	Institutional analysis, social maps, power analysis
Livelihood strategies	Semi-structured interviews, preference ranking, strategy flow analysis

Table A.1: Example of methods for analyzing different elements of policy and policy processes (Pasteur, 2001, 7).

Assessment tools

To begin answering the formulation questions, there are numerous tools available. Figure 6.3 summarizes the ones that ODI proposes in the context of research projects that aim to influence policy. http://www.odi.org.uk/RAPID/Publications/Tools_Policy_Impact.html

Communication Tools

- Organisational Readiness Assessment
- Market Segmentation and the Battlemap
- Mapping the Product Life Cycle
- The Marketing Approach
- The Marketing Mix
- The Promotions Mix
- Position Mapping
- The Copy Platform
- Pre-testing your Message
- Camera Ready
- Writeshops

Context Assessment Tools

- The RAPID Framework for Analysis
- The Planning Cycle
- Problem Tree Analysis
- Stakeholder Analysis
- Force Field Analysis
- Influence Mapping
- SWOT Analysis
- Triangle Analysis
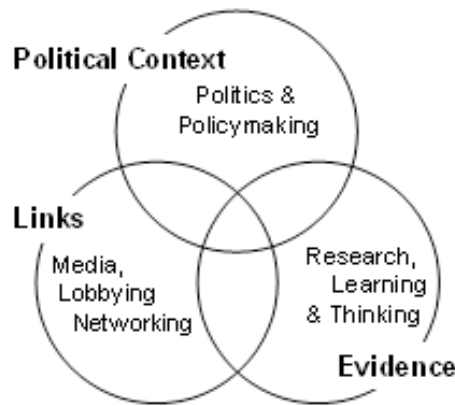
Research Tools

- Episode Studies
- Focus Groups

Policy Influence Tools

- 4 Policy Entrepreneurs
- A Lobbyist's Hierarchy of Needs
- The 4 Ps of Influence
- Boston Box   • Getting to Yes
- Policy Papers   • Public Participation
- Networking   • Campaigning Alliances

Political Context — Politics & Policymaking

Links — Media, Lobbying Networking

Research, Learning & Thinking

Evidence

The Social Assessment Tools site also organizes tools into families:
http://www.sas-pm.com
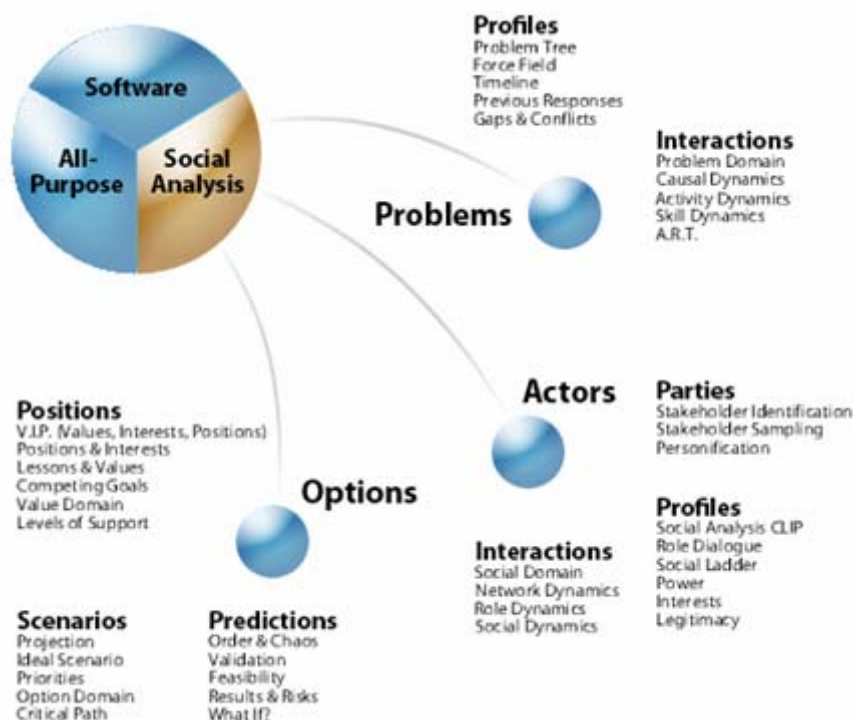
Beyond this there are

methodological approaches to choose from in the Catalog of Conservation Social Science Tools
http://www.conbio.org/workinggroups/sswg/catalog/

IIED PowerTools
http://www.policy-powertools.org/

Appendix 2. Terminology

Organizations and institutions

In this document we refer to **institutions** as the rules of the game in a society and **organizations** as the players that provide a structure to human interaction; institutions are the rules, organizations are the players. Organizations are agents of institutional change (North, 1990).

Community and participation

> **Community** (and **participation**) are other sure-fire winning words...living blameless lives of their own in language, policy and analysis of whatever hue....It is the one type of term, along with, for example, 'cooperation' and 'participation' which has never been used in a negative sense. ..One crucial characteristic of these sorts of keywords is that they do not require an opposite word to give or enhance their meaning. They acquire much of their winning warmth from their popular meanings in everyday usage. A further characteristic is that, as a rule, they are not ever put to serious empirical test - or if they are, and they fail, they continue to circulate in good currency nevertheless. The projects they herald may be evaluated, and whether they are winners or not is another matter. (Apthorpe, 1997, 53)

In response to this quote, we qualify participation in the context of policy formulation (see next section). Furthermore, we do not use 'community' loosely, especially in recognition that rarely is there ever a homogeneous aggregation of people, be they communities of place or of practice.

Governance, government and policy

We refer to **governance** as complex process which affects people's behaviour and norms and enhances agents' capacity, in contrast with an instrumentalist of **government** where policy is seen as a tool to regulate a population from the top down through rewards and sanctions (Shore and Wright, 1997). In the introduction to their book 'Anthropology of policy' these authors emphasize that **policy** shapes the way individuals construct themselves as subjects, as language is used to label individuals as 'citizens' or 'subjects' thus defining their roles.

> The study of **policy**, therefore, leads straight into issues at the heart of anthropology: norms and institutions, ideology and consciousness, knowledge and power, rhetoric and discourse' meaning an interpretation; the global and the local – to mention but a few. (Shore and Wright, 1997, 4)

Shore and Wright emphasize a shift from governance as rational, expert knowledge to a process that regains citizen identity and contribution. This study ascribes to the notion that "…governance is understood as a type of power which both acts on and *through* the agency and subjectivity of individuals." (Shore and Wright, 1997, 4)

Beyond simply "champions"

While we refer to "champions" using Gladwell's and Lotz' ideas, there are additional roles that are described on the basis of the stage of evolution of an innovation. In this more detailed context, a champion would be the advocate specifically for a product. For each category, are additional attributes and reward mechanisms are detailed.

Innovation roles

Stage		Roles	
Invention	Idea	Inventor	Gatekeeper
Innovation	Product	Innovator	Champion
Entrepreneurship	Market	Entrepreneur	Sponsor

Type of innovation	Innovation role
Exploratory research	Idea generators
Development engineering	Gatekeepers
Application seeking	Champions
Spin-offs	Project leader

Role	Typology	Contribution	Reward
Inventor	Curiosity Independence Risk taking	Quality ideas Technical and market knowledge	Acknolwdgement Recognition Increase autonomy
Innovator	Freedoom Flexibility Initiative	Working prototype	Team rewards
Entrepreneur	Achievement orientation Risk taking Opportunism	Make new things happen	Make funds available High financial reward
Champion	Bravery Vision Realism	Ideas carried through	Resources for project

Appendix 3. Case studies

Bolivia

Facilitating Community Participation in Municipal Planning though Communication

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Introduction to this series of case studies
This case study is part of a series prepared by the FAO Livelihoods Support Program (LSP) focuses on identifying the essential elements for having effective local participation in the evolution of a policy. Readers are referred to Volume I that develops a conceptual framework to guide the analysis of the case studies in this Volume. The case study collection is based on a range of projects and programs implemented by FAO over more than 10 years in eight different countries. Between 2000 and 2006, these countries received some technical and funding support for policy-related activities.

The case studies all follow a common structure and a common set of tools is used to summarize and visualize major dimensions. The conceptual framework in Volume I was developed in an iterative manner, integrating concepts from the literature in a dialogue with emerging patterns from cases. Each case study is co-authored by the FAO staff members who were closely involved not only in the projects, programs and experiences, but also in sharing insights and information with which the cases were developed.

Executive Summary

Over the past two decades the Republic of Bolivia turned over to municipalities the responsibility to plan, implement and manage agriculture and natural resources for sustainable rural development as part of its decentralization strategy. At the same time as the People's Participation Law created the formal mechanism for participatory planning at the local level, the privatization of services in support of natural resource management meant that local governments were charged with additional tasks that had previously been part of central government agencies. FAO's field projects provided a wide range of technical advice during this challenging transitional period. Most projects had a technical entry point in several fields of NRM (e.g. watershed management), and they also provided support in process areas (e.g. participatory planning and communication). In many cases, however, the projects came to realize the need and urgency to also work at the policy level.

This case study focuses on a project in the Department of Santa Cruz de la Sierra that facilitated community participation in municipal planning through communication. We refer to this action as the project's main policy event in that it introduced mechanisms to channel local demands into municipal plans, while at the same time creating awareness and skills among local technicians so as to integrate communication activities in program delivery. These outcomes suggest that the project, from a policy analysis point of view, was most significant in terms of articulating an existing legal framework that had previously been hindered by a lack of methods and skills in facilitation, assessment and service provision.

The context

Over the last two decades Bolivia –and the rest of Latin America- has moved to decentralize government services. Until recently this trend was associated with a thrust toward privatization and trade liberalization. The global development trend called for this and donor support was conditional to these shifts. This meant that a significant unloading of rural development responsibilities were passed on from the La Paz central government to the municipalities and to regional natural resource management authorities (watershed management).

In 1991 the "People Participation Law" was passed by the Bolivian Government. The law recognized people's right to participate in development planning at the municipal level. While the law created this important context, the challenge was to develop and strengthen the mechanisms for such participatory planning to take place. This called for significant investments in human resource development, and for fundamental changes in roles of all stakeholders involved in rural development.

The policy environment

By 2002, a major shift in the natural resources policy environment was the privatization and decentralization of the Bolivian Institute of Agricultural Technology (IBTA) and the introduction of the Bolivian System of Agricultural Technology (SIBTA). Under SIBTA agricultural research and extension were delegated to regional organizations that covered agroecological zones, often extending over parts of several Departments. Each regional unit would seek its own financing; including international donors (for example USAID funded the Cochabamba-based Fundación Valles).

These regional technical assistance organizations were charged with the development of a privatized agricultural extension system whereby requests from farmers were put out to tender for private sector advisors. In the case of the Department of Santa Cruz, the level of financial support was very limited, which meant the small landowners who depend on publicly funded technical assistance were most disadvantaged. This in turn created more pressure for the departmental municipal governments to fill the gap in technical assistance, an area that was new to them. At the same time, other common property resources such as watersheds received technical assistance through regional organizations like the Service for Channeling and Regulating the Pirai River (SEARPI).

In spite of a ten year thrust to consolidate decentralization through increased participation and representation, interactions and power relations among stakeholders at municipal level were characterized by:
- significant differences in the level of access to resources between low-land and highland communities
- small landowners with insufficient governmental support at the district level, namely in agricultural services; a widespread informal economy
- a fragmentation between social groups and a lack of networking among them
- conflicts among the agro-industrial sector and the small landowners

While some municipal administrations decided to set up technical units; the government focused on developing capacities among stakeholders (such as municipality staff, NGOs, and farmer representatives) in the following areas:
- design of municipal development plans,
- information and communication,

- environment planning and participatory method[13].

The role of FAO

When FAO began supporting the Bolivian municipalities in Santa Cruz in 2003, a number of factors had been identified that explained the weak culture of participation, especially in the provision of services, one of which was training in communication and facilitation. As a result, the response of the municipalities to the requests and needs of local communities as mandated by the decentralization law was limited. Additionally, decentralized development policies were being handed over to the municipalities together with explicit responsibility for promoting environmental development. It soon became clear that the strategy the municipalities were using to engage local actors in the design and management of development strategies was not having the desired impact. In the vacuum created by the decentralization process, technical assistance was not reaching rural communities. These communities were in need of information and support to organize themselves into representative bodies that would allow them to play a more active role in policy making.

FAO had been involved in the above policy environment for over a decade with one of the largest field programs in the region. Of most significance to this study were the Participatory Upland Conservation Development Project (1992-2002) and the Communication for Development Project (1993-1997) implemented in the Department of Santa Cruz. Both of these projects were regional, funded by the Italian Government and implemented in coordination with FAO technical units from the onset. This is significant because of the capacity of FAO to integrate relevant technical information for watershed conservation that provided extension content with communication methods and media.

The overall objective of the communication project was to enhance local capacity, strengthen community organizations and increase the participation by rural people by creating or enhancing linkages among stakeholders. Technical training for the development of communication materials and tools was promoted and followed up with a project to train human resources for technological innovation and increase the capacity of the Ministry of Agriculture and Rural Development via the SIBTAs. Between 2002 and 2005 FAO provided institutional support to the association of municipalities (AMDECRUZ) and the Departmental Government of Santa Cruz, the Universidad Autónoma Gabriel René Moreno, SEARPI, research centres as well at to indigenous and farmers' associations.

As the larger projects phased out, a third project emerged -the Information, Communication y Training for Management of Natural Resources and Sustainable Agriculture project (CARENAS)- which was designed to strengthen mechanisms that could increase the participation of local communities in planning and policy development in eleven municipalities of the Rio Pirai watershed. The core staff of CARENAS consisted of three professionals. In each of the eleven municipalities one technical support person was designated as focal point for participatory planning exercises and was trained to facilitate the formulation of municipal development plans. They were also trained to manage municipal communication systems linked to a range of media services including radio and audio-visual documents, especially designed for rural people.

Figure 1 provides a visual summary of the above two sections; it signals the major evolution of the policy environment together with the FAO projects and services that interacted in that context.

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[13] FAO, 2005 http://www-data.fao.org/tc/tcdm/italy/op_bol034_en.asp?lang=en

Figure 1: The interaction between the policy environment and FAO's contribution
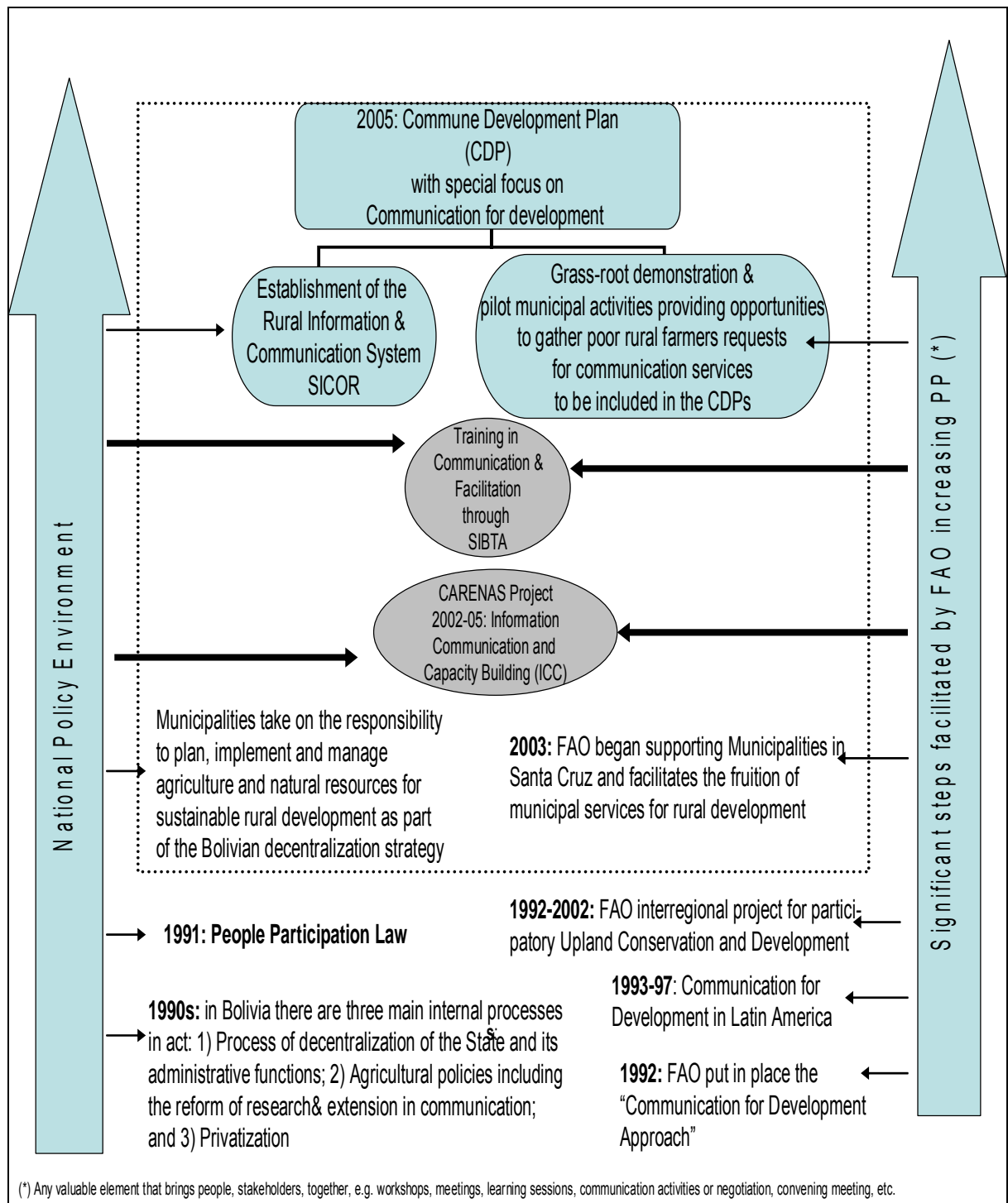
Support to participatory planning processes

The communication project developed a Rural Information and Communication System (SICOR) to facilitate the dissemination of information (content) generated by Service for Channeling and Regulating the Pirai River (SEARPI) and to train municipal technicians in communication and media use so as to improve the participatory planning approach (process). The key policy event in this case is the support to participatory planning that the project provided at the municipal level. In this case the "event" was not limited to a single moment in time; rather it refers to an overall implementation thrust.

To do this, FAO built on activities that had already been planned by the municipalities and reinforced their potential to become platforms for dialogue, interaction and joint planning. Local events such as grassroots demonstrations and pilot municipal activities provided opportunities to gather requests for communication services that resulted in a demand for the municipalities to include these services in future municipal plans. Over a two-year period (2003-2005) FAO worked with rural communities to assess their own needs regarding information, communication and training. In parallel, the project worked with teams of agricultural technicians in 11 municipalities to create a common understanding of the role of communication in the context of rural development, and to raise awareness regarding the specific needs in their own area. In other words, the project supported the municipalities by training their technical NRM and agriculture staff in listening to community needs, in the definition of local priorities, and in the development of municipal plans that responded to local needs and that integrated communication activities in their delivery.

The project closed in September of 2005 and the CARENAS unit has since been integrated as an independent foundation under SEARPI, with the endorsement and support of the government of the Department of Santa Cruz. In addition, two of the eleven municipalities have created their own communication units. Communication has been institutionalized as it is being explicitly taken into consideration in a number of municipal development plans.

Figure 2 Summary of relative changes across several dimensions of empowerment and the stakeholders involved

Santa Cruz		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		Medium
	Consultation		High
	Compliance	Medium	Low
Agency in support of participatory policy process	Action		Medium
	Knowledge acquisition	Low	Medium
	Claims-making	Low	High
Influence over	Institutional structures and procedures		Medium
	Alliances	Low	Medium
	Networks	Low	High
Degree of ownership over process			High

Legend	
High	High
Medium	Medium
Low	Low

Outcomes

While legislation that had existed for ten years called for community participation in the preparation of Municipal Development Plans, there was limited experience with facilitation methods. The introduction of communication methods and media, provided municipal staff with not only an approach for community engagement, but it opened the door for communities to voice demands that in the past had gone unheard. As a result, the demand for agricultural services was made explicit and municipal staff realized that their response would be more effective if communication was taken into account in planning.

In some cases, the demands for technical assistance were common across different municipalities while in others it was specific to one. Hence, some technical assistance plans (e.g. training packages in water management) were developed for several municipalities, while others were targeted to location specific needs (e.g. livestock health). The project facilitated the creation of a network across municipalities capable of working toward a common development plan that could eventually lead to the design of an integrated regional policy for the Department of Santa Cruz de la Sierra.

The relations among the various network actors including NGOs and rural communities were strengthened by the communication activities that helped municipalities create the space to coordinate and negotiate plans for activities of common interest. Once an agreement was reached, either the municipality or the departmental government could take the lead in the implementation of the plan.

The outcomes are significant in the following manner:
- the communities experienced an opportunity to plan and be heard, which means their demand capacity was enhanced
- the municipal technical staff were exposed to methods and media that help them operationalize local participation in planning and they also came to realize that communication is an integral component of technical assistance in natural resource management and service delivery in general
- the departmental government took over the CARENAS communication unit, thus signaling a buy-in to communication for development
- the Service for Channeling and Regulating the Pirai River communication and information system has enhanced social capital vertically and horizontally

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence

BOLIVIA	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities	Improved access to local communication services			
Private sector	Improved Local Governance			
Civil society	Participation of the poor in the Municipal Development Plans			
Secondary stakeholders				
Governmental institutions	Effective implementation of the Participation Law			
Collaborating organizations	Increased participation for sustainable development			

Legend	
High	
Medium	
Low	

In terms of the conventional stages of policy development[14], the experience can be mostly located in the implementation stage, although there are indications that subsequent national rural development polices where influenced by the achievement.

Figure 4: Classic stages of policy development and relevant entries from this case study

States of Policy Development	Relevant Examples
Problem identification	*Lack of engagement by local population was identified by national, departmental and municipal government*
Priority setting	
Policy formulation and design	*Responsibility assigned to municipalities for 10 years but was not effective*
Passage of the policy instruments	
Implementation	The project opened channels for making the demands of local people more explicit and for municipal staff to be more responsive
Evaluation	

Italics = policy environment; Regular = areas of project intervention
(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

Analysis

The analysis of the case is based on the framework that is described in Volume I and is based on a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three analytical dimensions: changes along the Policy Context; Champions;

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[14] While this diagram suggests a linear flow, in fact the process is iterative and cyclical.

and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case study.

What changed over time?

At the time the communication project began in 2002, FAO had been providing expertise in natural resource management within the context of the Bolivian decentralization process. The government was concerned that although policy instruments were in place, the participation of community members in the design of municipal plans was limited. This project was a response by FAO to build upon the technical knowledge generated by the watershed management project on the one hand, and the technical expertise resulting from the communication project that ended in 2000. The goal was to train municipal staff to use communication media to share information with, and listen to, community members. Demand for agricultural services became more explicit and targeting of information to user groups improved. In the process, municipalities became aware of the importance of good communication and facilitation for municipal planning and were able to effectively engage small farmers in local planning for the first time. Some began to include communication in the plans and assign staff full-time to making communication in the municipality more effective. The project contributed by creating methods and training staff that could operationalize the policy instruments for local participation.

What were the dynamics behind the change?

The effort was built on the capacity-building of municipal agricultural staff that improved their ability to listen to community needs. Networks among NGOs, rural communities and the municipalities were strengthened and the participating municipalities were empowered to negotiate and coordinate plans for activities of common interest with Departmental Government. This project, however, did not benefit from a team of champions on the ground that could lobby at higher levels, while creating local level linkages.

What emerged that was not expected?

Communication not only improved participation in local planning, but became an explicit activity in some municipal plans. The CARENAS project unit was incorporated in the Service for Channeling and Regulating the Pirai River (SEARPI) as an independent foundation within its legal structure, thereby instituting an information system for the entire watershed. By emphasizing the *listening function* of communication, the project opened the flood gates for communities' demands to be heard by municipal authorities. At the same time, the staff began to understand that communication, especially its *training function*, should be integrated with any municipal response action or program. Communication became integrated into municipal planning and implementation in ways that, while consistent with the thrust of the Popular Participation Law, had not been realized at the local government level.

Brazil and Philippines
The International Conference on Agrarian Reform and Rural Development

Introduction to this series of case studies

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The case studies all follow a common structure and a common set of tools is used to summarize and visualize major dimensions. The conceptual framework in Volume I was developed in an iterative manner, integrating concepts from the literature in a dialogue with emerging patterns from cases. Each case study is co-authored by the FAO staff members who were closely involved not only in the projects, programs and experiences, but also in sharing insights and information with which the cases were developed.

Executive Summary

In March 2006, the International Conference on Agrarian Reform and Rural Development (ICARRD) was held in Porto Alegre, Brazil. The conference was organized by FAO and the Government of Brazil to encourage a constructive dialogue among governments, producers, civil society organizations and experts regarding new challenges and options for revitalizing rural communities. The idea for ICARRD goes back to the 1990s, but was formally approved by the FAO Council only in June 2005.

The objectives and agenda for the conference, as well as the strategy resulting from it, had been constructed on the basis of various national projects and country studies carried out by FAO and the Governments of Brazil and the Philippines. FAO's interest in engaging in an international conference on agrarian reform grew as the intensification of competition for land and natural resources became evident in a growing number of countries. Furthermore, FAO had been working for a number of years to insure that the Sustainable Development Division was working on the basis of a strategy agreed upon by multiple stakeholder groups taking into account the situation in two countries on different continents with similar challenges regarding land reform.

The process leading up to the Conference and the gathering itself had the following objectives[15]:

- **Create a platform that would promote the understanding, learning and constructive dialogue** to address agrarian reform, sustainable rural development by monitoring and evaluating best practices and progress.
- **Share experiences, foster recognition, improve willingness, and concrete action** to enhance international cooperation and promote more equitable, transparent and

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[15] National Stocktaking and Thematic Dialogue Guidelines

accountable access to land and natural resources on the part of the international community, governments, farmers' and civil society organizations.

This case study looks at the process developed in Brazil and the Philippines as stakeholders evaluated the need for and value of an international event that would allow them to bring a national issue and the debate to an international platform.

The Rural Development and Agrarian Reform Context

By the beginning of the 1990's a shift was taking place in the thinking in rural development and agrarian reform to the extent that:
- rural development was seen as a sociopolitical issue - not a production issue
- participation was seen as the engagement of all relevant stakeholders negotiating roles, and their further involvement with policy and decision-making
- needs-based capacity development was shifting towards a rights based capacity development approach

Within this context FAO initiated an internal reflection regarding methodological approaches for dealing with agrarian issues that would take into account both the political reality and the uneven power relationships among stakeholders. Building on the experience gained with its long time partners, FAO developed the "Participatory and Negotiated Territorial Approach" (PNTA) that is based on participation and negotiation. The approach is based on the idea that all identified territorial issues can be placed on a negotiation table that gathers all relevant stakeholders to discuss area-related problems, with the aim of finding ways to collaborate in the formulation of a Social Territorial Agreement**.** The Social Territorial Agreement provided a new perspective on the management and prevention of conflicts arising from local competition over the use of, and access to, land and natural resources.

This reflection was especially relevant to the situation in Brazil and the Philippines where FAO developed strong relationships with local partners over a long period of collaboration. The approach called for the inclusion in the planning for agrarian development national of governments, civil society and diverse interest groups. Over a 15 year period, FAO lobbied the Philippine and Brazilian governments to consider the PNTA. During that period the emerging emphasis on sustainable development and food security emerged from the UN Conference on Environment and Development in 1992 and throughout the UN Conferences of the 1990s, including the WFS 1996. The new thinking advocated a paradigm shift to highlight the need to respond to broad, cross-cutting economic, social and gender challenges.

By the early 2000's local consultants in both Brazil and the Philippines had become key institutional figures at ministerial level. They became the key actors in the network that led to ICARRD.   Simultaneously field projects provided a venue to widen contacts, create a dialogue and foster collaboration with social movements and civil society organizations. FAO's international staff working on PNTA concentrated on:
- fostering channels for communication and dialogue in the Philippines with the Vice Ministry of the Department of Agrarian Reform (1995-2005), and starting in 1994 with the Secretary for Family Farming Agriculture in Brazil.
- network-building with political, academic and civil society actors (e.g. with *Via Campesina* and the *Movimento Sin Terra* in Brazil).
- Facilitating two country case studies, one in Brazil and the other in Philippines
- Organizing "thematic dialogues" at the national level (more details below)

The case studies in Brazil and the Philippines built on, and strengthened, the momentum within each to country democratize development and involve civil society and its diverse interest groups in policy making on development issues. The preparation of case studies themselves provided opportunities for dialogue and debate among a variety of stakeholders. Along the way, key actors in both countries began exploring territorial development ideas and became keen to share their experience and learning in what would become an international forum.

Events were held in Brazil (Thematic Dialogues in Dec. 2005) and in The Philippines (Seminars in Jan. 2006). In both countries, government, civil society, social movements and donors arrived at a common understanding of the usefulness of focusing on access to land and markets using the Participatory and Negotiated Territorial Approach (PNTA). The national events were stocktaking exercises that allowed for a comparison of notes between countries. This in turn allowed FAO to reflect on its current and previous approaches to formulating and implementing projects dealing with agrarian issues. The events brought to the table the following stakeholders:

- Leaders of the most vocal social movements in agrarian reform
- Representatives of important universities
- Members of government from local to national level
- FAO staff working in international contexts
-

The Brazilian Context and Policy Environment

FAO's technical support in the area of agrarian reform and family farming began in the early 1990s. At the time, Brazil was undergoing a process of decentralization and democratization and a comprehensive agrarian reform was in the making. In order to facilitate these processes, the government was engineering institutional change and developing a more participative approach to policy making. FAO's support was focused around Santa Catarina, Rio de Janeiro and Sergipe, where highly centralized and concentrated state interventions were common.

In Santa Catarina and Sergipe, as the decentralization process took hold, the state gradually relinquished responsibility for a number of key tasks. Segments of society such as NGOs and cooperatives, formerly excluded from all forms of participation, had become actively involved in the design and implementation of policy as a result of the view propagated by NGOs in the 1980s that development could only take place if civil society "turned its back on the State". This view has changed over the past 15 years to one that places emphasis on building partnerships with governmental institutions.

The increase of social control over public policies depended more on the capacity to mobilize the social groups involved, and consequently on their skills in the considered area, than on the design of the policies themselves. Civil society organisations that began monitoring and exercising pressure over public policies affecting local development played a fundamental role in rethinking development proposals from a territorial and decentralized perspective. These new opportunities for policy development emerged over the last decade and one-half in a context where there had been a marked disequilibrium of forces due to the following:

- the prevalence of conflicting interests between landowners and landless workers
- an extremely uneven social context, and
- the lack of networking among the various institutional levels

This disequilibrium was a product of the historical power relationships which was manifested in the repression of the advocates for participation, partnership and empowerment during the 1970s, in spite of the increasing capacity of well organized social movements to lobby for change. The question of participation by local actors in policy-making processes has been on the table since the restoration of the democracy in 1986. Several attempts have been made to enhance it, including strong support to Communal Agrarian Reform and Rural Development. By the end of the 1990s, the territorial dimension of the rural development process had received attention in the academic and institutional-political debates. Moreover, an increasingly well-organized civil society was facilitating dialogue and pressing for government commitments to support the most vulnerable sectors in the rural society.

Milestones leading to ICARRD in Brazil

1984: Landless farmer movement (MST)
1990s: Decentralization and democratization process in Brazil
1991: FAO begins internal reflection in Rome
1996: Massacre in Pará State – social movements strengthened as a result
1997: Parliamentary committee for peaceful design & negotiation of land reform policy
1998: FAO puts forward a paper to promote PNTD
1999 National Council on Sustainable Rural Development (CNDRS) created
2002: Luis Ignacio Lula elected president with agrarian reform and participation on the agenda
2003: CNDRS becomes National Sustainable Rural Development Council increasing support
2004: ICARRD Memorandum of Understanding signed
2005 National Seminar (Thematic Dialogue)

When the Workers' Party (PT) came to government, Development Councils were created to facilitate the involvement of local actors in critical policy debates. The states had the freedom to test out policy models that have included a diversity of actors in their implementation. In addition, the government charged the National Council for Sustainable Rural Development (CONDRAF) with the task of fostering vertical and horizontal policy dialogue and debate with universities, associations of experts and civil society organizations. One of the major successes of the Brazil experience has been its capacity to limit federal, state and municipal government interference in civil society initiatives and activities. On the road to ICARRD, a number of institutional actors became involved in the process:

REDES is a research institute that does analysis on agrarian reform issues funding for which is obtained through CPDA, its academic branch. It is recognized as a high quality professional institution both by the Government and civil society organizations. It is presently the Center consulted exclusively by the Government on agrarian reform issues.

FAO's channel for formal dialogue with social movements and civil society organizations (e.g. Via Campesina and MST) is the International Planning Committee (IPC) **I**t must be noted, however, that already since 1992 FAO collaborated with representatives of the MST who served as local consultants hired by FAO for the implementation of projects. The IPC provided a space for participatory policy making since actors historically in opposition were able to formulate, propose, discuss, and jointly decide on proposals for the Agrarian reform. However, FAO played an important role in bridging the government (FAO assembly) and non-governmental (IPC) arenas so that dialogue could take place.

Inter-American Institute for Cooperation in Agriculture (IICA) had been working with the Brazilian government on Agrarian Reform since 1985 while FAO came on the scene only five years later and was seen by the former as a competitor. In spite of the fact that the Brazilian Government did not convene IICA to the ICARRD preparation process, FAO did it's best to involve them.

Movimento Sin Terra (MST): began working in the south of the country under the leadership of ecclesial activists and communist trade unions. When democracy was re-established in 1985, the MST grew into the most organized social movement in expansion. At that time the democratic government did focus on the agrarian issues and recognized MST as a counterpart in a dialogue toward a negotiated agrarian reform, yet the relationship was controversial and collaborative at th**e** same time. When Lula became President in 2000, he made a political choice to address the "land issue" and attempted to associate the MST with government policies. However, the MST attempted to maintain its distance since it was interested being part of deal-making on rural development and family farming issues with large land owners. MST is key to the alliance among the Government, *Via Campesina* and SPDA, and therefore critical to dialogue at ICARRD.

*Via Campesina***:** FAO was able to establish a dialogue with the *Via Campesina* essentially because of its collaboration with the SPDA which is very respected by *Via Campesina*.

National Sustainable Rural Development Council (CONDRAFF)[16]**:** FAO was able to build links with CONDRAFF through a well known land reform economist and ex FAO consultant. CONDRAFF was an important mechanism for facilitating the participation of multiple social actors (stakeholders) in the national policy making process. CONDRAFF has been able to bring state and local issues to national and has enabled their conversion into policies. CONDRAFF together with the SPDA have been the recognized as representatives of regional and local social actors, stakeholders in agrarian reform and rural development.

Figure 1 provides a visual summary of the above two sections; it signals the major evolution of the policy environment together with the FAO projects and services that interacted in that context.

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[16] A consultative group comprised of the Secretary of State of Family Farming, Territorial Development, Environment, Land Funds, Agrarian Reform, trade unions and social movements, academics and other specialists whose task it is to support the elaboration of policies related to sustainable rural development using consultative and participatory methods.

Figure 1: The interaction between the policy environment and FAO's contribution

National Multi-stakeholder
Seminar in Brazil
(Thematic Dialogue)
December 2005

National Country Study
Jan. 2006

Field Cases
Funded by LSP-PPLG
Conducted by CPDA/REDES
in 3 Federal states:

Serpige

Santa Caterina

North of Rio State

Jul. 2004
sign of ICARRD
Memorandum of Understanding

2003: CNDRS becomes CONDRAFF

2002: Lula becomes president and puts forward
the agrarian reform issue

Jan. 2005:
Parviz Koohafkan
Chief of SDA

1999/00: the National Council on Sustainable Rural
development (CNDRS) is created and later on
becomes CONDRAFF

1998: FAO puts forward a paper to
promote Participatory & Negotiated
Territorial Development (PNTD)

1997: Parliamentary Committee for peaceful
design & negotiation of land reform policy

1996: massacre in
Pará State

1991: In Rome, starts FAO's internal reflection regarding
methodological approaches for dealing with agrarian
issues

1990s: Decentralization and democratization process in Brazil

N a t i o n a l   P o l i c y   E n v i r o n m e n t

S i g n i f i c a n t   s t e p s   f a c i l i t a t e d   b y   F A O   i n c r e a s i n g   P P   (*)

(*) Any valuable element that brings people, stakeholders, together, e.g. workshops, meetings, learning sessions, communication activities or negotiation, convening meeting, etc.

The Role of FAO in Brazil

Over the period leading up to ICARRD, FAO engaged in extensive network building through both informal and formal channels and was even able to pursue an un-*official* dialogue with key Brazilian institutions and actors that helped avoid opposition of the more extreme social movements. This informal dialogue has enabled the goal of a multi-stakeholder platform for negotiation on agrarian reform and rural development could be attained.

The FAO Livelihood Support Program provided the resources necessary for the implementation of the Country Study. The challenges faced included:

1. Identify a strong and reliable national institution trusted by both government and civil society. CPDA-REDES, was able to partner with other universities to increase geographical coverage.
2. Link the field study to ongoing FAO technical assistance and to CONDRAFF to increase critical mass of information and resources and to facilitate knowledge transfer from CPDA-REDES to the policy-making arena.
3. Link reflections on the findings of the Country Study to more general discussions related to ICARRD and share them with a wide range of policy makers and intellectuals.

The findings of the Country Study were presented formally and discussed at a national seminar, funded by the Brazilian Government, where similar studies were also presented.

Figure 2 provides a summary of the relative changes across several dimensions of empowerment and the stakeholders involved

Brazil		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		High
	Consultation		Medium
	Compliance	Low	Low
Agency in support of multi-stakeholder Platform	Action	Low	Medium
	Knowledge acquisition	Low	Low
	Claims-making	Medium	High
Influence over	Institutional structures and procedures	Low	Medium
	Alliances	Medium	High
	Networks	Medium	High
Degree of ownership over process			High

Legend	
High	High
Medium	Medium
Low	Low

Outcomes in Brazil

When the Country Study began there was already consensus on the need to develop policies and development proposals from a decentralized and inter-municipal perspective with civil society associations actively participating in the process. FAO supported and facilitated CONDRAFF by enhancing the participation of various stakeholders in the policy dialogue and policy making process. The Country Study enabled FAO and Brazilian social actors to feed the findings to higher levels through both CONDRAFF and ICARRD. At present, a

structural mechanism for FAO to participate in CONDRAFF is being explored to insure long-term collaboration in the elaboration of federal policies.

FAO is presently rethinking its 2006 Work Plan so as to focus more on local participatory policy making mechanisms and pilot interventions in favour of family farms and agrarian reform beneficiaries, similar to those currently supported in the São Francisco River Basin in the North East.

Figure 3 Primary stakeholders and their stake in policy decisions, relative levels of potential impact, interests, importance and influence.

Brazil	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities	Access to land, family farming systems, pro-poor policies	High	Medium	Low
Private sector	Large Land Owners			
Civil society	Negotiated and Participatory Territorial Development	Medium	Medium	High
Secondary stakeholders				
Governmental institutions	Land Reform and sustainable rural development		High	High
Collaborating organizations	Revitalize rural communities via Territorial Development	High	High	Medium

Legend	
High	■
Medium	▨
Low	□

The Philippine Context and Policy Environment

The struggle to democratize the development process in the Philippines has been continuous and has been fraught with long drawn-out conflict and only began to make strides in the late 1980s. Participation in the Philippines is culturally rooted. The Philippine social and legal framework provides an enabling environment for Participatory Policy Development. The long road can be summarized in the following manner:

- **1946:** Independence and implementation of community development programs encouraging people's participation.
- **1987:** A new constitution[17] was adopted specifically designed to enable broad-based participation.
- **1988:** the Comprehensive Agrarian Reform Law recognized the right of farmers, farm workers and landowners, as well as cooperatives and other independent farmers' organizations, to participate in the planning, organization, and management of the Comprehensive Agrarian Reform Program via the Department of Agrarian Reform. It aimed to promote social justice and industrialization.

[17] Pursuant to the constitutional mandate the House of Representatives, the Congress of the Republic of the Philippines created the *Committee on People Participation* and promulgated rules for the conduct of congressional hearings. This called for a consultation mechanism to enable people to participate in the preparation of bills for possible enactment into law by Congress.

- **1992:** The Magna Carta of Small Farmers (MCSF)
- **1997:** The Social Reform and Poverty Alleviation Act, and the Agriculture and Fisheries Modernization Act (AFMA) in 1997
- **1998:** FAO facilitated a dialogue among the vice minister of Department of Agrarian Reform social movements and civil society. At the same time it lobbied the Philippine government to become engaged in an international event addressing the issues of agrarian reform
- **2004:** President Gloria Macapagal-Arroyo, changed the name of Department of Agrarian Reform to the Department of Land Reform by executive order, broadening its scope and mandate. It was made responsible for all land reform, the Philippine Commission on Urban Poor (PCUP) and recognition of the ownership of ancestral domains by indigenous peoples.

The Comprehensive Agrarian Reform Program has remained a centrepiece of efforts to address rural poverty in the Philippines for the past four administrations. The three elements of CARP are: land acquisition and distribution, support services to beneficiaries and agrarian justice. The two agencies mainly responsible for the implementation of the program are the Department of Agrarian Reform (DAR) and the Department of Environment and Natural Resources (DENR). DAR has since distributed 3.1 million hectares to 1.7 million beneficiary households, 70% of its mandate. FAO has provided technical assistance to DAR through beneficiary support services over the past decade. Multi-donor support (Dutch, Italian and Australian) implemented through FAO, has provided local community planning assistance in agrarian reform communities often been linked to major infrastructure investment projects.

The government is increasingly aware that these types of strategies need to be institutionalized within regular departmental and other agency programs rather than implemented by stand-alone donor funded projects. As a result, in recent years mainstreaming project activities and improving local policy making in order to be more attentive to local needs and stakeholders has become more and more evident. This includes improving the efficiency and effectiveness of major rural investment projects, and access by the rural poor to technology, markets and microfinance.

Figure 1 provides a visual summary of the above two sections; it signals the major evolution of the policy environment together with the FAO projects and services that interacted in that context.

Figure 1: The interaction between the policy environment and FAO's contribution
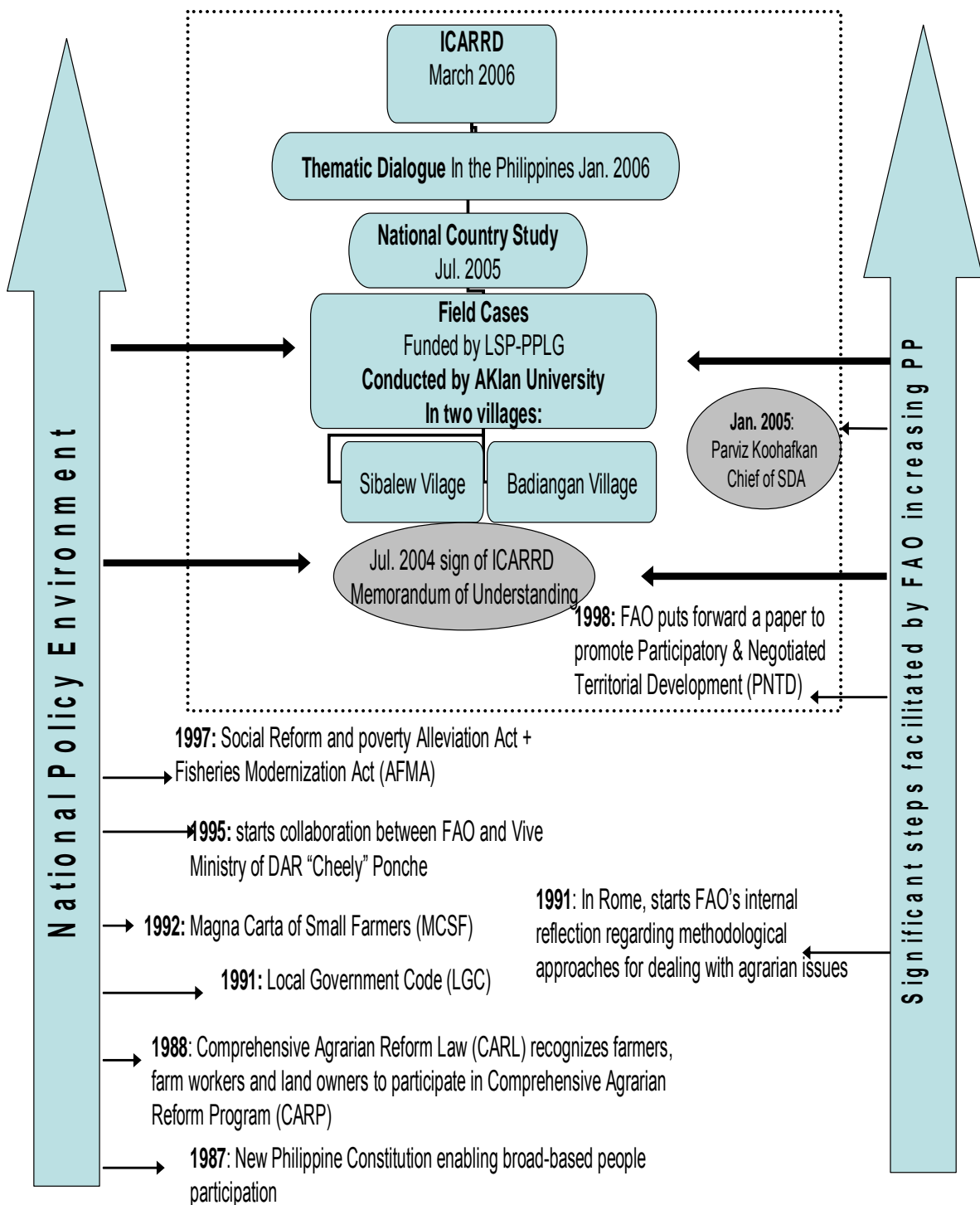
The Role of FAO in Philippines

During the many years that FAO had been implementing rural development projects in the Philippines, it had built up a trusted network. By the time the Country Study was undertaken, a long-term dialogue had been going on regarding the possibility of an international conference on agrarian reform based on the Participatory and Negotiated Territorial Development (PNTA) approach. This dialogue was facilitated by the Vice Minister of the Department of Agrarian Reform who later became Prime Minister.

In close collaboration with the FAO rural development project team, the Ministry of Agrarian Reform made a proposal to the FAO Livelihood Support Program to finance the Country Study in 2005. The study involved three phases:
1. A request from FAO to national institutions to prepare a Case Study (CS),
2. Presentation and discussion of the results during multi-stakeholder events (Thematic Dialogue) in the Philippines
3. Presentation of the Thematic Dialogue report to ICARRD[18] the International Conference.

The objective of the Country Study was to understand the factors and practices of social dialogue and negotiation between civil society, social movements, academics and governmental institutions on rural development issues and how they could be improved. It was conducted by a research team from the Aklan State University and concentrated on two case studies, conducted in two selected rural Barangays (small villages) in the province of Aklan, Panay Island in the Western Visayas region where FAO had been implementing development projects.

The two cases that made up the Country Study examined the role and positions of various stakeholders, especially social movements, and the spaces available to them for participation in policy making processes. The Country Study brought, first to the National Event and then to ICARRD, a common understanding of national stakeholders on of the approach to be used to address agrarian reform related issues. It was endorsed by civil society as a result of consultations started during the implementation of the case studies and during the National Event. Stakeholders involved along the way included government agencies, academic institutions, civil society, the private sector, donor agencies and the informal sector including small farmers and fisher folk.

The Country Study found that despite the formal mechanisms put in place by the government, only selected stakeholders were involved in policy dialogue while poor and unorganized sectors of society remained at the margin. This persistent situation was reported be due to:
*   *vagueness* in the guidelines for Civil Society, NGO and private sector *representation*
*   *inappropriate* and/or under-utilization of the existing mechanisms for participation
*   *limited* resources by stakeholders
*   *lack* of the support needed or envisioned to bring stakeholders to the table
*   *political* interference

Figure 2 Summary of relative changes across several dimensions of empowerment and the stakeholders involved

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[18] International Conference on Agrarian Reform and Rural Development, (ICARRD): New challenges and options for revitalizing rural communities". The Conference has been hosted by Brazil in 7-10 March 2006.

Philippines		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		
	Consultation		
	Compliance		
Agency in support of ICARRD process	Action		
	Knowledge acquisition		
	Claims-making		
Influence over	Institutional structures and procedures		
	Alliances		
	Networks		
Degree of ownership over the process			

Legend	
High	
Medium	
Low	

Outcomes in Philippines

The preparatory activities for the National Event in the Philippines and the ICARRD Conference itself demonstrate the importance of negotiated dialogue and participation to foster sound development in rural areas. The Thematic Dialogue workshop initiated a horizontal and vertical process of dialogue among diverse civil society organizations and social movements and the government which were not networking previously. As a result, there is now a more open discussion on the future of national rural land tenure. Negotiations between Government and civil society are on-going regarding the next phase of the Agrarian Reform Programme. The "road to ICARRD" has stimulated this dialogue and made evident the long-term challenge of repositioning and stocktaking that both Government and civil society must do. The choice to bring "old" actors such DAR, as well as new ones – diverse social movements and political parties – to the National Event (Thematic Dialogue) was critical and strategically important.

The Thematic Dialogue and Country Study presented to the ICARRD Conference were highly appreciated by key actors in the Philippines and there is a proposal to create a national mechanism (similar to CONDRAFF in Brazil) for post-ICARRD dialogue in a more participatory and consultative fashion.

Figure 3 summarizes the primary stakeholders and their primary interest in policy decisions, and it provides a summary of their relative levels of potential impact, interests, importance and influence.

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence

Philippines	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities	Access to services and participation in policy process			
Private sector	Large Land owners			
Civil society	Join the debate over land reform and Territorial Development			

Secondary stakeholders				
Governmental institutions	Resolve land conflicts and sustainable rural development			
Collaborating organizations	Improve effectiveness of rural investment for the poor			

Legend	
High	
Medium	
Low	

In terms of the conventional stages of policy development[19], Figure 4 suggests that the experience can be mostly located in the implementation stage, although there are indications that subsequent national rural development polices where influenced by the achievement.

Figure 4: Classic stages of policy development and relevant entries from this case study

Stages	Relevant Examples
Problem identification	*Need to respond to demand for agrarian reform*
Priority setting	Create space for multi-stakeholder discussion in two countries
Policy formulation and design	Country Study process to increase participation in policy design
Passage of the policy instruments	*Existing laws but conflicting interest groups*
Implementation	International Conference Agrarian Reform and Rural Development
Evaluation	A plan for post-conference work exists

Italics = policy environment; Regular = areas of project intervention
(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

Analysis

The analysis of the case is based on the framework that is described in Volume I and is the result of a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three analytical dimensions: changes along the Policy Context; Champions; and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case study.

What changed over time?
The approach to rural development and agrarian reform at the international level; it demonstrated a socio-political rather than production focus. It involved all relevant stakeholders in negotiations and decision-making; moreover, the rights based capacity development resulted in the PNTA. The influence of champions, their networks and and their lobbying capacity increased over time. FAO staff opened informal civil society channels of communication. The road to ICAARD demonstrates that attempts to influence policy processes need to be considered from a long-term perspective.

If a broad group of stakeholders are to join in negotiated solutions, a number of enabling factors and situations need to come together at a given moment in time:

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[19] While this diagram suggests a linear flow, in fact the process is iterative and cyclical.

- A long-term strategy/vision (in this case on the part of FAO)
- Alliances, partnerships, relations and networks built-up over time
- Credibility based on long-term involvement by FAO on the ground
- Availability of resources for additional activities (e.g. Country Studies)
- Trust among stakeholders awarded on the base of the coherence of the strategy
- A decision to involve relevant stakeholders: private sector, civil society and government
- National and International convening power of FAO as a neutral convenor

What were the dynamics behind the change?
In both Philippines and Brazil the decentralization process increased the need to address agrarian reform, which became more urgent mainly due to the lobbying of civil society organizations. FAO funded and facilitated a process of country studies that provided information and allowed for the exploration of alternatives at local and national level. It was also the catalyser of ICARRD, an international meeting that allowed for exchange of experiences and thereby moved the issue out of everyone's back yard. The Country Studies provided FAO the opportunity to strengthen the momentum for policy reform. FAO was thus able to broker the process by encouraging major stakeholder groups within civil society to join with government to debate, negotiate, and act in a collaborative and equitable manner.

What emerged that was not expected?
The mechanism of the country study process allowed for increased representation of local groups in policy discussions and resulted in alliances and partnerships at national level that could continue dialogue with government. The instance that coordinated that type of dialogue in Brazil, The National Sustainable Rural Development Council, was seen by the Philippines to be an option for institutionalizing a representative and multi-stakeholder platform for dialogue there.

Working with such a diverse mix of stakeholders in Brazil and the Philippines was a first for FAO, where in the past it had customarily worked with a limited group of officials in each country. The Conference gave the participating countries an opportunity to explore how participatory policymaking is being done and to identify common lessons learned on national, state/provincial and municipal level. The quality of the case studies, together with the alliances achieved throughout the process constitutes one of the critical axis for the post-Conference work. In Brazil and the Philippines, there is now a strong effort to reform their approach to policy-making on agrarian issues looking at participation of civil society in formulating policy as a means of address power imbalances. The ideas and learning points arising from ICARRD are beginning to influence thinking on agrarian reform in a wider international arena beyond Brazil and the Philippines.

Cambodia

Poverty and Food Security Monitoring in Cambodia

Introduction to this series of case studies

This case study is part of a series prepared by the FAO Livelihoods Support Program (LSP) focuses on identifying the essential elements for having effective local participation in the evolution of a policy. Readers are referred to Volume I that develops a conceptual framework to guide the analysis of the case studies in this Volume. The case study collection is based on a range of projects and programs implemented by FAO over more than 10 years in eight different countries. Between 2000 and 2006, these countries received some technical and funding support for policy-related activities.

The case studies all follow a common structure and a common set of tools is used to summarize and visualize major dimensions. The conceptual framework in Volume I was developed in an iterative manner, integrating concepts from the literature in a dialogue with emerging patterns from cases. Each case study is co-authored by the FAO staff members who were closely involved not only in the projects, programs and experiences, but also in sharing insights and information with which the cases were developed.

Executive Summary

In 2003, the Government developed the Cambodian Development Goals to address poverty reduction and food security in the framework of the Millennium Development Goals. This was followed by the implementation of the Rectangular Strategy that focused on four growth pillars: the enhancement of the agricultural sector, private sector development and employment generation, continued rehabilitation and construction of physical infrastructure, and capacity building and human resource development. In 2001, laws were enacted to revitalize Commune Councils (CCs) regulating the administration and management of development planning at the local level. The CCs, however, were seen by most villagers as an arm of the central government.

FAO and GTZ commissioned the development and implementation of a methodology to monitor programs, to test it at the village level and to elaborate recommendations regarding communication mechanisms for policy dialogue and decision-making. The study documented the fact that, even when information regarding policy was collected at the commune and village level and it was transferred successively to district and national levels, it had not been used. On the basis of this study, a plan was put into place to strengthen the effectiveness of the Commune Councils and support District Integration Workshops (DIWs) that were already part of the decentralization strategy. The DIWs provide an opportunity for commune representatives to negotiate their development plans with responsible ministries, donors and supporting NGOs. The District Integration Workshops held in 2005 were a turning point in the participation of CBOs and CC in the national planning process because the specific objective was to motivate the Commune Councils to become involved in policy planning.

A communication strategy was developed to facilitate the information flow between different levels of government and to feed the results into national policies and strategies. The communication strategy supported more active participation of the Commune Councils in leveraging a response to their development needs. Although

the gap between local and national planning processes continues to exit, the choice to focus on communication for improving horizontal policy dialogue helped to improve the participation of civil society.

The Context

The first multiparty national elections in Cambodia were held in 1993 with the support of UNCTAD and by 1996 the government had begun a process of the decentralization of policy planning with the support of UNDP. Between 2002 and 2006, national level planning continued to function in centralized manner in spite of the fact that the decentralisation project called for proposals to be initiated at the local level.

Over the last two decades, the Cambodian political power structure has been influenced by turbulent historical events that heralded the transition from a communist regime towards the Royal Government of Cambodia. Presently, the Kingdom of Cambodia has three major political players: the Cambodian Peoples' Party (CPP), the United Front for an Independent, Neutral, Peaceful and Cooperative Cambodia (FUNCINPEC) and the Sam Rainsy Party (SRP). Multiparty national elections have been held in 1993, 1998 and 2003. The latter were both characterized by political conflict.

In 2003, the Government developed the Cambodian Development Goals to address poverty reduction and food security in the framework of the Millennium Development Goals put forward during the 1996 and 2002 World Food Summits. In 2004 the Cambodian Government elaborated the "Rectangular Strategy". The strategy was proposed by a coalition between the CCP and the FUNCINPEC to launch a national reform that would support capacity building in public institutions with regard to good governance and efficiency, improve economic growth to promote sustainable development and reduce poverty.

The core of the Rectangular Strategy is good governance through the reform of the legal and judicial systems, public administration and the armed forces. The implementation of the Strategy focused on: peace, political stability and social order; partnership in development with all stakeholders, including the private sector, donor community and civil society; a favorable economic and financial environment, and the integration of Cambodia into the region and the world. Four strategic growth rectangles were determined:

- enhancement of the agricultural sector
- private sector development and employment generation
- continued rehabilitation and construction of physical infrastructure, and
- capacity building and human resource development.

In turn, each of the strategic growth sectors had four elements. In the context of natural resource management these included:

- improved productivity and diversification of agriculture
- land reform and clearing of mines
- fishery reform, and
- forestry reform.

The Policy Environment

In 2001, laws were enacted to create Commune Councils regulating the administration and management of development planning at the local level. In addition, two inter-ministerial committees to facilitate decentralisation were established: the National Committee for Support of the Communes (NCSC) that addresses all issues related to the communes; and the Council for Administrative Reform (CAR) that addresses all issues related to the powers and functions of the districts and provinces. In February of 2002, the Chiefs of the Commune Councils (CC) were elected and a clerk was appointed by the Ministry of Interior to accompany each one.

The Commune Councils are civil society organizations in existence before the 2001 local development planning laws, but had been mainly concerned with water management, rice production, and basic needs of their members rather than with policy dialogues with the Government. In fact, they were seen by most villagers as an arm of the central government who collected information for planning that was aggregated at provincial level was transferred to the (national) Ministry of Planning. However, the information was seldom integrated into the national planning process that was geared to support international and national strategies such as the MDGs and sector strategies.

In 1995, when the FAO project activities began, the composition of the existing Councils was mostly Governmental and agricultural activities were administered by the Ministries of Agriculture, Fishery, Forestry and Rural Development.

The role of FAO

FAO and the Deutsche Gesellschaft fuer Technische Zusammenarbeit (GTZ), as well as other donors, decided to collaborate in support of the Cambodian Government's effort to achieve the Millennium Development Goals. Since 1995 FAO had been implementing the National Program for Food Security and Poverty Reduction (**NPFSPR**) while GTZ supported the Program for Rural Development (**RDP**[20]) in Kampot and Kampong Thom provinces. They partnered initially to strengthen monitoring of the impact of the poverty reduction and food security strategies.

Since 2002 FAO and GTZ have been contributing to a multi-stakeholder effort to support the implementation of the Cambodian Government's economic and social reform strategy within the framework of the National Program for Food Security and Poverty Reduction (FSPR) and the Community-Based Rural Development Program (CBRDP) respectively. The "Poverty and Food Security Monitoring in Cambodia–Linking Programs and Poor people's interests to Policies" project was put into place in 2005.

Together FAO and GTZ commissioned the Center of Advanced Training in Rural Development of the Humboldt University Berlin to develop a methodology to monitor programs, to test it at the village level and to elaborate recommendations regarding communication mechanisms for policy dialogue and decision making. The development of this methodology enabled the assessment of outcomes and impacts of the project activities with regard to poverty reduction and food security.

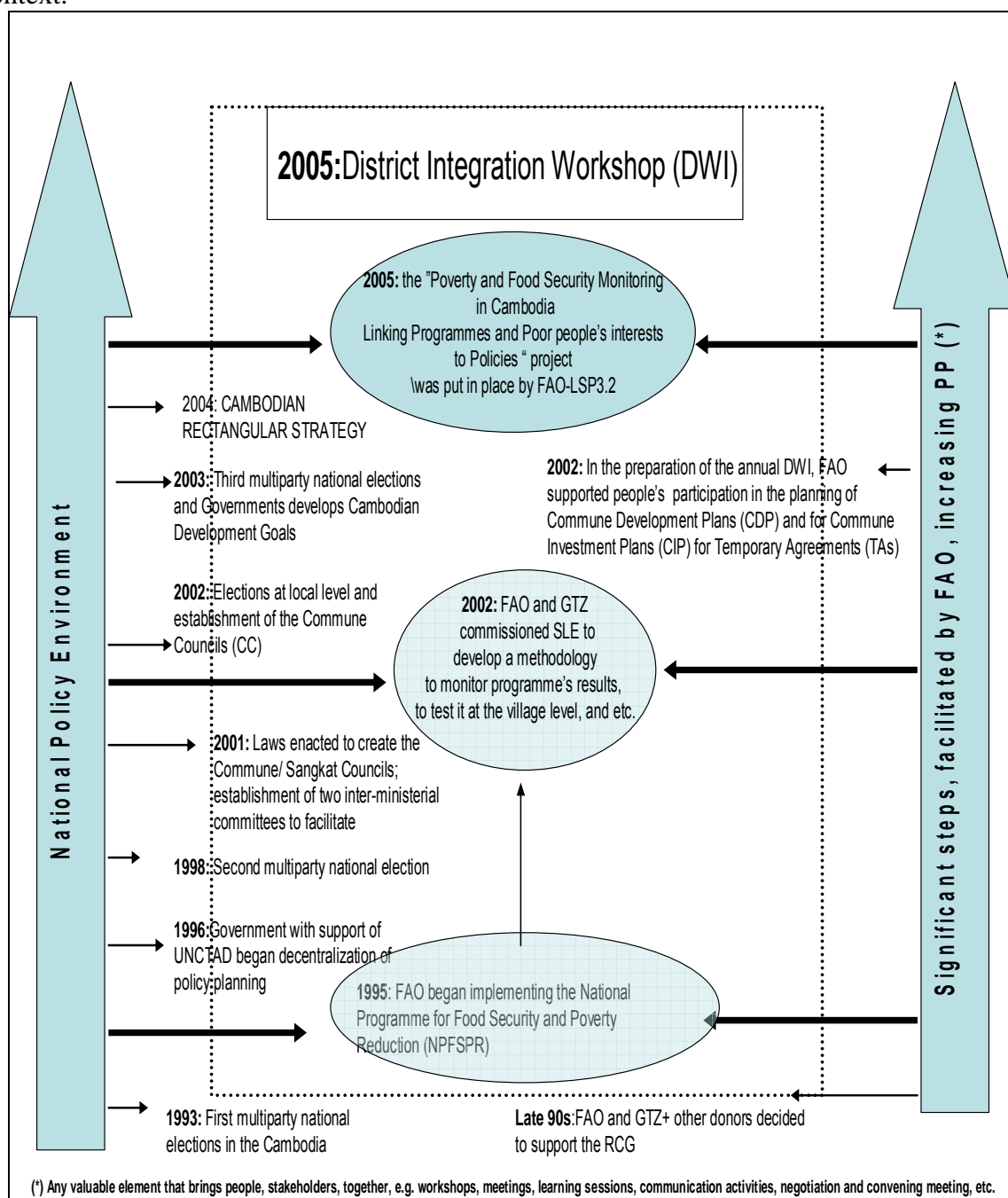The study documented the fact that, even when information regarding policy was collected at the commune and village level and it was transferred successively to district and national levels, it had not been used. It also demonstrated that the Commune Councils had

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[20] The RDP is an integral part of the international Fund for Agriculture Development (IFAD) funded Community Based Rural Development Program (CBRDP)

considerable potential to participate in policy dialogue as they had a long history in the country. Yet, due to scarce technical preparation in accounting, internal organization, and facilitation processes Councils were mainly concerned with primary livelihood aspects rather than voicing policy ones.

On the basis of these two major findings, the FAO and GTZ prioritized activities that would contribute to facilitating horizontal policy dialogue at the village level and to build capacity of the Commune Councils and other Civil Society Organizations to increase active participation in the policy making process. A plan was put into place to strengthen the effectiveness of the Commune Councils and support District Integration Workshops which were already part of the decentralization strategy.

Figure 1 provides a visual summary of the above two sections; it signals the major evolution of the policy environment together with the FAO projects and services that interacted in that context.

2005: District Integration Workshop (DWI)

2005: the "Poverty and Food Security Monitoring in Cambodia Linking Programmes and Poor people's interests to Policies " project \was put in place by FAO-LSP3.2

2004: CAMBODIAN RECTANGULAR STRATEGY

2003: Third multiparty national elections and Governments develops Cambodian Development Goals

2002: Elections at local level and establishment of the Commune Councils (CC)

2001: Laws enacted to create the Commune/ Sangkat Councils; establishment of two inter-ministerial committees to facilitate

1998: Second multiparty national election

1996: Government with support of UNCTAD began decentralization of policy planning

2002: In the preparation of the annual DWI, FAO supported people's participation in the planning of Commune Development Plans (CDP) and for Commune Investment Plans (CIP) for Temporary Agreements (TAs)

2002: FAO and GTZ commissioned SLE to develop a methodology to monitor programme's results, to test it at the village level, and etc.

1995: FAO began implementing the National Programme for Food Security and Poverty Reduction (NPFSPR)

1993: First multiparty national elections in the Cambodia

Late 90s:FAO and GTZ+ other donors decided to support the RCG

N a t i o n a l   P o l i c y   E n v i r o n m e n t

S i g n i f i c a n t   s t e p s ,   f a c i l i t a t e d   b y   F A O ,   i n c r e a s i n g   P P   (*)

(*) Any valuable element that brings people, stakeholders, together, e.g. workshops, meetings, learning sessions, communication activities, negotiation and convening meeting, etc.

The District Integration Workshops

District Integration Workshops (DWI) are held in each district of Cambodia annually and are a result of the UNDP-led decentralisation program, begun in 1996. The District Integration Workshops are the key pin of the local planning process and are seen as an important mechanism for insuring that the local participatory policy planning not only takes place, but are scaled up to national level.

In preparation for the annual DWI the communes in a district make a Commune Development Plan (CDP) and a Commune Investment Plan (CIP) with the active involvement of villagers in setting priorities.   Before going to the DWI, the plans are elevated to the Planning and Budget Committees, a body composed of representatives of Commune Councils (CCs) district wide. The Planning and Budget Committees (PBC) develop options for the involvement of villagers in implementing the proposed projects. For example, if a road construction is proposed, the PBC explores the possibility of interested villages contributing labor to the effort.

The DIWs provide an opportunity for Commune representatives to negotiate their development plans with responsible ministries, donors and supporting NGOs. The process leads to Temporary Agreements (TAs) which form the basis for project implementation during the subsequent year. Unfortunately, the funding capacity of the Government is limited and although 20 % of the project under TA in 2002 were in fact implemented.   The District Integration Workshops held in 2005 were a turning point in the participation of CBOs and CC in the national planning process because the specific objective was to motivate the Commune Councils to become involved in policy planning. In terms of the levels or participation, this means shifting from a compliance mode to one of consultation, and to a limited extent, of co-learning. This change is also reflected in changes in agency and influence.

Figure 2 Summary of relative changes across several dimensions of empowerment and the stakeholders involved.

Cambodia		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		▓▓▓
	Consultation		░░░
	Compliance	▓▓▓	░░░
Agency in support of Commune Councils and Rectangular Strategy	Action	▓▓▓	███
	Knowledge acquisition	▓▓▓	░░░
	Claims-making	▓▓▓	░░░
Influence over	Institutional structures and procedures	▓▓▓	███
	Alliances	▓▓▓	▓▓▓
	Networks	▓▓▓	░░░
Degree of ownership over process			░░░
		Legend	
		High	███
		Medium	░░░
		Low	▓▓▓

Outcomes

In preparation for the 2005 DWIs FAO and GTZ emphasized the importance of developing a communication strategy to facilitate the information flow between different levels of government and to feed the results into national policies and

strategies. As a result of pre-workshop activities, Community-Based Organizations (CBOs) have been strengthened. Capacity building and training on communication and project-proposal planning enforced CBOs' skills, knowledge, and competencies. The communication strategy supported more active participation of the Commune Councils in leveraging a response to their development needs. Although the gap between local and national planning processes continues to exit, the choice to focus on communication for improving horizontal policy dialogue helped to improve the participation of civil society.

Although the negotiating power of the Commune Councils remains limited, they are becoming political players who represent their communes at the district level. They are taking increasing responsibility for development in their communes and encourage the population to take part in this local planning.

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence.

Cambodia	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholder				
Local communities	Voice in setting priorities for development project planning			
Private sector				
Civil society	Strengthen Civil Society organizations for decentralization			
Secondary stakeholders				
Governmental institutions	Achieve development goals via the rectangular strategy			
Collaborating organizations	poverty reduction, food security and access to policy dialogue			

Legend	
High	
Medium	
Low	

In terms of the conventional stages of policy development[21], Figure 4 suggests that the experience can be mostly located in the implementation stage, although there are indications that subsequent national rural development polices where influenced by the achievement.

Figure 4: Classic stages of policy development and relevant entries from this case study

Stages	Relevant Examples
Problem identification	Effective use of local information for national planning
Priority setting	*Economic and social development*
Policy formulation and design	*Rectangular strategy with multi-donor support*
Passage of the policy instruments	*Commune Council law 2001*
Implementation	Capacity Building for Commune Councils
Evaluation	Food Security monitoring methodology

Italics = policy environment; Regular = areas of project intervention

(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

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[21] While this diagram suggests a linear flow, in fact the process is iterative and cyclical.

Analysis

The analysis of the case is based on the framework that is described in Volume I and is the result of a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three analytical dimensions: changes along the Policy Context; Champions; and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case study.

What changed over time?
The Rectangular Strategy based on trans-sectoral and multi-stakeholder involvement to reduce poverty set the development priorities for the Cambodian situation. The government enacted measures to the revitalize the Commune Councils so that they could become actors in planning for economic and social development. However, since the Councils had occupied themselves mainly with agricultural production issues and were seen by villagers as the arm of national government, they were incapable of taking on the desired role. At this point, the alliance between FAO and GTZ, both trusted actors on the Cambodian scene, identified the causes behind the lack of initiative on the part of the Commune Councils and made evident the need for mechanisms that could build local capacity and enhance information generation and sharing if the Councils were to become more active in local planning.

What were the dynamics behind the change?
FAO and GTZ contributed to a multi-stakeholder (donors, government) effort to support the Government's economic and social reform strategy by developing a methodology to monitor the food security program. In order to do this they commissioned a study that provided information to the government on the constraints to local participation in the decentralized planning process. Furthermore, via their country programs, they prioritized activities that would build the capacity of the Commune Councils and enable horizontal dialogue across civil society on policy. This increased capacity became evident at the 2005 District Integration Workshop where initial policy dialogue began between sectors and levels of government with civil society and the Commune Councils. The communication strategy created linkage mechanisms and trust among stakeholders that was not possible before. FAO and GTZ functioned as champions able to create networks that, without a neutral convener, had not been able to thrive.

What emerged that was not expected?
In order to make it possible for the Commune Councils to better negotiate their development plans FAO and GTZ put a communication strategy in place in preparation for the 2005 District Integration workshop. As a result, effective dialogue, between national and district level government with local government and civil society, on rural development policy was begun.

Honduras

Strengthening Local Government in Lempira Sur

Introduction to this series of case studies
This case study is part of a series prepared by the FAO Livelihoods Support Program (LSP) focuses on identifying the essential elements for having effective local participation in the evolution of a policy. Readers are referred to Volume I that develops a conceptual framework to guide the analysis of the case studies in this Volume. The case study collection is based on a range of projects and programs implemented by FAO over more than 10 years in eight different countries. Between 2000 and 2006, these countries received some technical and funding support for policy-related activities.

The case studies all follow a common structure and a common set of tools is used to summarize and visualize major dimensions. The conceptual framework in Volume I was developed in an iterative manner, integrating concepts from the literature in a dialogue with emerging patterns from cases. Each case study is co-authored by the FAO staff members who were closely involved not only in the projects, programs and experiences, but also in sharing insights and information with which the cases were developed.

Executive Summary

FAO collaboration with the Government of Honduras is a long-standing one. In 1989 it was requested to develop a program to deal with the results of a ten-year drought in the southern part of the Department of Lempira, close to the San Salvadorian border. The area lacked infrastructure and local institutions capable of implementing new decentralization policies, and 85% of the population was below the national poverty line. The program reinvented itself over time to take into consideration increasingly complex management systems as well as the need for spaces that could bring together different stakeholders to join forces for rural development. This case looks at a 15-year history through the eyes of professionals who have been monitoring the evolution in Lempira Sur for most of the period. The analysis addresses the kinds of changes that took place, the dynamics behind the change and some of the unexpected outcomes. A major lesson is that in order to influence policy it is necessary to bridge the dialogue gap between social and institutional actors. In other words, mechanisms for bottom-up communication are indispensable, and they need to be matched with a conducive policy environment.

The Context

Between 1987 and 1988, drought caused enormous damage in the south of the Department of Lempira, one of eighteen departments in the Republic of Honduras. The Lempira Sur region had received little support from the central government because of its remoteness. In response to the damage caused by the emergency, FAO provided a Technical Cooperation Project aimed at rehabilitation of the agricultural sector. This input coincided with the ongoing support to the emerging decentralization process provided through the Lempira Sur

Rural Development Project (PROLESUR) that was part of four watershed management projects implemented simultaneously in different parts of Central America[22].

Initially the first priority of the project –or entry point- was food security. The premise for achieving food security was that -given the majority of the population were subsistence farmers- it was necessary to ensure greater stability of local food production systems. Traditionally, local staple foods were produced on the hills of the Department, using very steep slopes (that averaged more than 30% height to length ratios). Slash and burn was the prevailing agricultural production system. This system of production relied on rotating field practices with a lengthy fallow period. It is not surprising that it entered a crisis in the seventies and eighties when intensification meant a reduced fallow period[23].

Slash and burn agriculture is a legacy from pre-colonial times and has a strong cultural value. In fact, slash and burn agriculture used to be a very sustainable agricultural practice as long as people could migrate freely from one field to another after each crop and leave the land fallow for some years. On the one hand, burning makes soil nutrients readily available while killing weed seeds; on the other hands, a significant amount of organic matter is lost, the soil is left without protection from erosion by rainfall, and many nutrients are lost through both volatilization and leaching.
Some key factors have curtailed its sustainability, namely:
• population growth in mountainous areas, which has rendered the possibility of migrating to new fields in the area after each crop increasingly unfeasible;
• the fertile, flat valleys soils are under the control of plantations, especially the fruit corporations
• massive introduction of livestock in tropical areas;
• introduction of the Green Revolution intensive production practices without addressing its limited relevance to hillside production systems;
• privatization and other changes affecting land tenure.

The first realization was that the local crisis could only be solved in the first instance with food which was produced locally. The second realisation was that the impact of the repeating droughts could have been minimized had the farmers adopted more sustainable production practices. It was thus eventually decided that the project would promote the adoption, on the widest possible scale, of sustainable agriculture practices that would increase organic matter, protect soil cover and thus facilitate the retention of rainfall on the land.

The fact that the project was structured with the aim of responding to a crisis that had a disruptive impact on all social groups helped bridge the gap between the better-off and the marginalized, thus creating the conditions for alliances between both with the common objective of jointly addressing the crisis.

The Policy Environment

In the early 1990s' many Latin America countries, including Honduras, began to decentralize governmental services and administration. The municipalities (which correspond to "districts"), date back to the colonial period, were beginning to take advantage of opportunities to attract external funds. In 1992 however, in the Department of Lempira there was very limited representation of the farming community in local government due to a

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[22] Proyecto de emergencia "Rehabilitación de las actividades agrícolas" TCP/HON/785, 1988, GCP/HON/016/NET).

[23] Lindeman, T. 2005. Decentralisation and Local Government Development in Rural Areas of Latin America. Land Reform, FAO Land Settlement and Cooperation. 2005/1: pp. 78-90.

legacy of previous local government institutions with limited representativity. Three levels of governance were relevant at the local level. The *patronatos* had decision-making power over neighbourhood associations. The municipal authority, the most powerful, was headed by the mayor; while at the departmental level the Governor had limited power to foster or control local development.

These institutions tended to be characterized by:

- **Clientelism** in the political power structure and dynamics. The institutional link between the household-community and the municipal level was weak. For example, the *patronatos*, also a legacy from the Spanish colonial time, were headed by a locally elected president that tended to be a representative of the local elites (mainly cattle ranchers) who seldom represented majority positions on household and community issues.

- **Communication and cooperation** was lacking between the *patronatos* and the municipalities, and community participation in decision making processes was limited.

The Agency of the Ministry for Natural Resources was the principal institutional link in the area. It was concerned with agricultural and animal production and was supposed to provide information and technical support in the project area. Although the Agency had created some local interest groups[24] there was only a weak enabling environment to support sustainable and people-centred development processes. Southern Lempira was an important security buffer zone between Honduras and El Salvador where political violence was raging. The Department was lagging behind in infrastructure; by at the end of the 1980's it still did not have any paved roads or electricity.

As in many parts of Latin America, alcohol abuse was a huge issue and the in Lempira Sur region it was so serious that most municipalities in the Department had imposed *a dry law.* During the 1980s and 1990s the Evangelical Churches focused on the importance of revaluating human beings and converting up to 50% of the Central American population. The Evangelist movement influenced people's attitude towards their social, economic and political role and raised awareness of people's capability to change their situation. Those people who did not abuse alcohol were highly respected. Family wellbeing increased, especially for women as alcohol related abuse decreased and monies that had been spent on it became more again available for household needs.

The role of FAO

The Lempira Sur Programme (PROLESUR) came into being to overcome the food security crisis caused during the droughts of the 1980s and the subsequent need improve agricultural production. The programme was implemented over a period of more than 10 years (starting in 1990 and ending in 2004) by the Government of Honduras with technical support from FAO and financial resources from the Netherlands. Between 1992 and 1994, the project prepared an action plan to address the deterioration of the mountainous land caused by slash and burn farming practices, low production and productivity, the limited number of local organizations and the geographical and political marginalization of the region.

The program built on the earlier experience of *Finca Humana,* a national NGO whose approach relied on people's capacity to improve soil fertility and to develop strategies based

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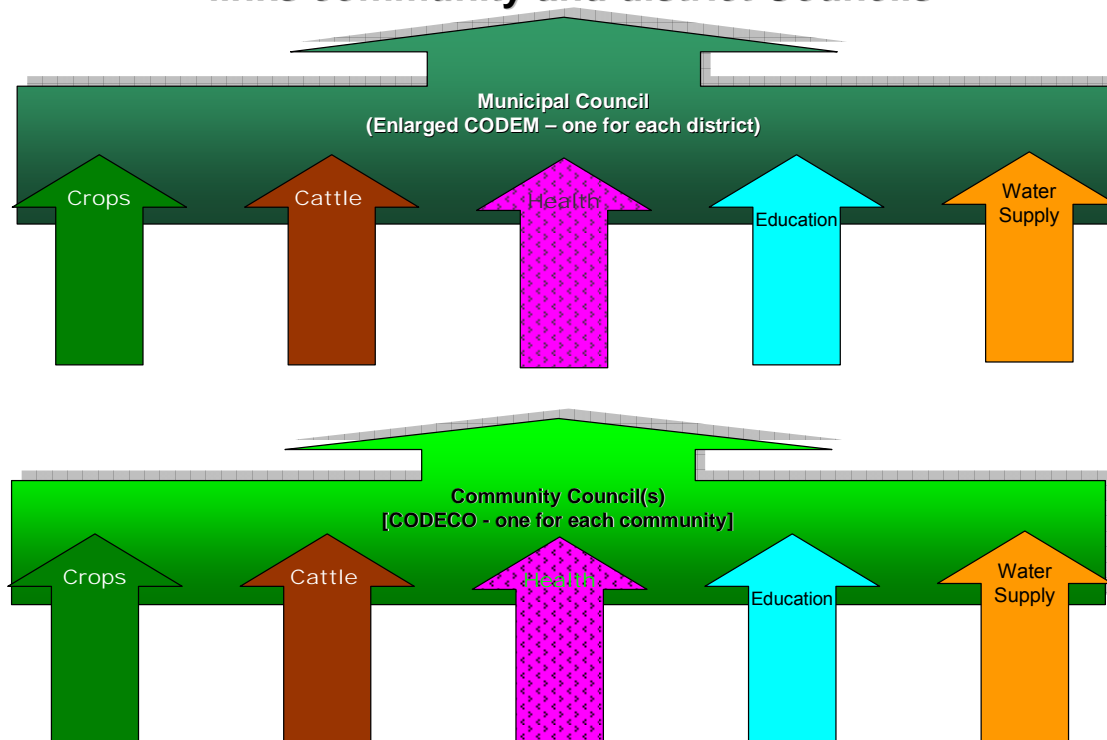[24] Anexo 4*, Informe de la Misión Técnica para el Proyecto de Gobernabilidad*, GCP/HON/026/NET.

on local knowledge and expertise. The NGO had begun by providing technical assistance to rural people, demonstrating the sustainability of new technologies. Then they facilitated alliances with local institutions and created regional networks to share these experiences. Their primary goal was to enhance people's participation based on local knowledge and local capacities. In a sense, the whole project was an up-scaling of *Finca Humana*. PROLESUR built upon many ideas, techniques, methods and principles from *Finca Humana*. For example, In the interests of long-term sustainability, Finca Humana (and the POLESUR project modeled on it) provided training, demonstration, and technical support for building human and social assets (in the livelihoods sense), but did not give gifts or subsidies for operational inputs.   Although the NGO had not operated in the Lempira area, project staff relied heavily on its experience, recognizing that the starting point for local development was peoples' knowledge. In fact, the very first operational action of the earlier PROLESUR phase had been a one month apprenticeship of all national project staff with Finca Humana in other parts of Honduras.

In 1995, the project broadened its scope to focus on sustainable natural resource management and rural wellbeing. Community members were identified who had enough credibility and the willingness to experiment with agricultural production strategies that could replace those of slash and burn. It is worth noting that these were neither official nor traditional leaders. Over a fourteen year period, and due to its high involvement of community members, PROLESUR turned its attention towards participatory approaches.

The idea to influence and change the existing policy environment and its structure came only in 1999, during the implementation of the second phase of PROLESUR when it became clear that in order to reach the goals of sustainable resource management and rural livelihoods, it would be necessary for the structure of the local political power to be reshaped. The fundamental and permanent orientation of the governance component of PROLESUR was to encourage local communities, producers and households to become more effective agents of their development process by empowering them to take autonomous decisions.

To create an enabling environment for people-centred development and to link households to Departmental government, the project supported the strengthening and/or creation of local governance institutions including Community Development Councils (CODECOs), Municipal Development Councils CODEMS and the *Mancomunidades* (associations of more than one municipality). The result was an enhanced capacity for informed decision-making from the bottom-up, good local governance and multi-level institutional linkages. In particular, it supported the construction of a local "chain" that could influence decision-making from the household to the municipal government and subsequently linking this work to the departmental level which had a noticeable effect on the governance processes within the municipalities that were involved.

Local governance with thematic standing committees links community and district Councils

Municipal Council
(Enlarged CODEM – one for each district)

Crops   Cattle   Health   Education   Water Supply

Community Council(s)
[CODECO - one for each community]

Crops   Cattle   Health   Education   Water Supply

Although the project staff interacted with the policy environment by lobbying and information exchange at all levels, the project did not impose prescribed mechanisms nor solutions. It explored spaces to influence local dynamics through the adoption of participatory approaches in local planning processes. Confidence in the project, stemming from demonstrated, improved production systems -and environmental sustainability over an eight-year period- enabled the project staff to be recognized as honest brokers in local planning and multi-level negotiations that resulted in increased human and social capital. This was largely due to the capacity of community members to organize and reflect their priorities in policy decisions. The high degree of synergy between the national and international project leadership, as well as their commitment and vision, were important factors in building credibility both locally and nationally.

From 1999 onwards, the project management's attention was concentrated on existing local organizations and enhancing community participation for a sustainable management of natural resources. The project was challenged to benefit both poor and rich. Thus the project prioritized issues of common interest in order to limit opposition from the more powerful by increasing possibilities for collaboration and alliances. In order to do this, two complementary parallel approaches were used. In the first approach, assistance was provided to build an enabling mechanism for Participatory Planning linked to the mayors and CODEMS at the municipalidad (district) level. In the complementary approach, attention was given to capacity building activities for key persons in participatory concepts and methods at both District and community level. These included:

- Encouragement for District governments to sponsor multi-stakeholder events, such as town-hall meetings and referendums, where people could voice their interests and needs.

- Training in organizational management for field officers and representatives of local organizations (including the emergent community-level CODECOs) in participatory planning.

- Training for mayors (and potential candidates) to enhance participatory local development and development management.

- Creation of the system of *Instituto Técnico Comunitarios* (ITC), brought five existing very mediore general schools to the level of <u>good</u> secondary schools of agronomy, one for each District in Lempira Sur. The ITC's new government-funded agronomist/ extension posts greatly improved school quality and provided the "brain trusts" for local mayors in designing their development plans.

The ongoing training provided at the CODECO (communities) level created important human resources. Those who had been trained were noticed by the mayors, who in turn began to involve them in their administration. This led to led the institutionalization of a participatory dynamic. Through cross-sectoral activities, households and communities were mobilized to manage natural resources and then to strengthen their social organization so as to manage institutional resources
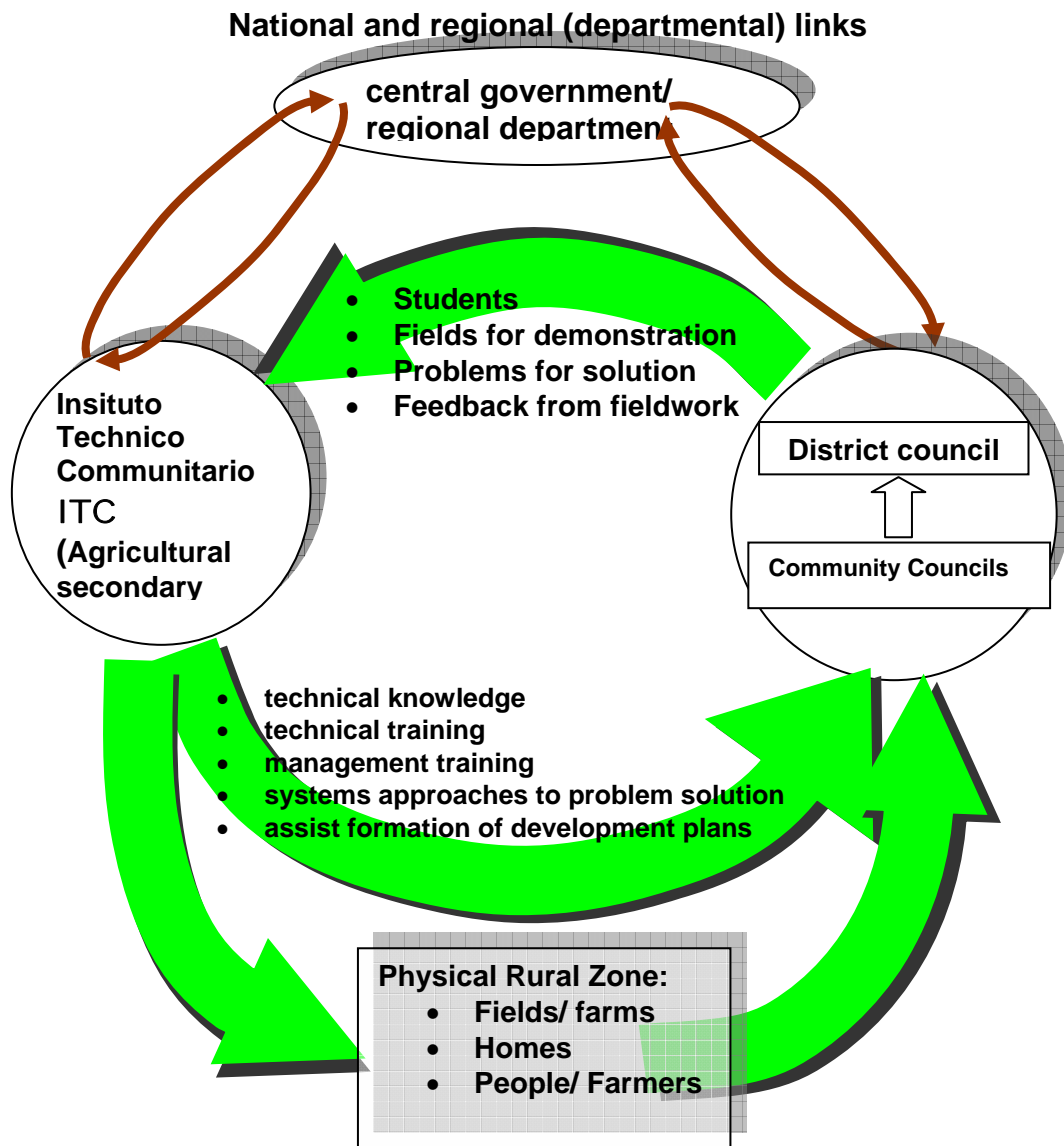

National and regional (departmental) links

central government/ regional department

- **Students**
- **Fields for demonstration**
- **Problems for solution**
- **Feedback from fieldwork**

Insituto Technico Communitario ITC (Agricultural secondary

District council

Community Councils

- **technical knowledge**
- **technical training**
- **management training**
- **systems approaches to problem solution**
- **assist formation of development plans**

Physical Rural Zone:
- **Fields/ farms**
- **Homes**
- **People/ Farmers**

Figure 1 Evolution of the policy environment in relation to FAO projects and services
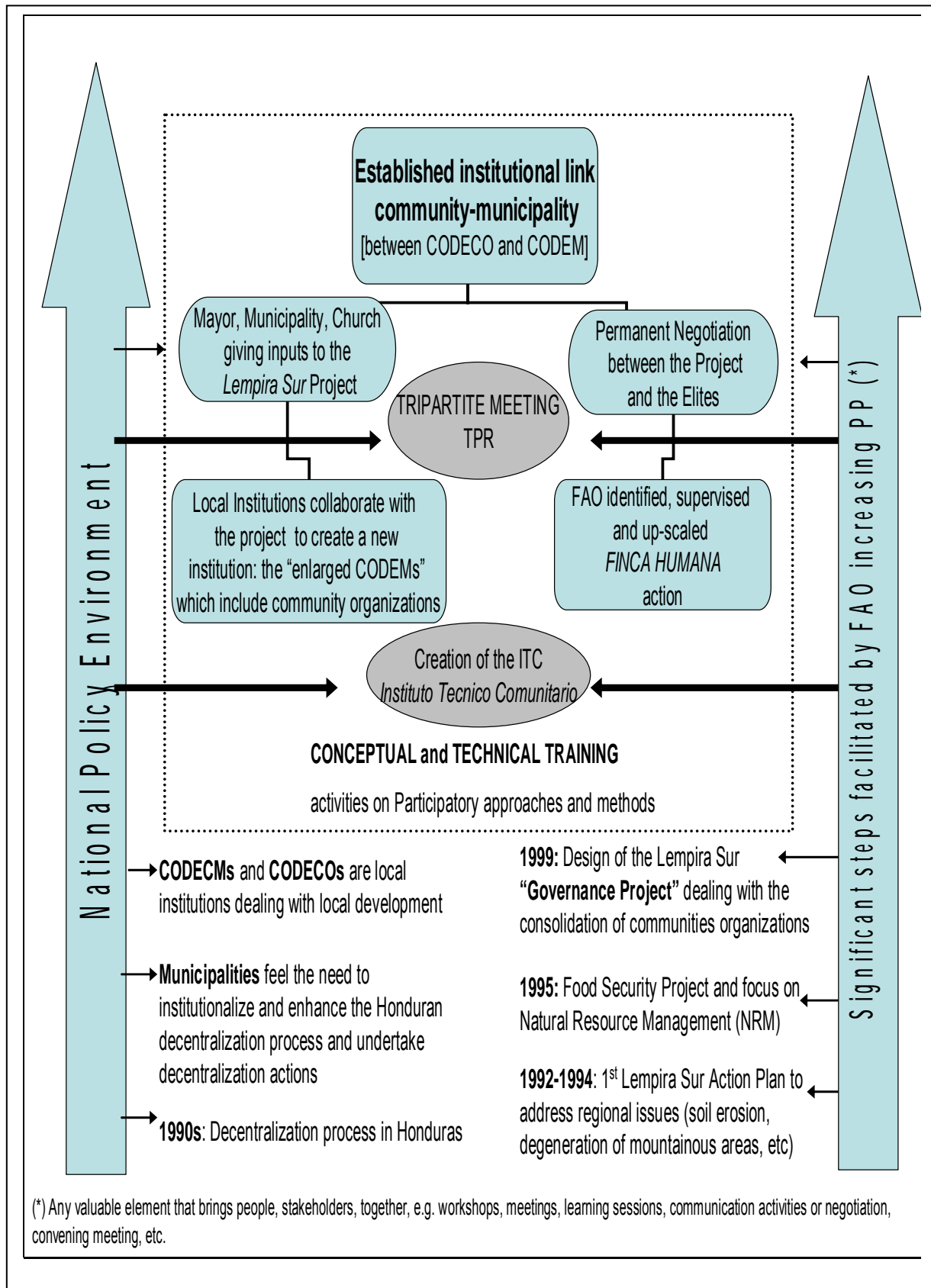
The Tripartite Meeting

PROLESUR became an example to emulate in Honduras in terms of successfully dealing with multidimensional issues and complex dynamics for local participation in planning. This leadership was consolidated with the opening of a space to prompt local institutional actors to emphasise governance issues and to view policy processes from a participatory perspective. PROLESUR facilitated participatory mapping exercises in a number of communities. Open discussions concerning community mapping criteria stimulated dialogue between communities and their mayors regarding issues of concern. These meetings provided singular opportunities for the project to understand the wider local context and to recognise the need to link actors via an efficient governance structure. This was a critical turn in a project which had earlier been focussing on local self-help through farmer's groups without however previously truly bringing in local government as a serious partner.

The community mapping exercises served as preparation for a meeting among the donor government (Netherlands), the government of Honduras and FAO held in 1999. The Tripartite Meeting (TPR) was a "Key Policy Event" in a broader process leading to the consolidation and institutionalization of a "municipal chain" structured through the Community Development Councils (CODECOS) and the Municipal Development Councils (CODEMS) with representatives from the CODECOS. The meeting resulted in an agreement from all parties on the usefulness of the strategy and led to a plan to formalize it. It should be noted here that this process took place from the bottom-up, but was greatly facilitated by the catalyzing capacity of FAO and other actors to engage both the government and the donor.

Figure 2 Relative changes across several dimensions of empowerment by the main local-level stakeholders involved.

Limpira Sur		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		High
	Consultation		Medium
	Compliance	Low	High
Agency in support of decentralization Process	Action	Low	Medium
	Knowledge acquisition	Low	Medium
	Claims-making	Low	Medium
Influence over	Institutional structures and procedures		Medium
	Alliances	Low	High
	Networks	Medium	High
Degree of ownership over process			Medium
		Legend	
		High	High
		Medium	Medium
		Low	Low

Outcomes

PROLESUR captured both the humanistic and land management experience of *Finca Humana*. Fairly early in its history this FAO project and its allied farmers had demonstrated the economic rewards from adopting project-related technical improvements. Widespread adoption of these improvements in hillside farming not only provided economic engine push changes along, but was also key in gaining access to a policy space and in order to interact with local stakeholders, the project and it's allied local farmers demonstrated the economic rewards of project-related technical improvements. T The degree of willingness of rural

people to participate in project activities and to become active in local change can be directly related to the capacity of the project staff to share with and listen to the local population, and to command a high level of moral respect. Collaboration of some communities with their mayors and municipal advisors over the life of the project created a space within which citizens could access local policy process. The debate for local policy development was directly linked to the identification of issues that were of common interest to both local elites and the poorest members of the region.

The impact of PROLESUR, in terms of participation for policy development and related outcomes, has to be linked back to historical and social elements characterizing the Lempira Sur department during the 1990s. When the project began, the 13 of the 18 mayors of the Lempira Sur Region belonged to a single political party. After 10 years, the mayorships were evenly divided between two parties. This is an indication increased participation in the political life within municipalities. The human element of the project, together with strong team interaction, created a strong sense of leadership at the national and international level.

The influence of the *Finca Humana* experience, together the collaborative strategy of the initial project leaders contributed to a direct dialogue with local people from the onset, and one which continued throughout the project. Participation as well as respect of local moral values within the project itself was given paramount attention. The immediate economic rewards and social gratification resulting from project activities reinforced people's interest. Trust was built because the staff was responsible and brought ethical values to bear on local problems. The discipline and technical training learned, resulted in increased solidarity within groups.

PROLESUR fostered an integrated approach to bridging governance issues with rural development issues. It concentrated on, and supported, horizontal linkages which led to the establishment of an inter-municipal linkages. At project level, impact can be attributed to:
- skilful work on the part of project team and its leadership
- resources (20%) dedicated to planning, evaluation and lesson learning that has contributed to develop social capital.

Indicators of increased influence and control by the poor over policy decisions include:
- revitalized existing institutions together with the creation of municipal organizations (CODEMs);
- cooperatives, initially promoted by the project but currently member-controlled;
- reduced incidence of human illness;
- resilience of the mountainous areas under conservation agriculture during the 1999 hurricane;
- amount of grain (maize) stored in local silos;
- increased community capacity to negotiate and collaborate with the government.

The results can—in good measure—be attributed to the fact that throughout its history, PROLESUR emphasized three fundamental aspects of governance, initially based on the experience of *Finca Humana:*
- Strengthening the political capacities at the municipal level through democratic elections and increased civic participation;
- Support to the organisation of local community management groups and
- Development of financial and administrative capacities.

Of particular relevance is the fact that local communities that had had limited power or influence, were among those most impacted by the policy; yet as shown in Figure 3, their level of agency increased significantly.

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence

Limpira Sur	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities	Improved access to local communication services	High	Medium	Low
Private sector	Improved Local Governance			
Civil society	Participation of the poor in the Municipal Development Plans	High	Medium	Medium
Secondary stakeholders				
Governmental institutions	Effective implementation of the Participation Law	High	High	High
Collaborating organizations	Increased participation for sustainable development	High	Medium	Medium

Legend	
High	(dark)
Medium	(grey)
Low	(white)

In terms of the conventional stages of policy development[25], the Lempira Sur Figure 4 suggests that the experience can be mostly located in the implementation stage, although there are indications that subsequent national rural development polices where influenced by the achievements.

Figure 4: Classic stages of policy development and relevant entries from this case study

States of Policy Development	Relevant Examples
Problem identification	*Poverty and lack of infrastructure, territorial vulnerability*
Priority setting	*Attention to frontier Department*
Policy formulation and design	Lobbying with central government for the bottom-up chain
Passage of the policy instruments	
Implementation	CODECOs and CODEMs established; a chain of bottom-up communication shaping priority seeting
Evaluation	

Italics = policy environment;   Regular font = areas of project intervention
(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

Analysis

The analysis of the case is based on the framework that is described in Volume I and is the result of a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three

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[25] While this diagram suggests a linear flow, in fact the process is iterative and cyclical.

analytical dimensions: changes along the Policy Context; Champions; and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case study.

What changed over time?

The project focused its initial activities at the farm level (livelihood strategies) and over an eight year period the team realized the need to address a broader natural resource management agenda. This in turn, led to the recognition of the need to address policy instruments at higher levels. By fostering the CODECOs and CODEMs, the project facilitated policy influence opportunities. The chain from family to community and onto municipality created opportunities for bottom-up influence at the municipal level. As shown in Figure 1, the Tri-partite Meeting was the policy event that evidenced the willingness of the donor government to recognize the bottom-up process and the local stakeholders. It is widely recognized in Honduras that the emerging rural development strategy influenced national policy though not permanently (Figure 4). Nevertheless, the CODECOs and the CODEMs continue to be instruments for policy dialogue and implementation.

What were the dynamics behind the change?

The capacity of the entire staff to listen and to coexist at the local level created a situation of empathy. The international expert's leverage was augmented with a national counterpart that was highly respected. The qualities of the champions were instrumental; together they assembled field staff that maintained a high project integrity that gained the project legitimacy in the field. They were also involved in lobbying at the national level and were well aware of the gaps that needed to be filled between bottom-up participation and top-down policy instruments and priority setting. Figures 2 and 3 provide evidence that the chain of communication from family all the way to municipalities as well as the association of municipalities, led to increases in the relative influence of the poor in municipal planning as well as in a number of other dimensions of empowerment.

What emerged that was not expected?

An attempt to improve soil fertility and food availability broadened its focus to include watershed management which led to the need for organizational mechanisms that could facilitate decision-making on common resources and then influence policy levels. While the project was most influential in operationalizing the implementation of the decentralization policies, its influence on national rural development policies was felt. The confluence of able leadership by effective champions, achievements at the natural resource level and a clear effort to search out opportunities for influence emerged as the key dynamics underlying achievements. In this sense the Lempira Sur Program may be best understood as a "policy experiment".

Mozambique
Land, Environment, Forestry and Wildlife Management

Introduction to this series of case studies

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Executive Summary

Over the past decade FAO has collaborated with the Government of Mozambique and non-governmental associations to support decentralization, land reform and community based natural resource management. One group of projects led to the formulation and implementation of laws regarding land use, environment, forestry and wildlife and provided training in legal and judicial matters. [26] Other projects supported civil society associations for Community Based Natural Resource Management (CBNRM) while a third set provided inputs into priority national development programs. [27]

The present case study is built around a project implemented in the Macossa District originally focusing on food security and, over time, broadening into land issues and community based natural resource management due to the fact that two of the largest protected areas in Mozambique, Manica and Gamboa are in the District.

Designing agricultural for food security in protected areas requires negotiation not only with the government but with the private sector. Here we look at how FAO was able to catalyze a multi-stakeholder negotiation over land use rights so as to begin to insure food security for residents of the protected areas.

The Context

Mozambique has been undergoing wide and complex institutional and economic changes, based on decentralization, which started in the 1990s and which in turn has led to more participatory policy making processes. Although bottom-up policy planning instruments had been put in place by the government, participatory policy design and implementation did not

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[26] TCP/MOZ/2235, TCP/MOZ/5612, UTF/MOZ/070/MOZ, UTF/MOZ/070/MOZ, TCP/MOZ/069/NET, GCP/MOZ/081/NET, GCP/MOZ/069/NET
[27] GCP/MOZ/027/BEL, UTF/MOZ/0074/MOZ, FAO/GoM/BSF.

follow. Even though The World Bank made loans to a number of districts directly, as a way of stimulating greater local participation in the development process, capacity at the district level to design and implement land, forestry and environmental policy and programs remains weak.

Three quarters of Macossa District, the location of this case study, is covered by hunting reserves (*coutadas*) under state stewardship. The land use laws assume that there are no communities living permanently on the *coutadas*. Within this context, the state licenses private operators for sport hunting and to manage the resources for purposes of eco-tourism. Nevertheless, the government has not been able to supervise the *coutadas* adequately, and this opened the way for widespread illegal exploitation of forest resources, and the spread of agriculture inside conservation areas.

At the same time, resident communities, who had little knowledge of the various legal restrictions that existed, nor an understanding of why they were there in the first place, continued to practice a mixed livelihood strategy of farming, beekeeping and hunting. Traditional organizations and customary institutions which have managed forest and wildlife were unrepresented in the government structure until 2000 when, by ministerial decree, traditional authorities were recognized as part of government in the civil society. In spite of the decree, the multiple and conflicting interests remained among the stakeholders (the state, private investors and local communities) for human agricultural development, wildlife protection, wildlife conservation enterprises.

In this context, the State was loosing potential tax revenue from the exploitation of the forest and wildlife resources by the private sector. The local government and the Provincial Forests and Wildlife Services, were unable to counteract illegal private sector activities, and thereby lost face with the resident communities whose livelihood was compromised by the new legislation. Those safari operators who had been awarded state licenses and those individuals involved in the illegal exploitation of the forest and wildlife resources for commercial purposes took advantage of the situation. A highly conflictive situation existed; on the one hand the resident communities claimed historic rights over the natural resources of the reserve areas and on the other, the State licensed private operators while making hunting by the resident communities illegal.

The Policy Environment

The national legislative framework encourages community participation at the district level planning From the 1990s onwards policy and institutional reforms have included a new approach to forest and wildlife resource management in which local people participate in the management and sharing of benefits[28]. Those responsible for implementing the legislation were advocating greater local participation in the management and control of natural resources, and policy-makers were in search of approaches that would help them to do this.

In order to implement the 1997 Land Law, some Districts invited community representatives, NRM-focused state agencies and NGOs to participate in planning for community land delimitation and community land consultations. However, a lack of coordination and understanding among stakeholders, combined with the diversity of community-based structures and organizations, were hindering efforts to support development forums and committees to deal with land, forest, wildlife and water on the reserve areas.
Simultaneously, The Ministries of Tourism and Agriculture were keen to mitigate the pressure over forest resources and wildlife caused by the animals and humans, one that was exacerbated during the war. Private safari operators and investors wanted the State to issue

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[28] For example, the Land Law of 1997 and the other Laws regarding local level planning and decentralization.

new hunting licenses so that they could keep local communities at bay. Local communities wanted to re-establish their ancestral and historical rights over the resources within the reserves although their management capacity was limited. Their livelihood strategies depended on hunting, the sale of forest products, beekeeping and crafts together with cultivation of arable land and forest using slash and burn techniques.

The role of the FAO

FAO was committed to supporting to encouraging participatory policy and local governance, enhancing. It was also clear that to increase communities' involvement in sustainable resource management there needed to be a more equitable share of the benefits from resource use amongst their members. To achieve these objectives, a number of FAO projects concentrated on integrated community-based actions and institutional capacity building local, at district, provincial and national levels. One strategy was the organisation and implementation of information campaigns, over a two-year period, to increase understanding of the 1997 Land Law and the Forest and Wild Life Laws.

Partnerships were formed among the Government, The Rural Organization for Mutual Assistance (ORAM), Magariro, Kulima and civil society organizations in selected areas. For example, in Nampula Province, ORAM facilitated the participation of community groups in the delimitation of community lands and mediation of conflicts. The instruments used included participatory land delimitation involving local horticultural associations, training of traditional and other community leaders, and encouragement of municipal assemblies. The municipal assemblies were seen as important venues for informing rural stakeholders on the content of the laws, the purpose and management of wildlife inventories, and the need for socio-economic surveys to identify income generation opportunities.

In 2003 FAO carried out three studies in different districts to bring together experiences in participatory policy development. Two of these looked at Natural Resource Management projects. A third one done in Macossa District, was on Land and aimed to find out how local people were making decisions regarding land concessions, land use and natural resource management. Following the study, a workshop was held that brought together some 40 participants from all levels of government government, the donor community, NGOs, the private sector and 5 traditional community leaders. The workshop analysed the main issues affecting the use of natural resources and their contribution to food security and nutrition.[29] A decision was taken to facilitate the negotiation between communities and the private sector by involving local populations in the implementation of policy reforms. Furthermore, it was decided that the experience was to be further built upon, and that a cross-district workshop would be organized where stakeholders could focus on rights to land and resources.

Figure 1 provides a visual summary of the above two sections; it signals the major evolution of the policy environment together with the FAO projects and services that interacted in that context.

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[29] Russo, Duty Travel Report Mozambique (22/09/03-05/10/03)

Figure 1: The interaction between the policy environment and FAO's contribution
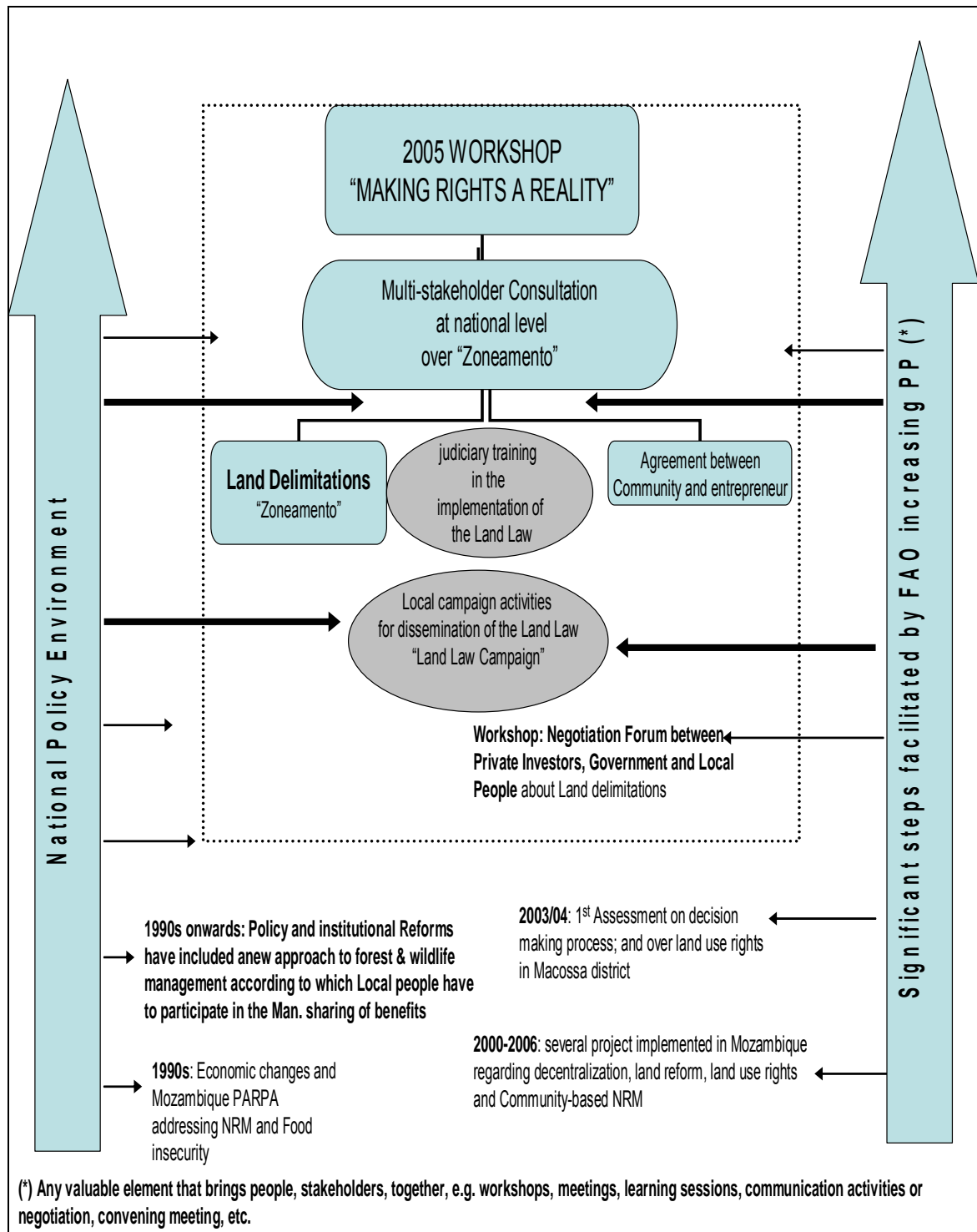
The "Making Rights a Reality" Workshop

The workshop that took place in Mocassa District led to a national workshop entitled *Making Rights a Reality* workshop. The decision to move the workshop to national level was taken because the studies carried out by FAO in 2004 showed that NRM and Land issues were similar in the three districts. It was felt that it was important to broaden the effort to clarify the land law and increase involvement in policy discussions. The objective of the workshop was to provide an opportunity to share the knowledge gained by the studies with local organizations, state authorities and NGOs as well as to provide a space to plan for the future. It was hoped that the experience would encourage other similar moments and spaces for dialogue and know-how sharing nation-wide.

During the *Making Rights a Reality* workshop, experiences from the three districts regarding land and natural resource management were shared. The main focus was on the implementation of the Land Law. A broad range of stakeholders participated and the workshop. Beyond information sharing, it provided an opportunity to reflect on steps that could be taken in the future to engage multiple stakeholders in ensuring land delimitation and NRM rights for local communities. Due to the broad content of the workshop it provided the first opportunity to bridge local and district level experiences with national level judiciary efforts in developing the Land Law.

Workshop participants got a deeper understanding of local conflict resolution mechanisms. It also became evident that there was a scarcity of knowledge on the part of local groups regarding the law and its implications. Government staff working on the Land Law recognized the need to intensify efforts in the areas of training and information. The fact that promising instruments such as the Land Law and national Land Policy were not easily implemented at district and local level was taken on board. In addition, the terminology in the text of the law that was not clear was identified; for example the definition of 'community' was vague and needed further qualifications. The Land Law states that a portion of the resources collected by the State from licences has to be returned to the "community", however, there was no definition of "community", nor an indication of how the money would be transferred and managed once it got there.

An unexpected result of the workshop was the signing of an agreement between the Government, a private investor with rights to one concessionary hunting area, and local chiefs, committing additional payment to the community for the use of the reserve land[30]. The agreement was a spontaneous outcome of the event and provides a precedent for collaboration between private investors and traditional communities that increases the incentives of the latter to manage natural resources in a sustainable manner.

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[30] The investor was from Zimbabwe and had experience negotiating with local communities and understood the value of negotiation and mutual benefit.

Figure 2 Summary of relative changes across several dimensions of empowerment and the stakeholders involved

Mozambique		Time Frame	
Dimensions	*Indicators*	Before	After
Participation	Co-learning		░░░
	Consultation		░░░
	Compliance		
Agency in support of implementation of Land Law	Action	▒▒▒	░░░
	Knowledge acquisition	▒▒▒	░░░
	Claims-making	▒▒▒	░░░
Influence over	Institutional structures and procedures	▒▒▒	███
	Alliances		░░░
	Networks		░░░
Ownership over the process		▒▒▒	░░░
		Legend	
		High	███
		Medium	░░░
		Low	▒▒▒

Outcomes

The project in Macossa dealt with community-based natural resource management and relied upon a legal framework which created important opportunities for local communities. The Land Campaign activities that resulted from the "rights workshop" favored participation and enabled local people to use their newly recognized rights to generate new income and improve their livelihoods. In spite of the opportunities created by the law, the number of procedures required to effectively involve local communities were deemed to be excessive in that they required permanent negotiation with the government with the help part of external agents; improving this remains a challenge for the future.

In spite of the relative success of the workshop there continues to be an imbalance between the time and commitment to participation on the part of traditional communities and the benefits they obtained from it. Multiple and conflicting interests among the principal stakeholder groups, lack of communication, co-operation and coordination among natural resource-user groups are constraints that need to be overcome. The limited capacity of communities to manage resources according to the Land Law and the lack of instruments in the hands of traditional leaders to reject private investors who do not comply with negotiated agreements, need to be addressed if progress is to be made in recognition of local people's rights. It should be pointed out however, that not all the communities have reached the same level of awareness regarding the relationship between their forest management practices the opportunities to achieve benefits for the community through forest conservation.

Although difficult to measure, it was also felt that there has been some improvement in community capacity to negotiate and collaborate with the state. For example, there are now community guards operating and there were cases of infractions presented to the State. However, minorities and marginalized groups continue to be limited in the expression of their opinions and needs. The participation of women has been very low in District Community Councils and administrative Post Community Councils, and language differences put heavy demands on representation and expression of ideas.

Initially the Ministry of Tourism was not particularly prone to reduce the number of lots that were available to private investors, and that would be affected by assigning part of the territories for the resident communities' subsistence activities. However as a result of FAO support to the design of a new zoning plan for the reserve areas, the Ministries realized that a viable solution to the invasion of the conservation areas was possible.[31]

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence.

Mozambique	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities	Right to and use of land Access to natural Resources	High	High	Low
Private sector	Licenses to reserve areas	High	High	High
Civil society	Resolution of conflicts over natural resources	High	High	Medium
Secondary stakeholders				
Governmental institutions	Reestablished state control over resources	High	High	High
Collaborating organizations	Mechanisms for participatory policy and implementation	Medium	Low	Medium

Legend	
High	(dark)
Medium	(grey)
Low	(white)

In terms of the conventional stages of policy development[32], Figure 4 suggests that the experience can be mostly located in the implementation stage, while the arrow signals that there are indications that subsequent national rural development polices where influenced by the achievement.

Figure 4: Classic stages of policy development and relevant entries from this case study

Stages	Relevant Examples
Problem identification	Studies carried out on NRM and Land in 3 Districts
Priority setting	Food Security and Management of Reserve Areas
Policy formulation and design	*Land Law and encouragement of peoples participation*
Passage of the policy instruments	*Legal Recognition of Traditional Authorities*
Implementation	Negotiation Form and Making Rights a Reality Workshop
Evaluation	

Italics = policy environment; Regular = areas of project intervention
(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

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[31] Nowadays the Ministry is interested in replicating the same model of operations in other *coutadas* in Mozambique. Case study of Macossa District: 152, 153.

[32] While this diagram suggests a linear flow, in fact the process is iterative and cyclical.

Analysis

The analysis of the case is based on the framework that is described in Volume I and is the result of a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three analytical dimensions: changes along the Policy Context; types of Champions; and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case.

What changed over time?
Over time FAO became conscious of the linkages among food security, land use and natural resource management, especially on reserve areas in Mocassa, but in other districts as well. A combination of expertise to understand the various dimensions of the issues at hand and a willingness to explore options for dealing with them by the government and donors alike, led to up-scaling the discussion. Legislation to recognize the Traditional Leadership of rural communities was critical to opening opportunities for grass-roots representation in the deliberations that took place in both the Mocassa Workshop and in the *Making Rights a Reality* event. The workshops also allowed different stakeholders to identify gaps in the Land Law that required clarification, as is the example of the definition of 'community' and the mechanisms to ensure payments can be sent to them and managed locally.

Although still in initial phases a common understanding with government and civil society partners is in the making and actions are being built on existing and traditional organizational structures in rural communities. Motivation by community groups to continue participating in the difficult process ahead includes sound technical assistance from state officials and NGOs to facilitate planning initiatives that involve complementary micro-projects that have an immediate impact on community livelihoods. The shift from local, to district and national levels of analysis is noteworthy, especially as stakeholders were able to witness that they are not alone with regards to the challenges of implementing the Land Law.

What were the dynamics behind the change?
The process was neither top-down nor bottom-up. Rather, FAO was able to able to broker information at both top and bottom and convene multiple stakeholders in order to initiate dialogue. The *Making Rights Reality* workshop evidenced the maturity of the process since it provided a platform for and exchanges from local to central government. The fact that FAO was providing technical assistance to a number of projects in Mozambique provided a network for information exchange and innovation.

The level and quality of participation in policy processes in rural areas depends on the quality of social capital that exists in a community that is evidenced in the robustness of democratic culture at a local level. Social capital at local was increased as a result of access to information regarding the Land Law, but also as a result of the workshops.

What emerged that was not expected?
The *Making Rights a Reality* event was in itself unexpected since the discussion and analysis of land policy was initially limited to Mocassa district. The informal FAO network in Mozambique was instrumental in scaling up the discussion on natural resource management issues that resulted in the event itself. One of the unexpected results of the event was the signing of an agreement between a Safari company and a local authority to contribute resources, over and above the license fee, to community development. The negotiation with

a private safari operator, who had been exposed to the benefits of negotiated agreements to share resources, resonates with the notion of a local champion who had an attitude that could become a role model.

SYRIA
Institutional Development for Food and Agricultural Policies

Introduction to this series of case studies

This case study is part of a series prepared by the FAO Livelihoods Support Program (LSP) focuses on identifying the essential elements for having effective local participation in the evolution of a policy. Readers are referred to Volume I that develops a conceptual framework to guide the analysis of the case studies in this Volume. The case study collection is based on a range of projects and programs implemented by FAO over more than 10 years in eight different countries. Between 2000 and 2006, these countries received some technical and funding support for policy-related activities.

The case studies all follow a common structure and a common set of tools is used to summarize and visualize major dimensions. The conceptual framework in Volume I was developed in an iterative manner, integrating concepts from the literature in a dialogue with emerging patterns from cases. Each case study is co-authored by the FAO staff members who were closely involved not only in the projects, programs and experiences, but also in sharing insights and information with which the cases were developed.

Executive Summary

During the 1970s and 1980s Syria underwent a gradual policy reform process in the direction of deregulation and liberalisation. The process was characterized by a set of national structural adjustment measures and stabilization programmes aimed, among other things, to allow participation of the private sector in the development of national economic policy.

In 1997, within the framework of the transition process, and upon a request from the Syrian Government, FAO put in place a policy assistance project[33] with funding provided by the Italian cooperation programme. The objective of the project was to provide institutional support for the development and analysis of agricultural policy in Syria. The project focused on institution and capacity building, policy research and information management.

The project was implemented in three phases. During the first phase, advice was provided on the re-organization of the Ministry of Agriculture and Agrarian Reform (MAAR) in line with the new roles that it was expected to play in a market oriented economy. The second phase supported the creation of the National Agricultural Policy Centre (NAPC) for research and dissemination. The third phase focused on consolidating institutional sustainability through monitoring, communication and networking on policy with multiple stakeholders.

This case is particularly interesting because although it describes the creation of a conventional policy research unit, it provides the first opportunity for more systematic policy analysis and public policy debate.

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[33] FAO GCP/SYR/006/ITA in the Syrian Arab Republic.

The Context

Since the 1960s, agriculture was regulated on the basis of five-year plan approved by the Supreme Agricultural Council. Annual plans determined areas for cultivation, crop distribution, rotation systems and cultivation practices. Farmers sold their produce to state marketing corporations and companies at prices fixed by the Supreme Agricultural Council. Agricultural credit was provided exclusively by the state and the policy framework was geared to food self-sufficiency rather than self-reliance.

Changes in the external environment (bilateral, regional and international agreements), growing competitions for imports, improvement in information systems and increasing availability of foreign investment has raised greater awareness of the need for policy reform in order to better respond to sectoral needs[34].

By the mid 1990s, the demand for institutional reform intensified to allow for private sector initiatives, attracting foreign investments, modernising the public administration and promoting competitiveness on the international market. The Syrian private sector was pressing for a greater role in the policy making process and a reduction in the number of functions performed by the government.

The Role of FAO

FAO and the Italian Government began a joint effort in 1997, at the request of the Syrian Ministry of Agriculture and Agrarian Reform (MAAR), to train its staff so as to facilitate the modernization of the administration. A study[35] was commissioned to a pair of international specialists in sociology and public administration that recommended the creation of an independent institution, to deal with policy research and analysis and contribute to the modernization the Ministry of Agriculture. The idea to establish the National Agricultural Policy Centre (NAPC) came about in 1999, and was approved by the Syrian Government in 2005 after a visit to INEA in Italy[36].

The organisational structure of the Centre was designed in 2006. The NAPC governance mechanism includes a scientific committee that meets every six months with international and Syrian members. An Inter-Ministerial Commission endorses the work done and the research agenda. The Centre is organized in four divisions; Agro-Food, Trade, Rural Development and Information and Communication. A database has been set up to manage information on agricultural policy and a specialized research library, open to the public, established. Since the beginning, training in team building and team work has been organized to improve the organisational skills of the staff of the Centre. Over a seven-year period, capacities have been built up in each of the four research areas and incentives provided to motivate the staff to take on the challenge of policy research. Three-hundred MAAR staff members have been trained and thirty-three were selected to join Centre staff.

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[34] MG Queiti personal observation
[35] FAO-Government of Italy Cooperative Programme, Project GCP/SYR/006/ITA, End of Assignment Report, by C. Fiorillo, Damasco, p. 8, 2005.
[36] The institutional model was based on the Italian Instituto Nacionale di Economia Agraria (INEA) and the French Institute Nacionale de Rechersche Appliqúe (INRA)

Initially, research was carried out by external consultants and Syrian personnel supported the data collection effort. As a result of the capacity building effort, Syrian NAPC staff has taken ownership of the research process while international consultants have continued to provide back-up.

Figure 1 shows the context and the role of FAO signaling major evolutions of the policy environment and relevant interactions with FAO projects and services.

Figure 1: The interaction between the policy environment and FAO's contribution
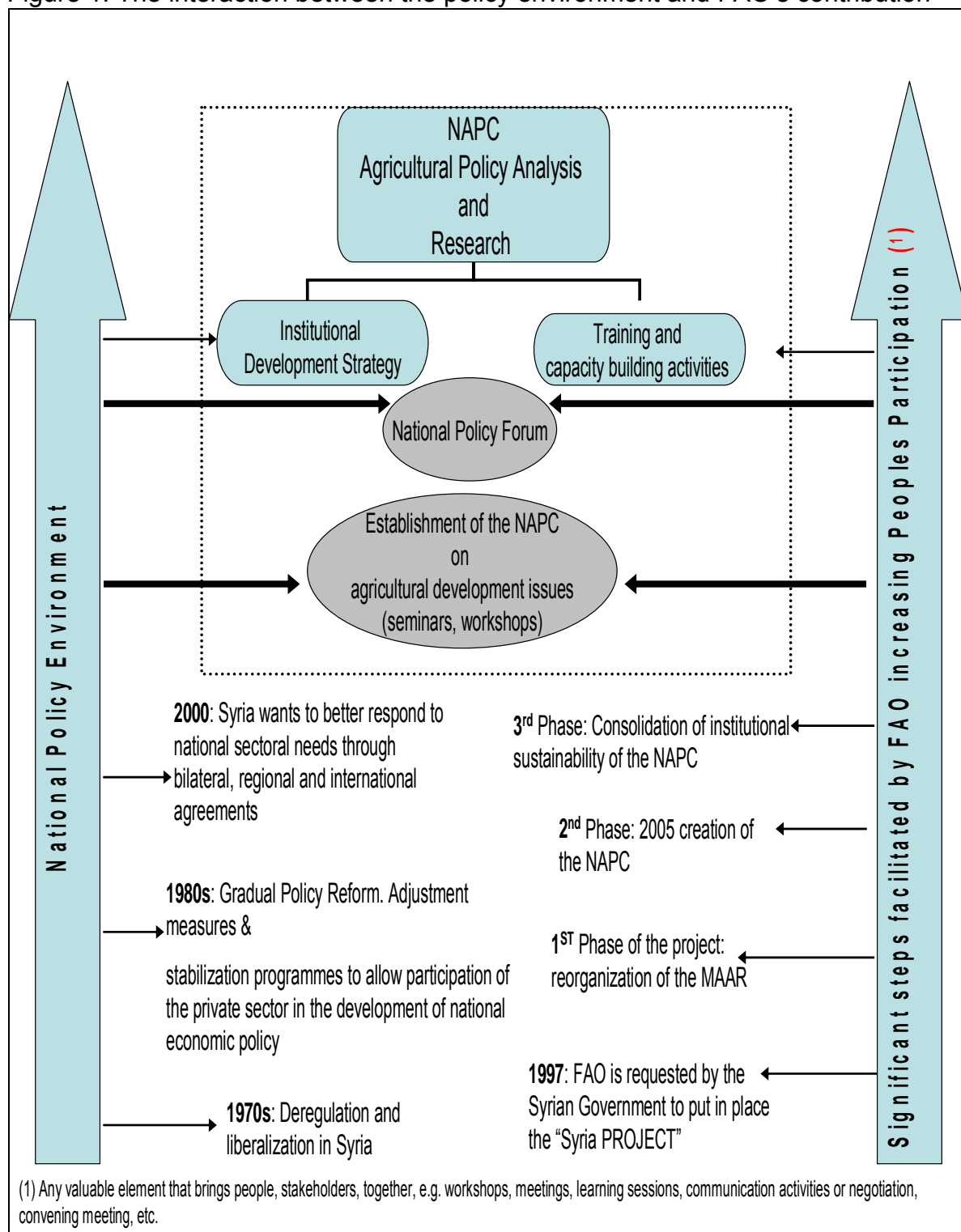
Consolidation of the National Agricultural Policy Centre

The National Agricultural Policy Centre (NAPC) is a well recognized and reputed centre of applied policy research in Syria, and is part of the Near East and North Africa Network on Agricultural Policies (NENARNAP) facilitated by FAO. The Centre provides analysis and advice for the sustainable development of Syrian Agriculture and its delivery capacity identifies it as an agent of change.

NAPC carries out policy research and makes data and analyses available to the public. For this it disseminates information on the analytical process, the results of studies and their implications for the policy options. It organises a formal National Policy Forum annually where politicians, policy-makers, academics and the general public are made aware of findings from the researchers themselves. In addition to sharing research results, the NAPC organises meetings, seminars, and publishes research-related documents via an official web page.

Figure 2 Summary of relative changes across several dimensions of empowerment and the stakeholders involved.

Syria		Time Frame	
Dimensions	*Indicators*	**Before**	After
Participation	Co-learning		
	Consultation		
	Compliance		
Agency in support of participatory policy process	Action		
	Knowledge acquisition		
	Claims-making		
Influence over	Institutional structures and procedures		
	Alliances		
	Networks		
Ownership over process			
	Legend		
	High		
	Medium		
	Low		

Outcomes

Collaboration among the Syrian Government, FAO and the Italian Agency for International Cooperation has positively influenced the Syrian policy environment and its dynamics by consolidating the policy analysis capacity of NAPC. Contributions have been made in the areas of:

- **Institutional Development.** Creation of and support to NAPC, an independent organ of MAAR specialized in policy analysis, focused on strengthening advice and promoting debate and awareness on agricultural policies through diverse communication mechanisms and the Agricultural Policy Forum.

- **Agricultural Policy Analysis and Advice.** Support to and training in agricultural policy research including its argumentation and communication to various national stakeholders.

Although communication to the public tends to be one-way, there is room for the incorporation of feedback into the analytical process when it is felt to be appropriate.

- **Training.** Preparation of a cadre of specialized staff for the NAPC, MAAR and other Ministries and related Institutions able to cope with policy formulation, analysis and monitoring and evaluation in a new economic environment.

- **Information.** Support to the various functions of the Information and Communication division of the NAPC, including publications, a newsletter, and edition and maintenance of an intranet and internet web sites.

Through research, communicative and consultative activities, the project has delivered and transferred instruments and capacities (ideas, materials, technologies) and has allowed the formation of an incipient policy community.

The assistance to develop such policy capacity and environment has been provided by FAO by establishing NAPC as a separate Centre for policy analysis for the agriculture sector. The Centre is placed under an Inter-ministerial Commission to ensure linkages with all the institutions dealing with agriculture. It has already promoted specific policy studies of immediate relevance to the Syrian reform process and the organization of data related to agriculture.

It has also supported the production of two periodic publications; one of them serves as a reference for monitoring developments in agricultural trade. Its objective is to assist Syria's reform process by increasing its outward orientation, and building up a network of bilateral and multilateral agreements to accelerate the country's economic development. The second, The State of Food and Agriculture of Syria (SOFAS) is issued biennially and aims to support economic and social development in Syria by stimulating debate on agricultural policies and facilitating the mobilization of stakeholders for policy reform process.

As a result of the project activities a national ***policy community*** has been formed and consolidated composed of government officials, of academics from Syrian universities and organisations from civil society[37] (e.g. Federation of Chambers of Agriculture, the Peasant Union, the Chambers of Commerce, and private sector entrepreneurs). Civil society organizations receive information produced by the NAPC and participate in the national Policy Forum and other activities of the NAPC open to the Public;

The organisation of an agricultural data base has been established and a public access library has been set up. Information products have been devised so as to ensure a regular flow of information among a broad base of stakeholders. The NAPC's Agricultural Policy Forum provides a new model for knowledge construction and more democratic form of policy development. The process is built upon a dialectic exchange among the various stakeholders and policy makers leading to more consultative processes based on analyses of alternative policy options.

The establishment of an institution, like NAPC, has begun to have an influence on communication and debate among agricultural policy stakeholders with policy makers. It represents a first but important step in democratizing the policy making processes. It might be said that the NAPC has become a kind of 'policy entrepreneur' with potential for

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[37] M.G. QUIETI, IRSA CONGRESS, Working Group 29: changing framework of Agricultural and Rural Policy, Subgroup: National Strategies in a Liberalising Environment. Support to institutional Development for Food and Agricultural Policies: The case of Syria, p.14.

mobilising interest, shaping the terms of the policy debate and creating consensual knowledge in the country on major reforms in the agricultural sector. From this point of view, the effort has contributed to Syrian agricultural development by strengthening the capacity of the Ministry of Agriculture and Agrarian Reform (MAAR) in agricultural policy analysis, formulation, implementation and monitoring in support of the transition towards a market oriented economy.

Figure 3 Primary stakeholders and their stake in policy decisions: relative levels of potential impact, interests, importance and influence.

Syria	Primary interest in policy decision	Potential impact of policy	Relative importance of interest	Influence (power) of group
Primary stakeholders				
Local communities				
Private sector	Participate in and influence development of economic policy			
Civil society	Access knowledge on research done and influence policy			
Secondary stakeholders				
Governmental institutions	Implement economic transition via market-oriented policy			
Collaborating organizations	Support institutional modern-ization via policy research			
Legend				
High				
Medium				
Low				

In terms of the conventional stages of policy development[38], Figure 4 suggests that the experience follows several of the linear stages: from problem identification and priority setting (the consultants' study), to the establishment of the NAPC, and the launching of activities. These can be mostly located in the implementation stage, although there are indications that subsequent national rural development polices where influenced by the achievement.

Figure 4: Classic stages of policy development and relevant entries from this case study

Stages	Relevant Examples
Problem identification	*Modernize MOA for free market and private sector*
Priority setting	Create a research-based agricultural policy centre
Policy formulation and design	Establishment of the NAPC
Passage of the policy instruments	National Centre for Policy Analysis and Policy Forum
Implementation	Capacity development and launching of activities
Evaluation	

Italics = policy environment;   Regular font = areas of project intervention
(Note that while this table suggests a linear flow, in fact the process is iterative and cyclical)

Analysis

The analysis of the case is based on the framework that is described in Volume I and is the result of a participatory policy process that takes place over time, provides a relevant technical content, and involves local to national linkages, and more and more frequently international actors and stakeholders. On the basis of the description of these features, we now look more closely at how participation in policy development increased (or did not) using three analytical dimensions: changes along the Policy Context; Champions; and changes in Stakeholders and/or Organizational roles. The dimensions are described in Volume I and have emerged as relevant to the assessment of influence in participatory policy development in the review of this case.

What changed over time?
Commitment of the Government of Syria to allow for private sector initiatives and competitiveness on the international market including a reduction in the number of functions performed by government.

What were the dynamics behind the change?
The response of FAO to support the modernization of the Ministry of Agriculture beginning with a study of needs and resulting in a proposal to create the National Agricultural Policy Centre with collaboration from the Government of Italy. Only once the Centre had been created, was capacity-building focused on. This contributed to the modernization of the MOA by insuring 1) that well-qualified researchers, members of a semi-autonomous unit, would provide information for policy discussion and 2) that other units of the MOA would have staff with increased capacity.

What emerged that was not expected?
Through its annual Policy Forum, the Centre is bringing the issue of agricultural policy into the public arena and is laying the base for the involving broader sectors of the society in its development

Annotated bibliography

Apthorpe, R. (1997) Writing development policy and policy analysis plain or clear: On language, genre and power. In *Anthropology of Policy: Critical Perspectives on Governance and Power*, ed. C. Shore & S. Wright, pp. 43-58. London and New York: Routledge

This chapter analyses the 'genre' of policy writing, with attention to how often it relies on a persuasion language, rather than an information one. There is reference to a study done for UNRISD (known as Global-2) about the language use in green revolution studies. For example it contrasted the use of terminology by UNRISD and by IRRI and found the language reflecting a different overall approach, the first agency focused on dependency issues by peasant producers, while the latter took on a modernization perspective.
The paper analyzes the vocabulary of aid: Participation, like community, "'Community' (and 'participation') are other sure-fire winning words...living blameless lives of their own in language, policy and analysis of whatever hue....It is the one type of term, along with, for example, 'cooperation' and 'participation' which has never been used in a negative sense. ..One crucial characteristic of these sorts of keywords is that they do not require an opposite word to give of enhance their meaning. They acquire much of their winning warmth from their popular meanings in everyday usage. A further characteristic is that, as a rule, they are not ever put to serious empirical test - or if they are, and they fail, they continue to circulate in good currency nevertheless. The projects they herald may be evaluated, and whether they are winner or not is another matter. (pp. 53-54)
The chapter closes with a reflection on policy language: "The languages of policy and policy analysis seek power through characteristically uttering policy problems as though they could be solved by 'closing gaps' in research information by the provision of new and appropriate neutral data. But what are called information 'gaps' are not only that. They also represent some making, and taking, of social, cultural and political distance. Being not just empty, they are therefore not merely awaiting to be closed by 'science'. The same is true of so-called 'gaps' between 'theory' and 'practice'. The are not voids, but already crowded spaces of moral practices and biases, so to say 'full' already of pre-, con- and mis-conceptions - without which of course life and policy would be un-writeable (and unreadable). (p. 55)

Dietvorst, D. (2001) *Stakeholder Participation in Sector Reform: Tentative Guidelines Based on Field Experience from Sub-Saharan Africa*. Eschborn, Germany: GTZ.

The promotion of sector-wide approaches from the early 1990s onwards, especially in sub-Saharan Africa, can be seen as a reaction to the often-disappointing achievements of decades of development efforts in crucial sectors, such as health and agriculture. Since 1997, a series of regional seminars and training workshops have helped to establish a regular platform for the exchange of experience between implementers of sector wide approaches. From the very beginning, participants to these events have consistently put stakeholder participation on the agenda as an issue in need of further exchange. However, available policy documents and the international (donor-dominated) debate tend to focus on participation in the planning and design phases. Little information is available on how to manage participation during implementation. The need for an exchange of practical close-to-the-ground information on participation in sector reform led, among others, to a regional forum held in Zambia, devoted entirely to this topic 2. In order to capitalise upon the available practical experience, GTZ prepared this paper for the Strategic Partnership with Africa. Its main purpose is to provide support to policy makers and implementers of sector wide approaches. A secondary objective is to inform the current debate on Poverty Reduction Strategy Papers. Stakeholder

participation in the context of national poverty strategies will most certainly be confronted with many of the same administrative and operational challenges of sector wide approaches. This paper adopts a practical and implementation-oriented focus, which means that the concept of stakeholder participation is necessarily more broadly interpreted as is usual. Although there will be some discussion of processes of stakeholder consultation and bottom-up planning, this paper is more concerned with how different actors can be supported to play their part in the development of a sector by making optimum use of the available opportunities of sector reform.

Experience will never stop telling us that even the most carefully and consultatively crafted plans are bogged down by the day-to-day realities of implementation. Inevitably, in sector reform, after an initial (and promising) consultation phase, there is the sobering realisation of the many hurdles limiting effective stakeholder participation along the rest of the programme cycle. It is difficult to avoid getting trapped in the vicious circle of 'planning-evaluation and replanning', yielding a growing string of (bigger and better) sector plans. This paper hopes to at least contribute to a move away from the theory, by looking for practical responses close to the implementation-hurdles themselves.

The issue of stakeholder participation from a practical, result-oriented angle will be further discussed in chapter two. Chapter three presents key experiences with stakeholder participation largely drawn from the findings of seminars and workshops in the sub-Saharan region. Finally, chapter four analyses this information along a series of crosscutting concerns, summarised in a number of tentative guidelines in chapter five.

P. 38 has a summary of the guidelines.

Feagin, J., Orum, A. & Sjoberg, G. (1991) *A Case for the Case Study*. Chapel Hill and
        London: The University of North Carolina Press

There are several fundamental lessons that can be conveyed by the case study:

1. It permits the grounding of observations and concepts about social action and social structures in natural settings studied at close hand.

2. It provides information from a number of sources and over a period of time, thus permitting a more holistic study of complex social networks and of complexes of social action and social meanings.

3. It can furnish the dimensions of time and history to the study of social life, thereby enabling the investigator to examine continuity and change in life world patterns.

4. It encourages and facilitates, in practice, theoretical innovation and generalization. (pp. 6-7).

Ford, N., Odallo, D. & Chorlton, R. (2002) *Communication from a Human Rights
        Perspective: Responding to the HIV/AIDS Pandemic in Eastern and Southern Africa*,
        Unicef. Nairobi and Pretoria: Unicef and UNAIDS

In UNICEF's human rights approach to programming, communication is explicitly recognized as both a right and a means to claiming other rights. Communication occurs constantly as people make daily decisions, explore strategies for surviving and coping, discuss norms and standards to apply in their communities, absorb and apply new information and experience and affirm themselves. This continual "communication buzz" reflects existing power relationships and can therefore either support or constrain people's choices. People adapt and change their survival and coping strategies as the communication buzz around them makes new information available, or places it in a different context. They make decisions by assessing their situation, analyzing its causes, and acting, which leads to a situation that must then be re-assessed, continuing the cycle. This "Triple -A" construct represents a process of "learning by doing. "

Hendriks, C. (2005) Participatory storyline and their influence on deliberative forums. *Policy Sciences*, **38**(1), March, 1-20 PACTS/Research/Hendriks.pdf

Abstract. For all the recent discussion on the virtues and vices of public deliberation, surprisingly little attention has been given to how deliberative procedures actually operate in different policy contexts. This article takes up this task with a specific focus on how deliberative designs such as citizens' juries and consensus conferences interface with their participatory context. The concept of the participatory storyline is developed to describe the competing narratives associated with a policy issue on who constitutes the public" and how "they" should be represented and involved in the policy process. An analysis of two Australian cases reveals how existing participatory storylines can productively or destructively influence deliberative forums. The empirical research suggests that a more productive deliberative procedure is one that supports or "speaks to" existing narratives on what constitutes public participation. Under these conditions key policy actors are more likely to engage in the deliberative process and endorse its outcomes. Some suggestions are provided for how practitioners can better anticipate the way a deliberative forum might interface with its participatory context.

Horton, D. (1999) Evaluation of Capacity..Capacity for Evaluation.
        Http://www.capacity.org/2/level3editorial.html. *Capacity.Org*, July

This note explores the synergistic relationship between evaluation and capacity building, and argues for building strong internal evaluation in capacity-building programs (CBP).

Development agencies in the North and governments in the South are placing increased emphasis on strengthening the capacities of organizations and institutions to play effective roles in development efforts. This stems from the failure of many technically oriented development efforts to produce lasting or sustained results and from growing "aid dependence" in many poor countries. Capacity building is seen as a way to strengthen local organizations and institutions so they can assume a greater role in planning, managing and sustaining development efforts in an era of declining external aid. There are many types and levels of capacity, ranging from the professional capacity of individuals to the capacity of entire nations to manage their affairs. In this note the author is concerned mainly with the intermediate level of organizations and institutions.

Lightfoot, C., Ramírez, R. & Noble, R. (1999) Putting the learning into participatory approaches: Four dimensions to understand. Deepening Our Understanding and Practice: A Conference on Participatory Development and Beyond. Ottawa, Canada, 25-27 August.

This paper is about the importance of learning in participatory approaches and about how ISG introduced this dimension through "Linked Local Learning" workshops. Part one of this paper describes and compares participatory methodologies using four dimensions:
· Methodologies through time
· Learning space versus data gathering
· Hard versus soft system tools
· Ownership and the nature of participation
Part two explores what we call The Learning Space, and Part 3 describes how this was put into practice in a Linked Local Learning exercise in Kenya. The paper concludes with a set of key issues that organizations should attend to when trying to put a learning dimension into participatory approaches. Linked Local Learning is an approach that changes the way people address issues and partnerships. It is a process that focuses on changing skills and building

alliances. Furthermore, it is an approach where the nature of the organization facilitating the process matters as it must be in position to give up control over the resources that drive the exercise. For practitioners, the paper makes reference to a CD-ROM that captures this experience in the form of learning resources. It offers downloadable files, slides and evaluation tools.

Lindquist, E. (2001) *Discerning Policy Influence: Framework for a Strategic Evaluation of IDRC-Supported Research.* Making the Most of Research: Research and the Policy Process. Ottawa: IDRC.

 "The purpose of this paper is to survey the academic literature pertinent to these questions and to develop a conceptual framework that will guide a strategic evaluation of the policy influence of IDRC-sponsored projects. Informing such a framework requires a wide ranging review of several analytic approaches which includes writing on knowledge utilization, policy communities and networks, policy-oriented learning and conflict, and agenda-setting. This work, no matter how diverse and perhaps bewildering, nevertheless provides useful guidance, and need not lead to developing an overly complicated framework to guide the strategic evaluation. It is critical that readers and evaluators alike have a sufficiently nuanced understanding of how research and other activities might achieve policy influence in order to ask the right evaluative questions and to select pertinent case studies. In short, the IDRC strategic evaluation must be guided by a robust yet sufficiently refined framework that generates reasonable expectations about research and policy influence, develops an appropriate research design, and produces useful findings that can guide or illuminate future IDRC projects." ...(IDRC-CD brief)

Lotz, J. (1998) *The Lichen Factor: The Quest for Community Development in Canada.* Nova Scotia, Canada: UCCB Press " Like every other word, 'community' has a history of effective use -and simplistic misuse." (p. 90)

A refreshing review of community, that complements the above rather static one, is offered by Jim Lotz, who has written about the quest for community development in Canada {Lotz, 1998}. Lotz refers to the work of Victor Turner (1920-1983), a Scottish anthropologist who proposed the concept of communitas to address the complex social systems of rituals, ceremonies, symbols and practices that characterize a community. Turnes makes reference to the Latin work limen, the root word for 'limit' in English, and 'liminality', to connote a condition for people who begin falling between the gaps in the system, they no longer belong. Turner describes the rituals in some traditional societies that are used to bring 'liminal' members back into a community. "Turner studied a wide range of liminal people…Whole societies have lost their autonomy because they did not develop rituals and practices to handle new demands upon them when confronting liminality." {Lotz, 1998: 109} Turner uses communitas to describe the process that can or might occur as societies and individuals seek new ways of tracking old problems. He adds "…community cannot be imposed on people or programmed by government. It offers mystery, liminal spaces and sacred places, new avenues for personal and collective development to those willing to confront their own beings at the deepest level, rather than relying on the many quick fixes offered to assuage the ills and fears of materialism and individualism {Lotz, op.cit. 111}. Community then is where communitas happens. Lotz concludes that "…community development offers spaces and places for exploring new ways of tackling problems… Through trial and error, new opportunities for revitalizing society emerge, providing maps for others to follow as they move into uncharted terrain in human development. "(p. 112)

Macqueen, D. & Bila, A. (2004) *Gleaning on Governance: Learning from a Two Year Process of Forestry Policy Support to ProAgri*, Forest Governance Learning Group Mozambique. Maputo: IIED and UEM.

Part of the executive summary reads: A number of partner organisations recently undertook a two-year process of forest policy support to Proagri in Mozambique (including Universidade Eduardo Mondlane, UICN-Mocambique, CTA, the International Institute for Environment and Development and Indu for Oy). The two year time frame was never going to allow for wholesale reform to the forest sector in Mozambique. What it did do, however, was to provide support for a number of promising policy processes – initiated primarily by DNFFB. From these processes, a great deal has been learned about how to improve forest governance and how to manage the balance of power between the various interest groups with a stake in forest governance. This report outlines a little of what was gleaned about good forest governance from the tactics which attempted to make forest policy work in Mozambique. We highlight some important issues that needed to be addressed, what worked in the tactics adopted by DNFFB together with the policy support team, what did not work and what could be done to improve the situation.

McGee, R. (2002) Conclusion: Participatory poverty research: Opening spaces for change. In *Knowing Poverty: Critical Reflections on Participatory Research and Policy,* ed. K. Brock & R. McGee, pp. 189-205. Earthscan: London

Policy spaces are those instances in which 'intervention or events throw up new opportunities, reconfiguring relationships between actors within these spaces, or bringing in new actors, and opening the possibility of a shift in direction' (Grindle and Thomas, 1991).   They can be varied: invited spaces or autonomously created; one or multiple types of actors present. Spaces can be used to develop counter-narratives to challenge dominant discourses some spaces exclude some actors from having meaningful participation. "Participatory poverty research seeks to open up policy spaces, or exploit existing ones, in ways that make policy more favourable to poor people. Poverty policy spaces differ from one another by origin, main function, the actors who occupy them, and the kinds of knowledge the dominate them." (p. 190)
Figure C.1 provides a preliminary typology of poverty policy spaces. The following dimensions are used in the typology: Original space: invited (by the project) vs. autonomously created (by the grassroots. Dynamics of the space: Policy deliberation, knowledge construction, inter-relational, advocacy, or action for change. Occupants: International donor actors, central government actors, local government actors, academics and analysts, participatory researchers, NGO actors, CBO actors, poor women, men and children. Dominant knowledge: generalizable quantitative poverty data Vs Popular perceptions, priorities and forms of expression. (p. 191).

North, D. (1990) *Institutions, Institutional Change and Economic Performance*. Cambridge, UK: Cambridge University Press "Institutions are the rules of the game in a society..."(p3)

"Organizations provide a structure to human interaction." (p. 4) Institutions are the rules, organizations are the players. Organizations are agents of institutional change. Organizations are created with purposive intent in consequence of the opportunity set resulting from the existing set of constraints... and in the course of attempts to accomplish their objectives are major agents of institutional change." P.5) "The major role of institutions in a society is to reduce uncertainty by establishing a stable (but not necessarily efficient) structure to human interaction." (p6) "The costliness of information is the key to the costs of transacting, which

consist of the costs of measuring the valuable attributes of what is being exchanged and the costs of protecting rights and policing and enforcing agreements." (p. 27)

ODI (2006) *Policy Engagement for Poverty Reduction - How Civil Society Can Be More Effective.*, Briefing paper No. 3. London: ODI PACTS/Research/CSO engagement in policy making-ODI Briefing paper 2006

The promotion of sector-wide approaches from the early 1990s onwards, especially in sub-Saharan Africa, can be seen as a reaction to the often-disappointing achievements of decades of development efforts in crucial sectors, such as health and agriculture (annex 1). Since 1997, a series of regional seminars and training workshops have helped to establish a regular platform for the exchange of experience between implementers of sector wide approaches (annex 2)1. From the very beginning, participants to these events have consistently put stakeholder participation on the agenda as an issue in need of further exchange. However, available policy documents and the international (donor-dominated) debate tend to focus on participation in the planning and design phases. Little information is available on how to manage participation during implementation. The need for an exchange of practical close-to-the-ground information on participation in sector reform led, among others, to a regional forum held in Zambia, devoted entirely to this topic 2. In order to capitalise upon the available practical experience, GTZ prepared this paper for the Strategic Partnership with Africa. Its main purpose is to provide support to policy makers and implementers of sector wide approaches. A secondary objective is to inform the current debate on Poverty Reduction Strategy Papers. Stakeholder participation in the context of national poverty strategies will most certainly be confronted with many of the same administrative and operational challenges of sector wide approaches.

Shore, C. & Wright, S. (. (1997) *Anthropology of Policy: Critical Perspectives on Governance and Power*. London and New York: Routledge

Anthropology of Policy argues that policy has become an increasingly central organizing principle in contemporary societies, shaping the way we live, act and think. This book shows how anthropological approaches to policy can provide insights into a range of contemporary issues, from equal opportunities to health care, from AIDS to housing policies. Despite the importance of policy as a key institution of modern society, it remains curiously under-theorized and lacking in critical analysis. In questioning and explaining policy's language and its links with power, the contributors challenge the accepted notion of policy as rational and progressively linear and pave the way for further research.
This abstract from:
http://books.google.ca/books?id=vBi_8HA0QuYC&dq=review+of+Anthropology+of+policy:+Critical+perspectives+on+governance+and+power&psp=1

Susskind, L. & Cruikshank, J. (1987) *Breaking the Impasse.* USA: Basic Books

A review of alternative approaches to solving distributional disputes (table 3, p 78)

In conflict assessment, 4 types of stakeholders emerge; those:
- standing to claim legal protection
- with political clout
- with power to block negotiated agreements
- with moral claims to generate public sympathy (p. 103)

Fairness of negotiated settlements:

- was the process open to public scrutiny?
- were all the groups who wanted to participate given an adequate chance to do so?
- were all parties given access to the technical information they needed?
- was everyone given an opportunity to express his or her views?
- were the people involved accountable to the constituencies the ostensibly represented?
- was there a means whereby a due process of complaint could be heard at the conclusion of the negotiation?

What counts most in evaluating the fairness of a negotiated outcome are the perceptions of the participants. The key question is: "Were the people who managed the process responsive to the concerns of those affected by the final decision?" (p. 21)

Swanson, L. (2001) Rural policy and direct local participation: Democracy, inclusiveness, collective agency, and locality-based policy. *Rural Sociology*, **66**(1), 1-21

During the closing decades of the twentieth century, the federal government has experienced a period of delegitimization and fiscal crisis that has led to decentralization of some federal programs and a fledgling revival of community- and place-based policies. These and other locality-based policies are not new tools. The renewed interest in this type of policy raises questions about their effectiveness. Historic and recent records of locality-based policies suggest that they are not panaceas for achieving programmatic goals. Three cases provide an empirical, comparative basis for assessing the liabilities of locality-based policies: the Third New Deal efforts to institute county land-use planning; Mexico's experiences with community forestry; and emerging grassroots ecosystem management movements in the western United States. Among other factors, the degree of local democracy and inclusiveness and the quality of local social, economic, and physical infrastructures are identified as important in mediating effective policy implementation.

The success or failure of locality-based programs, as a policy tool, will depend on the interplay of several factors:
1. The presence or absence of local democratic decision making processes;
2. Inclusion, either direct or by representation of local stakeholders;
3. A local civil society in which civility and local civil institutions facilitate a broad dialogue;
4. A degree of local social infrastructure to provide the capability for informed discussion;
5. A capacity for emergent community agency which channels local energy and expertise into sustained problem solving;
6. The presence of physical, economic, and social infrastructures that facilitate rather than inhibit civic responsibility and community agency;
7. A partnership with key extra local stakeholders, particularly government agencies and NGOs that account for the local program's embeddedness in the larger political economy. (pp 17-18)

Tooke, J. (2003) Spaces for community involvement: Processes of disciplining and appropriation. *Space and Polity*, **7**(3), December, 233-46

Abstract: Proposals for greater community involvement in local governance run through much 'New Labour' policy. Studies suggest that often the performance criteria tied to participatory mechanisms act to discipline citizen voices. This paper considers the ways in which this political space might simultaneously enable citizens to appropriate governmental power to their own ends. It draws on empirical evidence, gathered during qualitative research in south-east London, to focus on contestations surrounding the way in which 'voices' are expressed. The paper highlights the role of practitioners as allies in struggles to counter policy-makers' expectations for citizens to speak the 'language' of government.

Yin, R. (1984) *Case Study Research: Design and Methods*. Beverly Hills, London, New Delhi: Sage Publications

A case study is an empirical inquiry that:
- investigates a contemporary phenomenon within its real-life context; when
- the boundaries between phenomenon and context are not clearly evident; and
- multiple sources of evidence exist (p. 23)

Case studies in evaluation research:
- explain the causal links in real-life interventions
- describe the real-life context in which an intervention has occurred
- an evaluation can benefit from an illustrative case study, journalistic
- explore situations in which the intervention being evaluated has no clear, single set of outcomes.
(p. 25)

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