

*A participatory approach to identifying and preparing small scale rural investments*

### PARTICIPATORY IDENTIFICATION OF LOCAL INVESTMENT PRIORITIES



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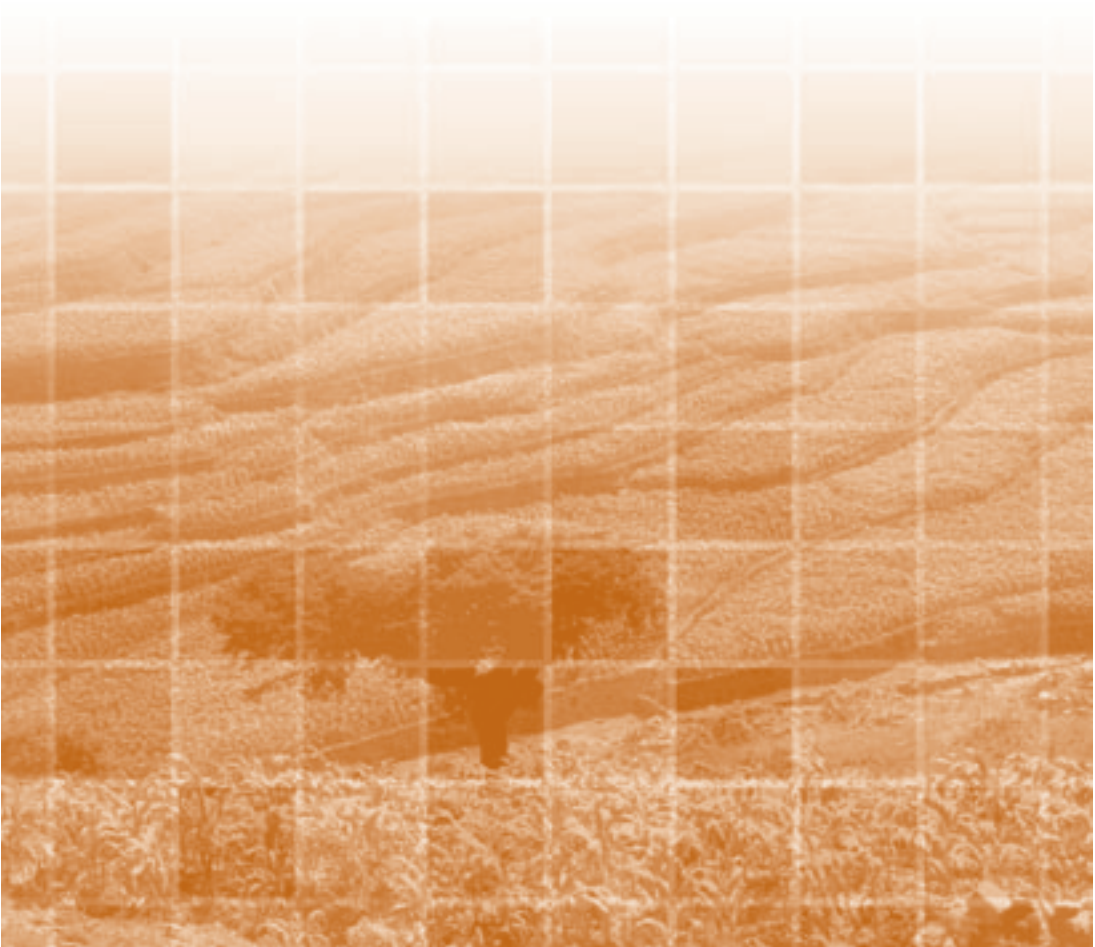
# Table of Contents

<b>I. INTRODUCTION TO RURALINVEST</b>	<b>2</b>
A. The Purpose of RurallInvest	2
B. The Special Nature of Rural Investments	3
C. Type and Scale of Projects Appropriate for RurallInvest	3
D. The RurallInvest Modules	4
E. RurallInvest Users	6
<hr/>	
<b>II. INTRODUCTION TO MODULE 1</b>	<b>10</b>
A. Why a Participatory Methodology?	11
B. What is Systemic Analysis?	11
C. What Precautions are Needed with Systemic Analyses?	11
D. What is a Gender Perspective?	11
E. How to Prioritize Rural Investments?	11
F. Organization of the Module	12
<hr/>	
<b>III. PARTICIPATORY DIAGNOSTIC STUDY</b>	<b>14</b>
A. Preparatory Activities	14
B. Participatory Diagnostic Workshop	14
C. Results Analysis to Rank Problems and/or Challenges	16
<hr/>	
<b>IV. PLANNING LOCAL DEVELOPMENT</b>	<b>20</b>
A. Identification and Selection of Priority Actions	21
B. Preparation of the Local Rural Development Plan	23
<hr/>	
<b>ANNEXES: GUIDELINES FOR THE PARTICIPATORY DIAGNOSTIC STUDY</b>	
ANNEX 1: Guidelines for Analysing the Population and its Characteristics	24
ANNEX 2: Guidelines on Territory, Natural Resources and Environment	29
ANNEX 3: Guidelines on Main Economic Activities	34
ANNEX 4: Guidelines on Local Institutions and Organizations	41
ANNEX 5: Guidelines on Social and Productive Infrastructure	44



# Chapter I

## INTRODUCTION TO RURALINVEST



# I INTRODUCTION TO RURALINVEST\*



The following document forms part of a “toolkit” comprising manuals, training materials and computer software, that together provide a basis for a relatively simple, yet reliable, approach to the identification, formulation, implementation and evaluation of small-scale community or family investment projects in rural areas.

RuralInvest was originally developed by staff of the Investment Centre of the United Nations Food and Agriculture Organization (FAO) in response to requests for a readily usable approach to the identification and preparation of investments much smaller than those traditionally considered in published guidelines<sup>1</sup>.

FAO, in cooperation with the multi-agency “Regional Unit for Technical Assistance” (RUTA) in Central America, translated these initial experiences into a general methodology and toolkit, which have now been tested in a number of countries with considerable success. As the number of users has grown, it has been possible to improve and expand the different elements of the RuralInvest toolkit, as well as offer the package in a number of other languages.

## A. The Purpose of RuralInvest

In recent decades many governments have begun to encourage local communities to assume a more active role in decisions concerning their own development. Often referred to as Community Driven Development (CDD), this has included such measures as the transfer of financial resources to municipalities, the decentralization of public agencies, and the creation of local investment funds (sometimes known as Demand-Driven Rural Investment Funds or DRIFs). Using these approaches governments and international financial agencies have created new possibilities for people to effectively participate in, and influence, the decisions that contribute to the socio-economic development of their community, municipality or district.

Selection of investments at local level is not without its problems, however. It is not always easy to determine which investments will yield the best results. It may be that a bridge would have greater

impact on a community than a new well, or that a dairy processing plant would make a greater contribution than an irrigation system, but how to decide between them? Furthermore, not all investments are sustainable. An investment that initially generates strongly positive results for the community may turn out to be simply too expensive to keep running (e.g. a local hospital), or to result in the destruction of natural resources that cannot readily be replaced (e.g. a saw mill).

Over the course of many years, most developing countries have built up a national capacity to formulate and analyse investment proposals, utilizing a small cadre of internationally trained staff located in those ministries and agencies responsible for economic and social planning. Using international formulation and appraisal procedures, and often supported by specialists consultants from international financing agencies, these highly trained staff have traditionally focused on preparing key multi-million dollar investments. The feasibility study for a new hydroelectric dam, for example, could take years and involve a multi-volume report costing millions of dollars.

However, these staff typically have little experience in the analysis of smaller scale projects, where such in-depth analysis is clearly not justified. Furthermore, even if these experts adapted their procedures to the study of small projects, there would simply be too few experts to support the dozens of decentralized projects, the scores of autonomous municipalities, or the hundreds of community groups that are now seeking to identify and formulate their own projects. What is needed is a different approach; one that can be used to formulate and approve small-scale projects using only local technicians and resources.

In general, three possible procedures can be used to select and approve projects prepared at local level. These are:

### 1. Applying standard procedures and exclusions to all projects

The first option is for the funding agency to establish standard procedures and exclusions, and accept all projects that meet these criteria. These might include:

- ▶ Requiring the signature (or mark) of a majority of the community or group applying;
- ▶ Requiring the approval of the local Mayor or Council;

\* This document was prepared by the FAO Investment Centre and the multiagency Regional Unit for Technical Assistance (RUTA) in Central America. Principal document authors are Jorge Orbe (RUTA) and Dino Francescutti (FAO Investment Centre). However, the document also benefits from valuable comments and inputs from Aidan Gulliver, Selim Mohor and Elen Lemaitre (FAO Investment Centre) as well as other staff of FAO and RUTA.

1. “Guidelines for the Design of Agricultural Investment Projects”, Technical Paper No. 7, Investment Centre, FAO, Rome, 1992. This is a good example of a methods and procedural manual, designed for the preparation and evaluation of large-scale projects.

- ▶ Excluding certain kinds of investments (for example, no projects that might damage the environment or religious structures will be allowed);
- ▶ Excluding projects with investment costs which exceed a per capita limit (that is the cost per beneficiary).

This option offers the communities or applicant groups a high degree of autonomy in choosing their investments, but the absence of any evaluation mechanism creates a high risk of financing projects that are either infeasible or unsustainable.

## 2. Using predefined investment models for each expected type of project

In this second option, a detailed study is carried out for a number of “model investments”, each representative of the type of proposal that are expected to be received from participating groups, communities or municipalities. All proposals must then use these models as the basis for their submissions. This method has the advantage of ensuring generally well-designed projects (because experts can be called in to design each model) –especially for infrastructure projects that can be replicated from one place to another (e.g. a health clinic).

However, predefined projects do not easily allow for changes to the basic designs and thus risk funding investments unsuited to local conditions (e.g. an irrigation system). They also tend to limit the degree of local involvement and ownership, as designs are pulled “off-the-shelf”, with little role for the local community. The need to follow standard designs and ensure identical construction also tends to favour the use of professional contractors rather than local labour, limiting local involvement even further. Finally, the use of model investments generally excludes the possibility of innovative projects for which no models exist. They are thus inappropriate when financing a wide variety of rural investments.

## 3. Local-level project identification, design and analysis

The design and evaluation of projects at local level offers significant advantages, including: (a) the design of projects that arise from, and respond to, local needs, priorities and circumstances; (b) the development of a local capacity not only to formulate and evaluate investment projects, but also to manage their own development process in a wider sense; and (c) the creation of a real commitment to, and ownership of, the proposals on the part of the applicants, as a result of their participation in the formulation process.

However, this approach undoubtedly requires a greater level of effort and cost than the others, both

in the initial training of local technicians and in their subsequent work with applicants. In most cases local technicians will also need to be supported by subject-matter specialists (e.g. irrigation engineers, architects etc.) and be adequately supervised, to ensure the quality and correctness of the designs developed. A number of attempts to use this approach in the past have proven to be unsuccessful, largely due to the inability of local staff to effectively master the complex investment formulation tools developed for use in multi-million dollar projects.

To avoid these problems, the project design and evaluation process must be brought within the reach of local technicians and the communities they serve. RuralInvest provides the tools to achieve this objective, using a number of separate but interlinked modules which simplify the tasks of priority setting, project identification, detailed project design and analysis, and finally monitoring and evaluation of the implementation process.

## B. The Special Nature of Rural Investments

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The key elements to be considered in the identification and formulation of an investment are the same whether it occurs in the rural or urban sector. In fact, it is possible to apply RuralInvest to any type of small or medium investment, rural or urban. However, RuralInvest incorporates several distinctive features that are important when formulating and executing investment projects in the rural sector, and which can have an important impact on the feasibility and sustainability of an investment:

### a) The seasonal nature of many rural activities

Unlike urban investments, many rural projects must take into account the availability of resources (land, labour, capital) in different months of the year and relate them to differing production patterns (e.g. crop and livestock activities). In addition, fixed costs may exist which are spread throughout the year, including during periods when no productive activity is underway.

### b) The heavy dependence on the use of natural resources

When evaluating possible rural investments, environmental and natural resource sustainability are often critical factors for long-term success.

### c) The dispersion of human and economic activities

Rural populations tend to be spread out, limiting access to infrastructure (roads, electricity) and services (schools, health clinics). Equally, input supplies, markets and other productive elements are also dispersed. This means that greater attention needs to be paid to such aspects as



availability of inputs and the cost of delivering the finished product to the buyer.

### C. Type and Scale of Projects Appropriate for RuralInvest

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RuralInvest distinguishes between two broad types of investment projects: those designed to generate income, that is, *for profit*, and projects whose principal purpose is not profit related.

The category of **income-generating projects** covers a wide range of possible activities: agricultural production, aquaculture, rural shops, irrigation, agroindustry, handicrafts, tourism, transport, the fabrication of simple machinery and spare parts, and marketing services. A project may, in fact, require investment in more than one of these areas, and will frequently involve more than one type of productive activity from the same investment (e.g. production of different crops as a result of investment in irrigation)

The category of **non-income generating projects** also includes a broad range of activities and can be divided into three distinct sub-groups:

- ▶ *Production support*: Including access roads and bridges, electrification and communications, as well as primary irrigation infrastructure;
- ▶ *Social projects*: Health and education services, provision of drinking water and sewage disposal, and support for community organization;
- ▶ *Environmental projects*: Watershed and slope protection, reforestation and soil conservation.

It is important to note that projects in the non-income generating category may often include a user fee or charge designed to recover some portion of the operating costs. However, unlike the “for-profit” projects, this income never provides the justification for the project, but merely contributes to its sustainability.

Although the participatory methodology stressed throughout the RuralInvest approach renders it particularly appropriate for use with groups and communities, there is no reason at all why individuals or families cannot use it. However, such personal applications generally omit the detailed needs identification and priority setting that is central to the first RuralInvest module, and commence directly with the project profile.

Micro-investments (very simple projects with an investment usually below US\$5,000) may not require further preparation beyond the initial project profile, as financing can be decided on the basis of the 4-page profile. In the case of larger investments, however, the project profile is merely the first step in creating a larger and more detailed proposal, based on computer software.

Conversely, above a level in the region of US\$250,000 – depending upon the complexity of the project as much as upon the value of the investment – it may be wiser to supplement, or even replace, the use of RuralInvest with a specialized project formulation team. This is important because RuralInvest is designed to be used largely by general technical staff, while above a certain investment cost it becomes more effective to contract specialists in a number of fields.

### D. The RuralInvest Modules

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As mentioned above, RuralInvest covers a series of phases or modules. The following is a description of the principal elements of each of them.

#### Module 1 – Participatory Identification of Local Investment Priorities

The first module of RuralInvest is primarily community focused, particularly through its support for the creation of a local development plan from which the specific investment projects will derive. Communities and groups which already have undertaken this type of process, or individual applicants who are generally much clearer on their priorities, may wish to pass directly to Module 2 where the project profiles are developed.

RuralInvest provides detailed guidelines in this phase to help in the following tasks:

- ▶ Define the current situation of the group or community, taking into account a range of aspects, including physical (the location of the community, availability of land and water, types of soils, slopes, etc.) environmental (forests, fishery, rainfall distribution), and socio-economic and cultural (availability of markets, current earnings of members of the community, migration, group solidarity, etc.);
- ▶ Use this definition of the current situation to reach agreement on key problems and potentials faced by the community or group;
- ▶ Develop a local development plan that defines priorities for action according to the needs of the applicants;
- ▶ Identify one or more possible broad investments that would contribute to carrying out and achieving this plan.

For communities, this first phase almost always requires the support of a community worker or rural technician, trained in the use of RuralInvest and with experience in participatory planning. The technician will support and guide the applicants in using the tools and guidelines provided by RuralInvest. Ideally, she or he will already know the community, through residence or previous work in the area, but in many cases technicians

will be assigned to work with the applicants by the supporting agency as the result of a specific request from the community.

Where there has been no prior contact between the technician and the applicants, and a local development plan or its equivalent has never been prepared, the diagnosis and identification phase may require the technician to make a series of visits over a period of as long as three to four months, depending on the degree of organization of the group, the complexity of the constraints and opportunities faced, and the accessibility of the community.

Where the community has previous experience in identifying local requirements and priorities, the process will be much more rapid, and the phase can often be completed after no more than a few visits.

In this first phase there is generally no need for specialized technical staff to participate, as the priorities and resulting development plan should largely be the work of the applicants themselves.

## Module 2 – Creating and Using Project Profiles

The core of Module 2 is the preparation of a project profile for each priority investment proposal. These profiles provide enough information about the investment to allow both the applicant(s) and the eventual financing source to see which ideas have potential, and are thus worth the further effort and resources required to develop them in detail.

Most individual applicants will seek to by-pass the earlier community diagnosis and planning activities, which are often of little relevance for those who already have a clear idea of what investment they seek to make. Even whole communities which have previously undertaken some form of community development planning may wish to pass directly to profile preparation, as long as there is already a broad community agreement on development needs and priorities.

Few, if any applicants, however, should be permitted to jump directly to Module 3 of RurallInvest, as the resources required for detailed project development can not easily be justified unless a profile has already been approved. In addition, the profiles also provide considerable information that can be incorporated directly into the Module 3 models, so little work is lost in first preparing the profiles.

Unlike Module 1, the local field technician may need to be supported during profile preparation by a subject-matter specialist. Where the proposed project involves an area for which little local knowledge exists (e.g. solar electricity generation for lighting), a specialist will be required who can provide key parameters concerning cost and performance, so as to avoid extensive work on a proposal that is clearly technically infeasible from the start.

## Module 3 – Detailed Project Formulation and Analysis

The third phase of RurallInvest consists of preparing a more detailed project proposal, using the Module 2 profile as the starting point. Participants in this phase may include not only the applicants and the local technician (community promoter, extensionist, etc.), but also a support technician, trained in the use of the computerized RurallInvest models for project formulation and analysis. It is possible that the local technician assumes this function. Generally speaking however, the two roles are sufficiently different that a separation of responsibilities is required.

In the detailed project preparation stage additional external technical input may also be required, depending on the investment value and its complexity. External input may be needed from specialists in such areas as: environmental impact analysis; irrigation engineering; food processing, etc. Generally, however, their input is short, requiring no more than a few days to a week, in line with the value of the investment proposed.

The depth and level of detail required in the process of formulation and evaluation will depend on the complexity and the scope of the project. The support technician will provide support to the applicants and to the local technician in some or all of the following tasks:

- ▶ Determination of demand and benefits;
- ▶ Evaluation of the proposal's technical feasibility and scale;
- ▶ Assessment of the project's operational sustainability, both in financial and in environmental terms;
- ▶ Determination of the detailed costs of the investment and its subsequent operation;
- ▶ Selection and specification of an appropriate management and administrative structure;
- ▶ Estimation of sources and costs of financing.

The process of formulation and evaluation requires the use of a computer and is not generally carried out in the field. For this reason it is essential that contact be maintained between the responsible technician and the applicant(s) to insure that the proposal truly reflects their needs. Furthermore, it may be that the detailed formulation reveals aspects of the investment that require the applicants to reconsider their plans (for example, competition for labour at key periods of the year, or high maintenance costs).

Depending on the degree of complexity of the project, it is estimated that the detailed evaluation will require between three and six weeks per profile and will call for several visits to the field by the technician working with the computer software.

## Module 4 – Monitoring and Evaluation of RuralInvest Proposals and Projects

Many institutions or internationally-financed projects adopting RuralInvest support the preparation and financing of scores, or even hundreds, of rural investments per year. Furthermore, the process of identifying and preparing these investments is often undertaken in a number of local offices spread throughout the area covered. In these circumstances, adequately monitoring and evaluating proposals and funded projects can be a difficult task.

As a result, a fourth module has been developed which offers the ability to use the RuralInvest software to rapidly aggregate and assess all proposals prepared and implemented in the field. Incorporated within the same software which handles Modules 2 and 3 in the form of a search and report function, Module 4 allows management staff to rapidly identify activity by a range of criteria. While the search and reporting function can be utilised at local office level, its principal usefulness is for the entire project or financing institution, permitting the monitoring and evaluation staff to receive, store and analyse details of all projects prepared under RuralInvest. Two basic types of monitoring and evaluation support can be supported under this module:

### Monitoring Data on Project Characteristics:

Using a number of key indicators, including category of investment, location, beneficiary group and financial characteristics, it is possible to generate tables that indicate all projects meeting these criteria. For example, by selecting the indicator “beneficiary group” (sub-category: women) and the indicator “investment category” (sub-category: small livestock), a table would be generated that showed key characteristics of all projects which met these criteria.

### Monitoring Data on Project Performance:

Proposals and subsequent projects prepared using RuralInvest can also be labelled according to one of the following stages in the project cycle:

- ▶ Proposal
- ▶ Approved
- ▶ Investment
- ▶ Operation

Furthermore, by entering new data into projects as they move from one project stage to the next, it is possible to evaluate the projects in comparison with earlier stages. For example, entering data on such elements as actual yields, prices or quantities sold once the project is underway allows returns, employment generation and other measures of project performance to be re-calculated automatically, and hence easily compared with original projections.

## E. RuralInvest Users

RuralInvest is potentially useful for any group, organization or individual that wishes to elaborate an investment proposal that adequately takes into consideration all of the key elements in the identification, formulation and evaluation of a project. However, taking full advantage of the different tools offered by RuralInvest requires: (a) training in the RuralInvest methodology and tools, and; (b) access to investment and working capital in order to finance the selected projects. Experience has shown that RuralInvest is thus most applicable in contexts such as:

- ▶ A locally funded agricultural or rural development fund managed by a regional development project, a Ministry of Agriculture, or even an NGO;
- ▶ A local or community investment fund which comprises a component or element of an internationally financed project supported by the World Bank, IFAD or other international agencies;
- ▶ An environmental and biodiversity protection program or one aimed at the reducing the impact of natural disasters, such as are supported by the Global Environment facility (GEF) and other agencies.
- ▶ As a loan analysis and evaluation tool for use by private and parastatal banks with extensive operations in the rural sector.
- ▶ In the *ex-post* evaluation by Governments and international agencies of the impact and profitability of rural investments once they have been implemented.

With respect to training, although it is not necessary that the assisting local technicians be experts in financial matters or economic analysis, there are certain minimum requirements for the key positions of local technician and of regional technician:

### Community support worker or extensionist:

- ▶ Experience as organizer or facilitator of rural communities or groups of producers;
- ▶ A basic understanding of the concept of a project;
- ▶ The ability to communicate with rural individuals or groups;
- ▶ Experience in one or more of agricultural production, rural infrastructure and small enterprises.

Training for the application of Module 1 normally requires some 5 days, while Module 2 can be presented in a further 2-3 days.

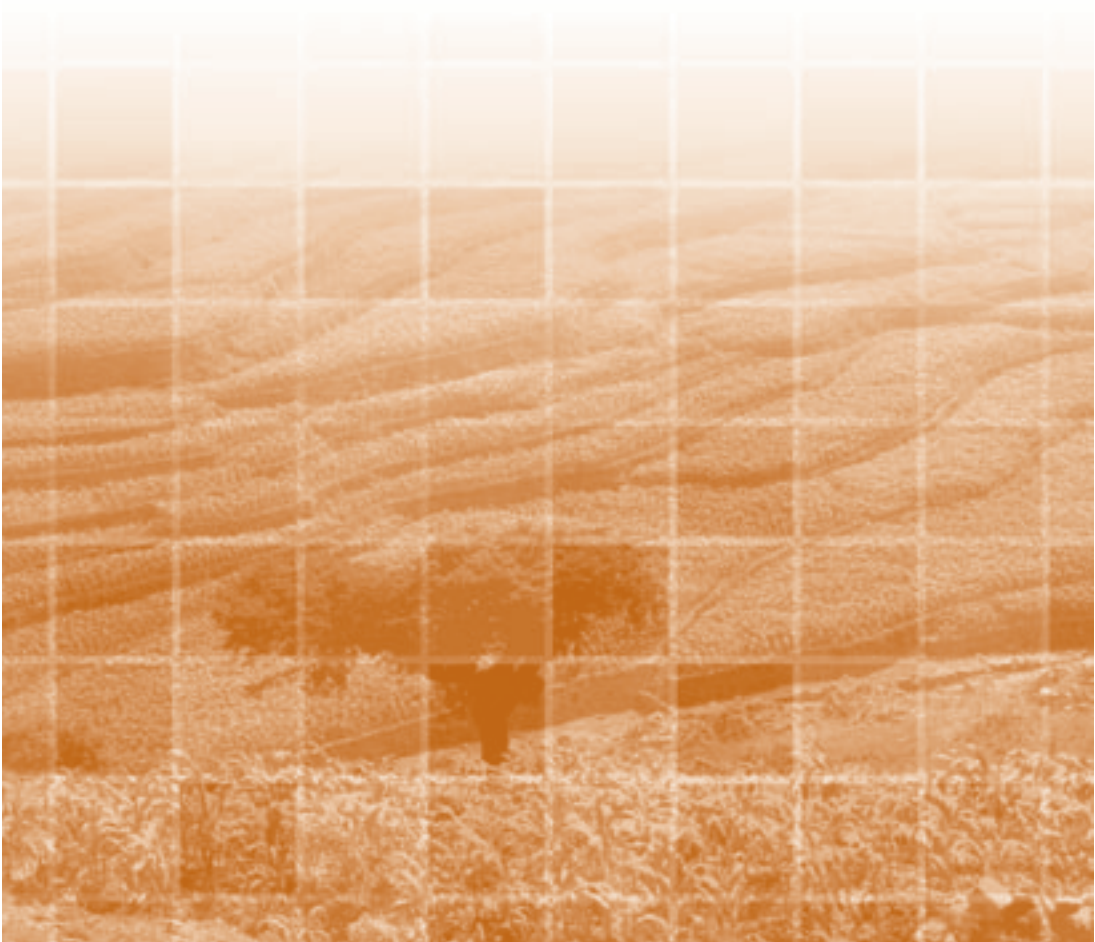
### Support technician:

- ▶ Professional qualification, such as: agronomist, economist, administrator, engineer or other similar profession;
- ▶ Basic knowledge of rural production systems (agriculture, animal husbandry, agroindustry, etc.);
- ▶ Prior experience in the basic use of personal computers;
- ▶ Familiarity with basic financial concepts (costs, income, interest rates, inflation, etc.);
- ▶ Participation in the first training course for field technicians (preferred).

Training for Module 3 typically requires 5 days, although in some cases it can be combined with the preparation of real cases in the field, in which case a longer time period is necessary.

# Chapter II

## INTRODUCTION TO MODULE 1



## II INTRODUCTION TO MODULE 1



Rural poverty in South Asia, Africa and Latin America is at worrying levels, and there are estimated to be more rural poor in these regions today than there were 10 years ago<sup>2</sup>. Clearly, the rural development approaches of the last 30 years have not achieved the results expected of them and policies, strategies and working methods must learn from previous mistakes if we are to achieve better results. RuralInvest supports a new focus that places far greater emphasis on the role of local groups and communities in determining their own priorities and managing their own development. Some of the key aspects of this approach important in Module 1 include:

- a) It provides local populations and communities with the tools that will help them define the key constraints and opportunities they face and determine the sorts of initiatives that will help them respond to these factors;
- b) It views the rural economic world as comprising not only agricultural production, but also a wide range of other activities of rural households such as food processing, non-farming activities, multiple jobs and migration;
- c) It accepts that the rural economy is not only a result of the efforts and output of individual households and farms, but also reflects a wide range of other factors such as roads, communications, electricity and natural resources.
- d) It recognises that development is more than an economic process; it also influences, and in turn is affected by, a range of demographic, sociocultural, environmental and institutional dimensions, including population density, traditional knowledge and practices, rural networks and vulnerability.
- e) It encourages social participation, encouraging social and institutional consensus among all stakeholders — whether public or private, international, national or local — as a key aspect of public policy management;
- f) It is demand-driven, i.e. it serves the information and capacity-strengthening needs of local stakeholders;

Local development often is taken to mean decentralization of a country's political-administrative structure, resulting in a strengthened role for local governments. However the approach supported here recognizes units that go beyond administrative

boundaries to include local areas that have been defined by history (e.g. economic ties, cultural traditions, ethnic demands), or by well defined geographic features such as islands, valleys, micro-watersheds, ecosystems, etc.

Module 1 of RuralInvest proposes a manner to involve the community in diagnosing local needs and identifying local development projects. The proposal has three basic features: (i) participatory methodology; (ii) systemic analysis; and (iii) gender perspective.

### A. Why Use a Participatory Methodology?

The methodology presented in this module responds to the need to train communities, and the local technicians that support them, to undertake their own investigations, interpret their situation, propose the best solutions to their most urgent problems, participate actively in constructing their future, and take charge of their own destiny. We start from the premise that rural communities know what their problems are, and are capable of taking decisions.

Although communities can develop certain capacities and skills for themselves, based on their own organization, they will generally be unfamiliar with the requirements of financing agencies and other institutional actors to whom their needs and requests for support must be addressed. Equally, those who understand the processes involved in evaluating and approving proposals for local investment are not usually familiar with the needs and priorities of the individual communities. For this reason, investments which truly respond to local needs can generally only be realized through interaction between community members and those who are more familiar with these requirements. Building the corresponding links and agreements (i.e. support for social and institutional consensus) is therefore essential in promoting rural development.

The document presented here is intended as a "guide" that should be widely discussed and worked on with stakeholders. It should be seen as a toolkit to help communities carry out their own diagnostic and analytical processes and identify projects on a participatory basis. Although community participation does not guarantee the success of a diagnostic study or ensure the best solutions are found, active participation in decision-making offers new opportunities to prevent inequalities from intensifying.

2. *Farming Systems and Poverty*, p.6. Dixon, Gulliver and Gibbon, FAO and World Bank, Rome 2001

## B. What is Systemic Analysis?

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A system can be defined as a set of elements that are interconnected in such a way as to organize them to perform specific functions<sup>3</sup>. Systemic analysis of the rural sector recognizes that rural life is determined by environmental, demographic, socioeconomic, cultural and institutional factors that interact with each other. RuralInvest takes each of those factors and their inter-relationships into account.

The methodological toolkit presented here provides a framework for local communities and institutions to reflect on the key historical issues affecting the development of their territories or local areas.

## C. What Precautions are Needed with Systemic Analyses?

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The tools of systemic analysis tend to be abstract, and they model reality in a way that is “unnatural” for many people. Technicians using these tools need to provide practical examples and find ways to make sure that participants fully understand. The fact that technicians use sophisticated analytical tools should not detract from their ability to listen carefully to the participants and understand the local situation.

## D. What is a Gender Perspective?

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Gender is a social concept that goes beyond the biological differences between the sexes. It focuses on differences and inequalities in the social roles played by men and women, which result from historical and political conditions, socioeconomic settings, and the cultural and religious patterns of the societies they live in.

The gender perspective makes it possible to identify, analyse and reflect on these differences and inequalities; and understand them as the outcome of a social process (rather than a biological one) that can be changed. A proposal has a gender perspective if it has at least the following characteristics:

1. It specifically analyses relations between men and women as an expression of social inequality.
2. It warns of discrimination against women in relation to men.
3. It identifies the historical circumstances, cultural focuses, socioeconomic settings, and institutional practices that fuel inequality and keep women in second place.

4. It includes women as part of the target population for development actions.
5. It acts to change the status of women, in gender relations or in traditional patterns of masculinity.
6. It supports joint decision-making by men and women, after an analysis that promotes comprehensive development of the family and takes account of the specific needs of its members — women and men, young people and children, adults and old people.

Gender analysis makes it possible to review the roles, activities, responsibilities, opportunities and restrictions that operate in men and women’s lives; and it focuses on achieving fairer conditions between men and women in the different areas in which they interact.

Participatory diagnostics, based on systemic analysis with a gender perspective, highlight the different roles played by men and women in production and reproduction, and also in their organizational and social lives, stressing the sexual division of labour, access to resources and the extent of participation in decision-making.

## E. How to Prioritize Rural Investments?

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Local investment priorities are identified by stakeholders living in rural areas, as a result of participatory diagnosis by the communities that takes account of their local setting. Properly applied, the diagnosis makes it possible to identify and reflect on the key constraints that exist at the local level. The communities then systematically consider their key problems and rank the alternative solutions according to the local development strategy that they themselves have defined.

This methodology gives communities tools to organize their diagnostic work; and it helps them build consensus on where to start solving their many problems, on the basis of available resources.

Many communities and/or municipalities may have carried out participatory rural diagnostic studies already; in which case either the work proposed here in Module 1 can be skipped, or else the relevant parts can be used to update and/or improve previous development plans. In view of the ever-changing social reality, we recommend updating diagnostic studies and/or local development plans roughly every five years.

The local professionals and technicians who will use this document should understand:

3. Von Bertalanffy, Ludwig (1993): *Theorie Générale des Systèmes*, Ed. Dunod.

- a) the importance of community participation in the search for solutions;
- b) the links between the various factors affecting rural development;
- c) the precautions needed when using systemic planning in the rural sector, given the inductive effects they can have on community decision making; and
- d) the need to ensure a gender perspective in the functioning of the system.

## **F. Organization of the Module**

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The structure of this module mirrors the main stages of the participatory diagnosis, project identification and planning proposed by RurallInvest:

### **Part I: Participatory diagnostic study**

This section describes the typical sequence and the information needed for a participatory diagnostic study, divided into the following six stages or subsystems: (a) population characteristics; (b) territory, natural resources and environment; (c) main economic activities; (d) local institutions and organizations; (e) social and productive infrastructure; and (f) identification and prioritization of problems.

The communities identify initial proposals or ideas for projects (project or investment profiles) which will later be developed by them. The methodology presented here aims to ensure that the initial project ideas are consistent with the conclusions of the diagnostic study and the community's view of local or territorial development.

### **Part II: Identification of initial project proposals**

Once the key problems in a local area have been identified, the communities need to reflect thoroughly on how they can best be overcome. Simply identifying problems associated with rural poverty is not enough; progress needs to be made in overcoming them. How should communities go about solving their most pressing problems, or make the most of market opportunities? In this section we present three methodological proposals that help communities think about the solutions to their main problems. How to provide services to satisfy unmet basic needs? How to promote initiatives for land reclamation and conservation? How can local people protect watersheds and water sources? How best to improve agricultural yields and increase farmers' incomes?

Rural communities usually face major problems and have many needs, so any project proposal is likely to be well received. This section puts forward a methodology to help rural people set priorities. As resources are scarce, the rural sector needs to invest in ways to solve the most urgent problems and develop proposals that make a decisive contribution to achieving the objectives defined in local development policies and strategies. Local stakeholders therefore identify a number of proposals or initial project ideas to be worked on later with members of their communities. The methodology presented here aims to ensure that initial project ideas are consistent with the diagnostic study and in keeping with the local development proposal.

### **Part III: Planning local development**

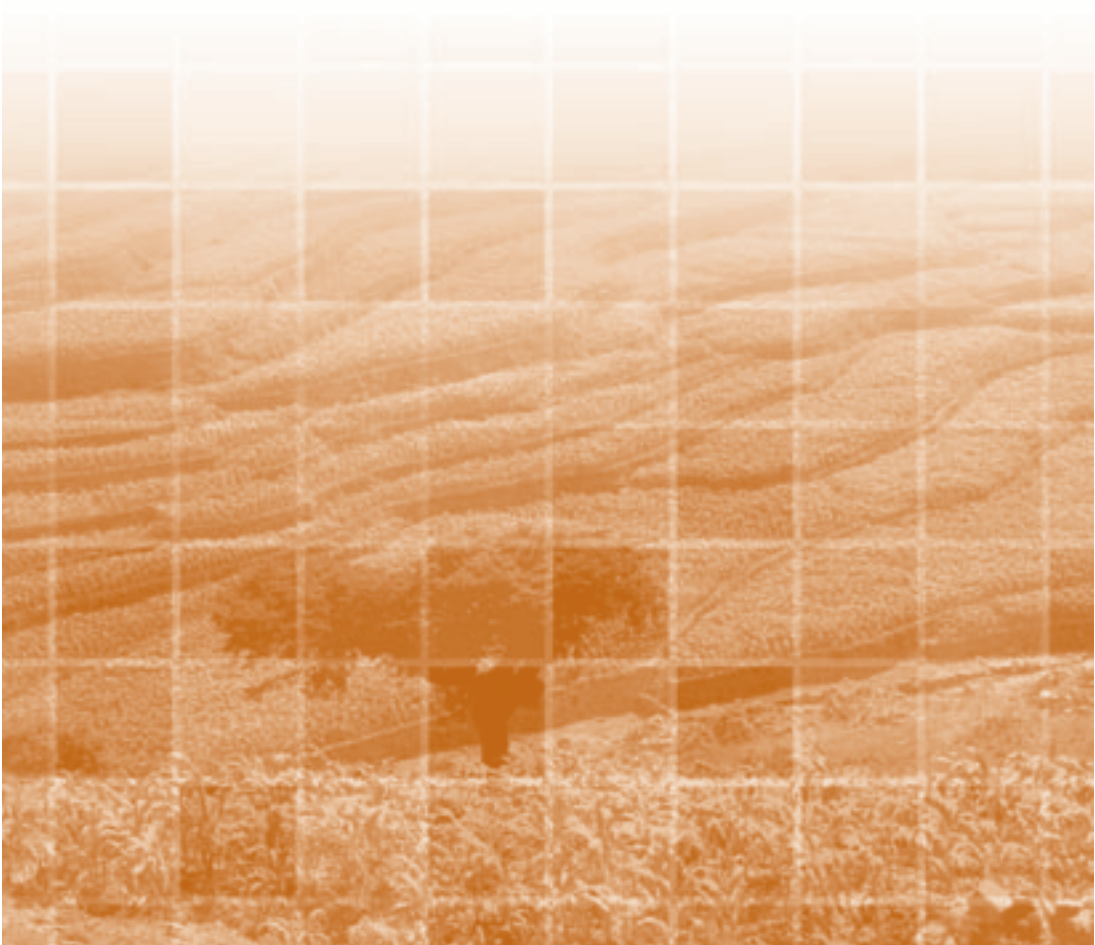
Once the communities have identified their main problems or challenges, they need simple tools to plan development actions and monitor their activities, based on specific expected products or targets. We suggest setting out a plan of action in a table that not only includes the notion of work programming and evaluation, but also sets priorities based on the view of local or territorial development that has been agreed upon with the community.

Once the communities have identified project ideas or initial proposals to tackle their key problems or challenges, they need assistance in developing project profiles. The methodology for this is presented in RurallInvest Module 2.



# Chapter III

## PARTICIPATORY DIAGNOSTIC STUDY



# III PARTICIPATORY DIAGNOSTIC STUDY



The participatory diagnostic study can be used either to initiate territorial or local planning processes or else to update and improve prior diagnostic studies and/or pre-existing local government development plans. The quality of the territorial plan depends not only on the content of the diagnostic and planning documents, but more fundamentally on the local stakeholders' understanding and ownership of the document.

The participatory diagnostic study should be performed as flexibly as possible to ensure that the systemic approach does not restrict community participation; this requires us to adapt our working methods to the way the local inhabitants view the world they live in.

Before holding a participatory diagnostic workshop, those responsible for conducting group exercises need to be very clear about their facilitator role. They should also remember that community participation is fundamental, and that this is achieved on the basis of give and take, humility and respect by external agents for local processes and agendas.

Bearing in mind the central role to be played by the community, the development process needs to be monitored in conjunction with it.

## A. Preparatory Activities

### Preparation of the thematic index

Before starting the workshops and field work for the participatory diagnostic study, it is useful to hold a meeting of the technical team, together with leaders of social organizations and representatives of the local institutions that will be involved, to agree on who will participate and how, what their action strategies will be, the content of the thematic index, and the products expected from the research to be undertaken.

### What do we mean by "thematic index"?

A thematic index is a list of the main topics or issues to be researched, as part of the general diagnostic study of the communities and the territorial or local domain to which they belong.

The index does not have to be exhaustive but should leave room for communities to add unforeseen topics, the importance of which should be duly valued by technicians, since respect for the local agenda is a key to motivating community participation.

### What is it for?

To provide a preliminary overview of the key aspects which, from our point of view, need to be considered in the diagnostic study and therefore require greater attention.

### How to do it?

On a blackboard or sheet of paper we draw three columns to record the following information: the topic to be researched in the first column; the main data source or medium in the second; and complementary sources in the third column.

### The result to be obtained

A table setting out the thematic index of the research, (with cross-references to the different forms of sustainable livelihood).

## B. Participatory Diagnostic Workshop

The unit of analysis for the participatory diagnostic study can either be a single community or a local area (territory) which encompasses several communities. Such an area is frequently called a micro-region. In the case of a single community diagnostic study, the workshop may be completed in a day; but if the analysis includes a larger territory or micro-region it may last for several days, depending on the size of the territory, the diversity of local stakeholders and their previous experience in territorial planning and management processes.

In the case of a territory or micro-region, the greatest possible participation from different representatives of civil society and local institutions should be encouraged. Depending on their interests, knowledge and own judgement, participants will be organized into work groups to analyse and simultaneously prepare responses to each of the topics proposed. Then each group will present the results of its deliberations in a plenary meeting. These plenary meetings are very useful for ensuring a broad consensus as to the judgements of the individual groups.

At this initial workshop, and provided local stakeholders agree, it is often best to organize separate work groups for men and women, to determine whether the perception of problems differs by the gender of the respondent. Afterwards, a joint discussion should be held to enable all stakeholders (men and women) to agree on the problems identified and analysed, and form a joint view of territorial management and development.

The participatory diagnostic study will normally focus on five subsystems:

- ▶ The population and its characteristics
- ▶ Territory, natural resources and environment

Example of a thematic index		
Topic	Medium for obtaining information	Complementary medium
<b>POPULATION CHARACTERISTICS</b>		
Definition of the territory	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Maps of relevant institutions</li> <li>• Official maps or those of related projects</li> </ul>
Brief history of the community/ies and its/their territory	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Interviews with local authorities and former leaders</li> <li>• Review of history books</li> <li>• Local archives</li> </ul>
Demographic and migration data	Population and housing census, surveys of living standards and territorial movement	<ul style="list-style-type: none"> <li>• Participatory diagnostic workshop</li> <li>• Interviews with focus groups</li> <li>• Official statistics</li> </ul>
Women's and men's activities	Participatory diagnostic workshop	
Culture, customs and values	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of relevant literature</li> </ul>
<b>TERRITORY, NATURAL RESOURCES AND ENVIRONMENT</b>		
Soil	Soil cartography, either official or from related projects	<ul style="list-style-type: none"> <li>• Participatory diagnostic workshop</li> <li>• Review of relevant literature</li> </ul>
Hydrology	Hydrology statistics, either official or from related projects	<ul style="list-style-type: none"> <li>• Participatory diagnostic workshop</li> </ul>
Climate: temperature, rainfall	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Meteorological institutions</li> <li>• Weather reports for the region</li> </ul>
Natural vegetation: forestry resources and biodiversity	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of relevant literature</li> <li>• Reports</li> <li>• Direct observation</li> </ul>
Ecosystems and agro-ecosystems	Official maps or those of NGOs or related projects	<ul style="list-style-type: none"> <li>• Revisión de bibliografía sobre el tema</li> <li>• Informes meteorológicos de la región</li> </ul>
Pollution, erosion, deforestation and environmental conflicts	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of relevant literature</li> <li>• Weather reports for the region</li> <li>• Direct observation</li> <li>• Interviews with technicians from State or academic institutions in the sector</li> <li>• Studies undertaken on the subject</li> </ul>
<b>MAIN ECONOMIC ACTIVITIES</b>		
Representative Farming Units (RFUs)	Calculations based on data relating to landholding, and crop, livestock and craftwork production	<ul style="list-style-type: none"> <li>• Participatory diagnostic workshop</li> </ul>
Survival strategies in farming economies	Calculations based on RFU, migration, income and expenditure models	<ul style="list-style-type: none"> <li>• Participatory diagnostic workshop</li> </ul>
Annual calendar	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of the results of previous research</li> </ul>
Landholding	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of relevant literature</li> <li>• Official statistics</li> </ul>
Handicraft production	Interviews with craft workers in the zone	<ul style="list-style-type: none"> <li>• Review of previous information and researches</li> </ul>
Marketing	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Review of relevant literature</li> <li>• Statistics and price indices</li> <li>• Interviews with trades people</li> </ul>
Rural credit and financial systems	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Statistics from banks and lending agencies</li> <li>• Interviews with local financial institutions</li> </ul>
<b>LOCAL INSTITUTIONS AND ORGANIZATIONS</b>		
Local organization management capacity	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Interviews with NGO leaders and technicians</li> <li>• Organization files, reports, audits, agreements</li> </ul>
Community SWOT	Participatory diagnostic workshop	
Local stakeholders	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Interviews with local leaders</li> </ul>
Presence of development institutions	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Interviews with leaders of institutions and NGOs</li> </ul>

Example of a thematic index (continued)		
Topic	Medium for obtaining information	Complementary medium
<b>SUPPORT INFRASTRUCTURE</b>		
Productive infrastructure, social infrastructure, and basic utilities	Participatory diagnostic workshop	<ul style="list-style-type: none"> <li>• Direct observation</li> <li>• Interview with users</li> <li>• Municipal development plans</li> </ul>
Productive infrastructure	Participatory diagnostic workshop	
<b>PLANNING OF LOCAL DEVELOPMENT</b>		
Identification and prioritization of problems	Workshop for results analysis, reflection and participatory discussion	
Participatory identification of projects	Workshop for results analysis, reflection and participatory discussion	
Preparation of the local development plan	Workshop for results analysis, reflection and participatory discussion	

- ▶ Main economic activities
- ▶ Local institutions and organizations
- ▶ Social and productive infrastructure

The scheme proposed in this document divides the diagnostic study process into different topics or stages. The module is intended as a guide for the technical team in identifying key aspects of local planning, although flexibility to community needs and interests may require that not all issues are treated in equal depth. In other words, some of the issues proposed in the thematic index may be dealt with in detail, while others can be excluded altogether if they are not considered relevant by the participants.

Apart from generating information for decision-making by local stakeholders<sup>4</sup>, we also need to ensure that the exercise has a training or formative effect which strengthens the community's capacity to consider development constraints and opportunities, and gives the participants confidence to take an active part in the processes of planning, implementation, evaluation and learning for the future that are central to participatory development projects.

One way to achieve this is to stick several sheets of paper to the wall for the purpose of recording information on the various topics of interest in a flexible way. It will be important to keep control over the issues to be covered, and check the accuracy and detail of the information.

The Annexes to this Module describe the specific characteristics of each subsystem, suggest useful questions and tables for data collection, and define the products to be obtained at the different stages of the diagnostic process.

### C. Results Analysis to Rank Problems and/or Challenges

As an accompaniment to the participatory diagnostic study, and on the basis of information available at the time, an inventory should also be made of the main problems and/or challenges facing members of the community(ies), local institutions and organizations. These problems and/or challenges should, as far as is possible, be included in the considerations of each group analysing the sectors relevant to them. Thus, the identified constraint that few traders pass by the community to buy grains or other products should form part of the discussions of those groups looking at infrastructure (e.g. transport and accessibility), considering local organizations (e.g. is there the need for a marketing cooperative) or evaluating economic activity (e.g. is the community growing the right products).

With participation by all local stakeholders, and in accordance with their points of view, problems are then ranked according to the sectoral aspects that most affect the local area. Stakeholders need to identify where to start unravelling the ball of wool. Are the main local constraints in education, or in public health? Are local people more interested in higher agricultural yields, or in the provision or improvement of basic utilities?

#### What is it for?

To focus the community on the search for solutions to their main problems and/or challenges.

4. Remember that the people taking decisions are those who will bear any unforeseen costs.

## How to do it?

This exercise can be done in an analysis and results validation workshop, gathering opinions from all those present and then making a summary of the diagnostic study of the zone. Using the questions suggested, tables can be drawn on sheets of paper for each topic in the diagnostic study: trends; strength and opportunities; weaknesses and threats. Simple tables can then be constructed showing problems and/or challenges and their respective priorities.

## Useful questions

What are the trends (positive, negative or neutral) of each issue or sub-issue studied in the diagnostic process: population; territory, natural resources and environment; economic activities; local institutions and organizations; social and productive infrastructure? What was the situation 30 years ago? What is the situation today? What is the likely situation in 10 years time?

What are the community or micro-region's main strengths and opportunities in each issue or sub-issue studied? What problems and/or challenges arise in exploiting them?

What are the community or micro-region's main weaknesses and threats on each issue or sub-issue studied? What problems and/or challenges are involved in mitigating them?

Based on the above, what would be the three key problems and/or challenges in each issue or sub-issue studied in the diagnostic process?

Of the problems and/or challenges identified, which are crucial and which are secondary?

## Products to be obtained

- ▶ A table identifying problems and/or challenges.
- ▶ A table ranking problems and/or challenges

Once the three key problems and/or challenges have been identified for each issue, the community/ies need to rank their importance on a scale of 10 to 0. A rating of 10 means the problem and/or challenge is very important in the community or micro-region in question and requires urgent attention. A problem rated 8 would be less important, and so on successively.

## Useful tables

**Table 1. Table to identify the zone's key problems and/or challenges**

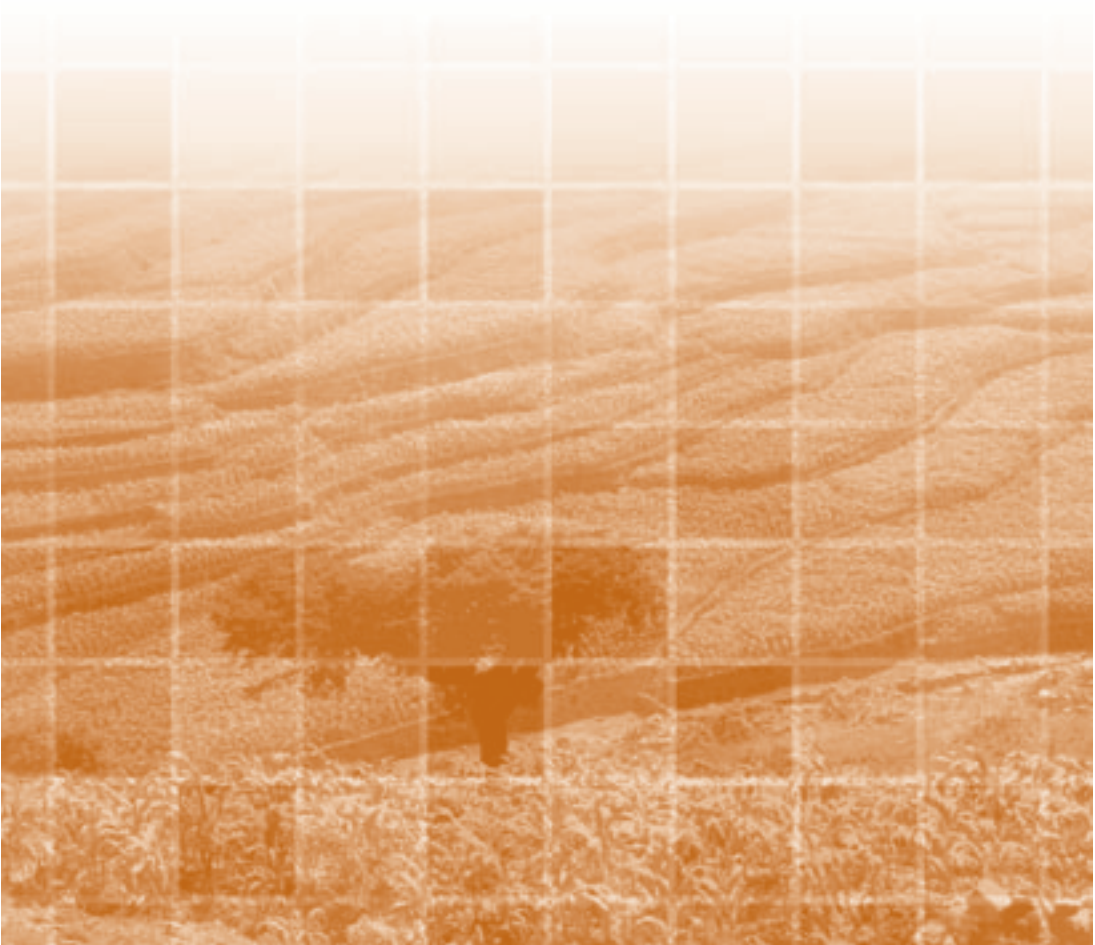
Stages of the Diagnostic process	Key problems and/or challenges
Population and its Characteristics	1. 2. 3.
Territory, Natural Resources and Environment	1. 2. 3.
Economic Activities	1. 2. 3.
Local Institutions and Organization	1. 2. 3.
Social and Productive Infrastructure	1. 2. 3.

**Table 2. Table to Prioritize the Zone's Key Problems and/or Challenges**

Problem or challenge	Points score
1.	
2.	
3.	
4.	
5.	
6.	
7.	

# Chapter IV

## PLANNING LOCAL DEVELOPMENT



# IV

## PLANNING LOCAL DEVELOPMENT



Once the participatory diagnostic study has been completed, an overall report (synthesis) is prepared with a summary of the main problems and/or challenges facing local communities, organizations and institutions, taking account of the different views that may exist between men and women. The synthesis should also include the trends observed, and the strengths, opportunities, weaknesses and threats facing the local communities, organizations and institutions, which formed the basis for identifying the key problems and/or challenges.

The results expected from this workshop are as follows:

- ▶ Analyse and agree upon a view of local development and management.
- ▶ Identify priority actions and agree on each stakeholder's responsibilities in carrying them out.
- ▶ Identify project ideas or proposals, for subsequent elaboration on a participatory basis by those involved, following the methodology described in RuralInvest Modules 2 and 3.
- ▶ Prepare the local development or territorial management plan

### A. Identification and Selection of Priority Actions

#### What does this mean? What does it involve?

A process for deciding which of the proposed projects will be developed first, before continuing with the less important ones, according to the key problems and/or challenges identified in the diagnostic study.

#### How to do it?

Appropriate project identification and selection requires:

- i) A listing of the three (or five) key problems identified, and their solution alternatives; and
- ii) Reflection by local stakeholders on how to overcome the key problems and/or challenges faced by their members and their territory.

This process takes place in a plenary session coordinated by a person acting as facilitator, using a blackboard or a sheet of paper, and with participation from everyone present.

#### Useful questions

Does the diagnostic study truly reflect the main problems or challenges faced by the community/ies?

What initial proposals or project ideas are envisaged to solve the community/ies' key problems and/or challenges?

#### Useful table

Table to identify project proposals		
Problems	Possible solutions	Project proposals
1.		
2.		
3.		
4.		
5.		

#### Products to be obtained

**A list of proposals or ideas for actions for subsequent implementation by the communities.**

Depending on the type of project that the community/ies propose, technicians and/or interest groups will need to be invited to a workshop to prepare the project draft or profile.

#### Selection of action proposals

Table to prioritize potential projects					
Community	Project	Beneficiary Population	Poverty Index	Management capacity	Total points score

Population data can be obtained from censuses and from local institutions or communities, but remember that not all members of the community may be beneficiaries.

Poverty data is obtained from State institutions, or else can be measured in terms of unmet basic needs (i.e. lack of basic utilities such as water, electricity, health, education, etc).

The management capacity can be measured through various elements, the existence and good functioning of which can give an idea of the strengths and weaknesses of social organizations and/or communities: legal status, accounting

records, audits, training of leaders, contribution by partners, availability of technicians, organizational culture, participatory decision-making practices, relations with NGOs and municipalities, planning and monitoring systems, evaluation of activities and results, social oversight, accountability, etc.

Note that the suggested categories are not fixed. While each of those given (population, poverty, management capacity) are likely to be important in most cases, other categories may also be identified (e.g. importance to beneficiaries). The determination of possible points scored for each category will depend heavily on the opinion of the participants. There is no need for each category to be of equal importance. Equally, however, if an item is of very minor importance, perhaps it should not be in the table.

## B. Preparation of the Local Rural Development Plan

### What does this mean? What is it for?

The general strategic proposal presented by the community/ies to solve the key problems and/or challenges faced by their members and the territory in which they live.

Territorial identity is a quality that causes the micro-region in question to be seen as unique and different from its neighbours. Similarly, identities may be distinguishable with respect to individuals, goods or services that cause them to be recognized as different. Promoting development within a community or area will often involve considering those factors that distinguish it from other neighbouring areas, and seeking to help the area to compete either on the basis of its absolute (unique) advantages, or in terms of its comparative advantages (better conditions for delivering a product or service). These advantages may derive from the territorial identity or other unique factors associated with the community(ies). The local development vision must also consider the institutional relations that will be important in achieving the established goals and targets.

Having got this far, we need to be clear about the activities that will turn good intentions into genuine improvements in the community. This requires a local development plan which, as well as summarizing and systemizing the information which led to the strategy adopted, will also enable us to:

- ▶ Programme the activities of local communities, organizations and institutions.
- ▶ Assign responsibilities to leaders and authorities to carry out each activity.
- ▶ Define and plan the expected products or outcomes programmed for each activity.

- ▶ Identify objective and easily verifiable sources for monitoring the activities and achievement of the expected results.

### Components of the local development plan

The basic components of the local development plan include:

- ▶ **Systemization of the results of the participatory diagnostic process:** Tables, figures and summary maps containing information from the various diagnostic studies.
- ▶ **Identification of the key problems and/or challenges and their possible solutions:** Analysis of the trends of processes affecting the territorial environment of the problems identified; analysis of the main problems and potential solutions, from the standpoint of a process of improvement and wellbeing among the local people.
- ▶ **Local development vision (policies and strategies):** Strategic proposal for solving the main local problems and/or challenges facing the communities. Here it is necessary to:
  - Define action priorities.
  - Define initiatives and forms of relationship between the various local stakeholders.
  - Establish strategies for cooperating with the various stakeholders to fulfil the established objectives and targets.
  - Define specific issues related to the projects that can be prepared:
    - The type of investments or lines of production and the sectors in which project profiles need to be prepared.
    - In which key aspects should the families and technical and management personnel of the communities receive training and strengthening?
    - What land and water problems need to be resolved?
    - What additional aspects need to be worked on and supported by cooperation agencies?
- ▶ **Plan of action:** Programme of activities, resources and assignment of responsibilities for overcoming the problems and/or challenges we face. Here it is necessary to:
  - Present organized and ranked proposals for achieving local development over the next five or ten years, highlighting the logical dependencies (sequential order) between activities. An image of what one wants to achieve in those years needs to be established.

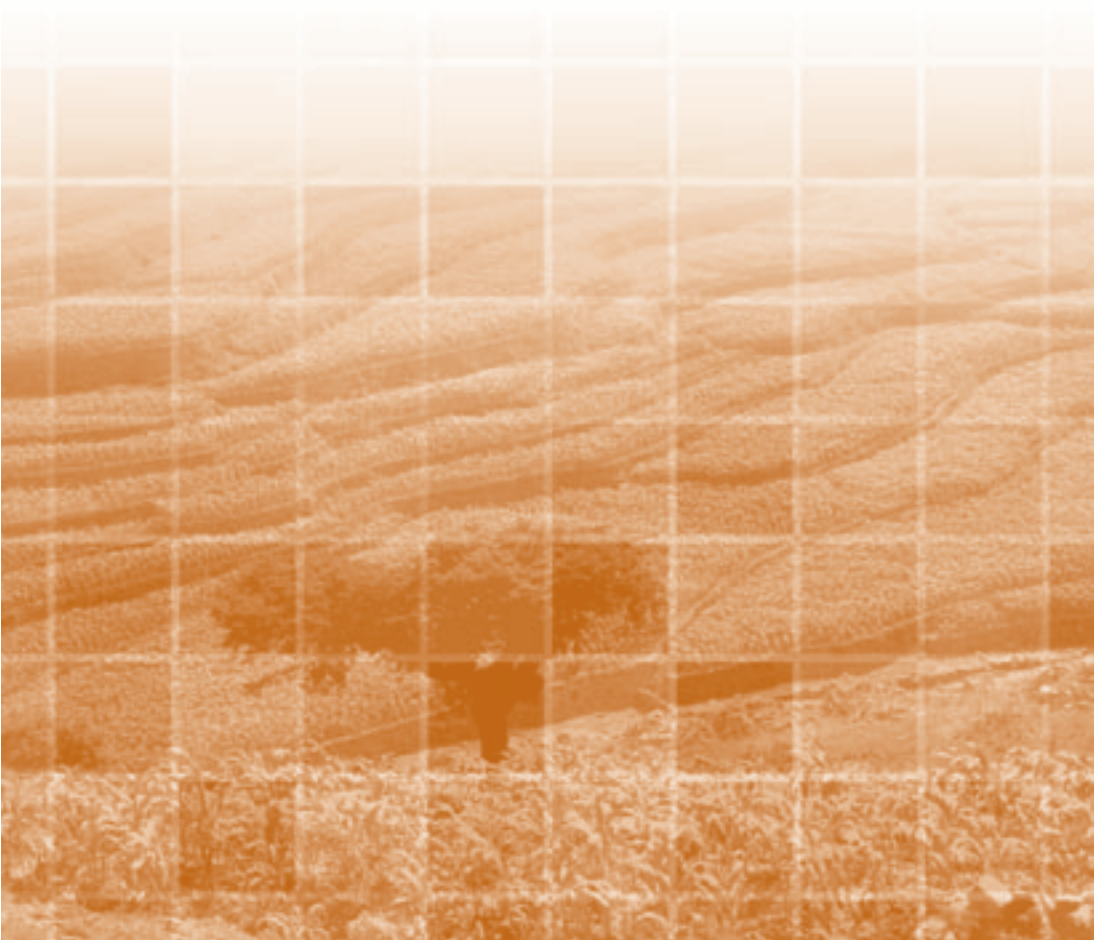




# Annexes

## Guidelines for the Participatory Diagnostic Study

Not all of the following information categories may be needed within a single diagnostic study, and the community participants may well identify other categories of information not mentioned here, but which are of more importance to them. The selection of categories on which time and effort will be spent should therefore be a matter of thoughtful discussion prior to commencing information collection, as discussed in Section 3A of the main text (the thematic index).



# ANNEX 1

## GUIDELINES FOR ANALYSING THE POPULATION AND ITS CHARACTERISTICS

### 1. Defining the Territory

#### What is meant by territory?

The geographic area or space in which a set of social relations develop and give rise to an identity and shared purposes among multiple stakeholders — public and private, social and institutional. The territory is not merely a physical space, but results from a process of social construction.

A territory can be defined from various points of view: juridical-political (province, department, municipality/ies or district(s), municipal subdivision(s) etc; a watershed or micro-watershed; an ethnic or multi-ethnic region; an ecosystem; or an economic-political domain. It may even combine some of these different categories. In any event, the criteria that local stakeholders use to define the territory (also referred to as a micro-region) need to be clearly established.

#### What is it for?

To give a quick and simple explanation of the place we live in, and the territorial, political and economic space which communities can directly influence.

#### How to do it?

By drawing a sketch on a blackboard or sheet of paper, or by identifying the territory or micro-region we live in on a map.

#### Useful questions

What are the boundaries of the micro-region or territory?

What criteria define the territory?

Where are the grass-roots communities or organizations located?

How many families live in the community/ies?

What are their main social organizations and where are they?

#### Products to be obtained

- ▶ A model, map or sketch of the zone, showing the location of grass-roots communities or organizations, the number of families comprising it, access roads, rivers and

ravines, irrigation ditches and channels, life zones, vegetation, soil cover, land use, waste pollution, tourism sites and recreational opportunities, and protected area zoning.

- ▶ A description of the zone using more detailed information than that shown on the map, particularly in terms of the boundaries, names of communities, their population and social organizations.
- ▶ A rationale for the territory, i.e. the criteria and reasons for defining the geographic space in question as a territory: e.g. department, province, municipality or district, watershed, lake catchment area, valley, ethnic region, etc.

### 2. A Brief History of the Community/ies and the Territorial Setting

#### What does this mean? What does it involve?

A brief review of the most important events that have occurred in the community or micro-region.

#### What is it for?

To know where we come from, how our community or organization emerged, who its first members and leaders were, what successes and failures we have had, etc.

This knowledge of our past enables us to find satisfactory solutions to the problems we face today.

#### How to do it?

In a special commission with participation from the elderly, middle-aged persons and former leaders.

This work can later be completed by a review of books and other documents containing historical information on the zone.

#### Useful questions

What is the zone or community called? What does its name mean?

Who lived in this zone before?

How did they live? What work did they do?

What forms of social organization did they have?

How were the today's social organizations formed? When were they formed?

Who were the first leaders? What lessons did they leave to us?

What were the most important events of the community or micro-region?

## Products to be obtained

A brief history of the zone, the communities and their people.

Historical record of the communities	
Year	Important event

### 3. Describing the Population

#### What does this mean? What does it involve?

A compilation of basic data on the population or the number of inhabitants of the zone, and their location.

#### How to do it?

One can start by asking how many families live in each community and multiply the result by the average number of members in a rural family. This is often 5 or 6, but may be more.

#### Useful questions

If only approximate information is needed, it is sufficient to ask:

How many families are there in each community?

How many children and young people of school age are there?

What are the most common illnesses in the zone?  
What do adult men, women and children get ill from?

What are the main causes of death among men and women?

How many births were there last year?

How many deaths were there last year?

How many women are heads of household? What level of schooling do women heads of household have?

What are the most frequently consumed foods?

How are non-serious ailments treated?

Where do women give birth? Who attends them?

Are there midwives in the communities? What are they called? How did they learn this profession? How many of them are also folk healers?

What are children under one year old fed on?

## Useful tables

Table 1. Population of the community/ies by zones		
Community	Zone	Number of families

## Products to be obtained

The table shown above, duly completed, with a brief explanation of the results obtained.

A brief commentary on the topic, using the replies from questions for reflection.

Information on:

- ▶ Total population
- ▶ Population of the local unit as a percentage of the immediately higher geographic unit
- ▶ Number of boys and girls of school age
- ▶ Percentage of households headed by the mother
- ▶ Types of marital union
- ▶ Number of births per year
- ▶ Number of deaths per year (men and women)
- ▶ Main illnesses (men and women)
- ▶ Main causes of death (men and women)
- ▶ Spatial distribution of the population
- ▶ Percentage ethnicity, where relevant

### 4. Population Movements

#### What does this mean? What does it involve?

A brief reflection on population movements within the territory and beyond. Three types can be distinguished: (i) back-and-forth; (ii) temporary; and (iii) migratory. Back-and-forth movements reflect the daily journeys that people make within a given political-administrative unit, between their home and place of work or education. Temporary movements take place periodically (often seasonally) between different areas, without involving a change of permanent residency. Migration, in contrast, implies a change of residency that entails moving to another area for a long period of time, perhaps permanently.

#### What is it for?

To understand the causes and consequences of temporary or permanent movements, the sex, age

and type of persons who migrate, their places of destination and the activities they undertake in those places. This information will enable us to ascertain periods of labour availability, survival strategies and income sources of the families, and to define a strategy for dealing with migration from the countryside to the town, and/or to convert the situation into a factor of development for the micro-region.

### How to do it?

Information on population movements can be obtained through meetings with the various local stakeholders, using a variety of procedures (brainstorming, pictures, etc.)

The information should later be enhanced through personal interviews with men and women, focus groups, case studies and a review of the specialist literature on the subject.

### Useful questions

How many men and women travel into a nearby town or city or to other rural zones to work each day?

How many men and women have left the community/ies to live temporarily in other places?

Why did they go? How did things work out for them?

What jobs do the men and women who go to live temporarily in other places do?

How many men and women from the community/ies have permanently migrated to other places?

Why do they migrate? What problems do men and women emigrants face at their destinations?

What changes have men and women who migrate temporarily undergone, in their manner of dress, speech, or relationships with other members of the community/ies?

Have these changes had a positive or negative effect in their community/ies? Why?

How much money do men and women who make back-and-forth or temporary population movements earn per month?

How much money do emigrants send to their families per month?

### Products to be obtained

A brief description of the chief characteristics of journeys made by men and women from the community/ies or micro-region; sex, age and education of emigrants; main population trends and migratory patterns (men and women), relating these to the agricultural calendar and their employment needs.

We should also identify the economic, social and cultural impacts that population movements generate on a micro-region.

## 5. A Day in the Life of a Rural Man and Woman

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### What does this mean? What does it involve?

A comparative table showing how a man and a woman who are members of a typical family in the community or micro-region spend their time over the course of a day. This will enable us to identify the free time and workload of a woman and a man in a day's activities, either generally or in specific periods or seasons of the year (rainy season, dry season, sowing, harvest, etc).

### What is it for?

To identify similarities and differences in the use of time, between a woman and a man of the community or micro-region. Knowledge of these differences will enable us to understand the inequalities between women's and men's workloads, and to find better ways to make gender relations fairer.

### How to do it?

The activities on which men and women of the zone spend their time are recorded on a sheet of paper, hour by hour. It is best to organize separate groups for men and women. Later, a table will be prepared for joint discussion of women's and men's different and shared roles.

### Useful questions

What time does the woman get up and what time does her husband get up?

What do they do after getting up?

Who prepares breakfast?

Who gets the children ready for school?

Who tidies the house?

Who looks after the animals?

Who works in the field? At what time do they start?

Who undertakes paid labour? How often and for how many hours?

Who gets lunch?

What time do they have lunch?

What time do farming tasks end?

Who looks after the children when they come back from school?

Who looks after the animals in the afternoon?

Who prepares supper?

How many hours of rest does each person have per day?

What time does the man go to bed? What time does the woman go to bed?

What is your opinion of these differences in time use?

### Useful tables

**Table 1. A day in the life of a man and a woman of the zone**

Hour	Activity undertaken by the man	Activity undertaken by the woman

**Table 2. Activities profile**

Activities	Who does what?			
	Women	Girl children	Men	Boy children
<b>Productive activities</b>				
1. Crops: Land preparation Sowing Irrigation Fumigation Pruning Harvest Selection/packing Marketing				
2. Forestry management				
3. Animal production Nutrition Grazing Inoculations Sale of by-products Sale of animals				
4. Wage earning work				
<b>Reproductive activities</b>				
1. Purchase of supplies				
2. Preparing food				
3. Cleaning the house				
4. Looking after children				
5. School homework				
6. Doing the washing				
<b>Community activities</b>				
1. Attendance at meetings				
2. Leadership roles				

### Products to be obtained

A comparative table showing how a man and a woman use their time during the day, preferably for specific periods or seasons in the year.

A comparative table showing the profile of specific tasks undertaken by men and women.

## 6. Culture, Customs and Values

### What does this mean? What does it involve?

Summary of general aspects of the zone's cultural traditions, its values and customs.

### What is it for?

Implementing a local development proposal requires valuing the knowledge and culture of the people of the zone. The information obtained reveals aspects relating to cultural goods and services, modes of cultural production and reproduction, the distinctive architecture and scenery of the territory or micro-region, the local knowledge and images that identify the territory, customs, music, dance, feeding practices and the way of life that distinguishes it from the rest of the country.

This analysis makes it possible to identify the goods, services, knowledge and images that identify the territory:

- ▶ Architecture and monuments
- ▶ Landscape and natural attractions
- ▶ Cultural activities: languages, music, dance, clothing
- ▶ Cultural services: local fairs, festivals, typical food, natural medicine

### How to do it?

This information can be obtained through a questionnaire that includes a number of questions for reflection. A group session can also be conducted, working with brainstorming, role play, illustrative drawings or charts, showing before and after situations, etc.

### Useful questions

What language do the people of the zone speak?

How do the men and women of the zone dress?

What are the main festivals of the zone? How are they usually celebrated?

Do the people of the zone have any beliefs that will bring them good luck or good harvests?

What are the main ritual foods (i.e. foods that are prepared on a special date) in the micro-region?

Record a story and 10 sayings or popular advice.

What is it that distinguishes the micro-region? Who buys local products, and why? And how can we serve them better?

What are the main musical compositions and traditional dances of the zone?

How have modernization process and communications media affected the local culture?

Is there an indigenous population? What are the characteristics of inter-ethnic relations (between indigenous and mixed-race peoples) in the region?

### **Products to be obtained**

- ▶ Basic information on the main cultural manifestations of the micro-region
- ▶ Identification of cultural products (goods, services, knowledge and images) that distinguish the zone and reveal its territorial advantages (absolute and comparative)

# ANNEX 2 GUIDELINES ON TERRITORY, NATURAL RESOURCES AND ENVIRONMENT

## 1. Physical Components of the Environment: Soils and Land Use

### What does this mean? What does it involve?

A brief description of the main characteristics of the soils of the community or micro-region: geology, topography, types of soils and how they are used.

### How to do it?

An initial approach to this can be made by a group, whose members work on three sheets of paper: on the first they briefly describe the general characteristics of soils (texture, colour, chemical composition); on the second, they draw a map showing current land use; and on the third they give details of potential land use. To make this work more effective, the group should have official maps from government or other institutions that are responsible for collecting and mapping soil data. This information will serve as a basis for the work to be done later by the technician responsible for systemizing the territorial diagnostic study

### Useful questions

What types of soil (clay, sandy, chalky, loamy, etc.) are there in the zone?

What is the area occupied by these soils?

Where are they located?

How much organic material do these soils contain?

Roughly how much land area is occupied by crops, natural grazing, cultivated grazing, natural forests and native plants, and cultivated forests?

What area consists of sandy areas, swamps, ravines, snow cover, etc?

What would be appropriate land use, in the opinion of the farmers of the zone? Do the men and women of the zone have different opinions on land use?

What would be appropriate use of the land, in the opinion of the Ministry of Agriculture and/or research centres?

### Where can information be obtained?

In public research institutions and universities.

## Products to be obtained

Soil maps and a brief description of:

- ▶ Soil characteristics, texture and chemical composition
- ▶ Current land use
- ▶ Potential land use

## 2. Physical Components of the Environment: Hydrology

### What does this mean? What does it involve?

A brief description of water sources, watersheds and sub-watersheds in the micro-region.

### What is it for?

To identify the main watersheds and water sources in the zone, low water-level periods, flows and the current and potential use of irrigation.

### How to do it?

The work is done in two stages. Firstly we prepare a map or a sketch of the zone, showing its rivers, ravines and lakes, or work from an existing map. We then complete the information using data obtained from a review of the specialist literature (documents, maps, records and bulletins of the institution responsible for planning and allocating irrigation water).

### Useful questions

What are the main rivers, ravines and lakes in the zone?

Does data exist on the flow of the main water sources?

Does data exist on the materials carried downstream in the rivers?

Does data exist on critical discharges?

How great is the difference between river flows at different times of the year?

Do rivers and streams sometimes/often dry up during part of the year?

### Where can information be obtained?

Universities, public institutions and meteorological stations.

### Useful table

Precipitation		
Months	Season A	Season B



## Products to be obtained

- ▶ A hydrology map and a brief description of the main water sources, periods of low water levels, flows and the current and potential use of irrigation.
- ▶ The different roles played by men, women and children in irrigation management.

### 3. Physical Components of the Environment: Weather

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#### What does this mean? What does it involve?

A brief description of average temperature, rainfall regime, winds, hurricanes, periods of frost, hail storms and other meteorological phenomena.

It is also possible to record the main microclimates, based on the ecological belts occupied by the communities in the micro-region under study. A brief explanation of the topography and geological features of the zone is also needed.

#### How to do it?

The information can be obtained through group work, inviting community promoters, farmers and technicians from friendly institutions, questioning them on average temperature, winds, periods in which there are frosts, rains, hurricanes, hail storms, etc., and recording the replies on a sheet of paper. The topographic and geological information can be compiled from direct observation, supported by a technician specializing in natural resource management; and, secondly, by a review of the specialist literature and cartography that exists in the country. A useful source of information is often the communities' old people, who are the inheritors of ancestral knowledge on the climate, and should therefore be valued as key informants.

This information should be completed with data obtained from the literature review, cartography, specialized statistics and visits to the nearest meteorological stations.

#### Useful questions

What is the average temperature in the high zone and low zone?

Which months are the coldest and which the least cold?

In which months does it rain?

Which months are the driest?

In which months are there frosts and hail storms?

In what direction do the winds blow? In which months are winds most intense?

How many ecological belts is the micro-region divided into?

Describe the topography of the zone?

#### Where can information be obtained?

- ▶ Meteorological authorities
- ▶ Ministries of Agriculture and/or Environment
- ▶ Universities
- ▶ Meteorological stations

#### Products to be obtained

A brief description of:

- ▶ The climate of the micro-region
- ▶ Rainy and dry seasons
- ▶ The temperature of the surroundings
- ▶ The main ecological belts of the micro-region
- ▶ The geology and physical geography of the zone

### 4. Biological Components of the Environment: Natural or Spontaneous Vegetation

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#### What does this mean? What does it involve?

A brief description of natural vegetation, forests and biodiversity in the community or micro-region's zone of influence.

#### What is it for?

To identify the natural and exotic shrub and tree species that have developed in the zone; native species of flora and fauna, and the potential uses that can be made of forestry resources.

#### How to do it?

Through a commission consisting of representatives from grassroots organizations, plantation managers and forestry promoters in the community or micro-region.

This commission should record the following information on a sheet of paper: the names of the native and exotic forestry species that have been found in the zone; a list or mapping of areas covered by natural vegetation and areas forested in each community; existing plantations and annual production.

To complement the information, use can be made of the **activities profile table**, and the **table on access to and control of natural resources and benefits**. These two instruments enable us to ascertain who has access to the resources and who controls and determines their use.

### Useful questions

What land area is occupied by natural vegetation and by cultivated forests in each community?

What are the main forestry, exotic and native species in the zone?

What use do the communities make of forestry products?

What tasks do men, women and children undertake in forestry management?

### Where can complementary information be obtained?

Universities, NGOs, state institutions

### Useful tables

Table 1. Land area of forests and natural vegetation			
Community	Primary forest	Cultivated forest	Total

Table 2. Native species	
Common name	Scientific name

Table 3. Forestry production in plantations	
Species	Quantity produced

### Products to be obtained

- ▶ Brief information on the community or micro-region's forestry resources, including data on the areas occupied by native and cultivated forests, production of saplings, and use of the forest's timber and non-timber resources
- ▶ A zoning of protective and producer forests
- ▶ Identification of conservation areas to be reforested, together with grazing and crop-growing areas. Ascertain the criteria used to define their boundaries
- ▶ Evaluation of timber and non-timber forestry resources, and a forestry management proposal.

- ▶ The different roles of men, women and children in forestry management

## 5. Ecosystems and Agro-Ecosystems

### What does this mean? What does it involve?

A brief description and evaluation of the life zones and ecosystems existing in the micro-region.

### What is it for?

To know the characteristics and location of the life zones that have been identified in the micro-region, and also briefly evaluate the potential of the ecosystem to contribute to the local economy.

The definition of "ecosystem" refers directly to natural conditions without any human intervention, whereas the concept of agro-ecosystem sees human activity as an important factor affecting the behaviour of nature. This not only obeys natural laws but is also affected by human decisions and activities.

### How to do it?

As an internationally recognized classification already exists, the information can be obtained by reviewing official maps and expanded through collaboration with the community/ies in the micro-region.

A meeting can be held for this purpose, coordinated by a committee of representatives from the different zones of interest (reflecting the presence of life zones and ecosystems) and representatives of conservationist organizations.

### Useful questions

- What life zones exist in the micro-region?
- What wild animals are living in these life zones (birds, mammals, fish, reptiles, amphibians, etc.)?
- What are the main sources of food for wild animals living in the zone?
- What are the stocks of these food sources?
- How fragmented are natural ecosystems?
- How important is local biodiversity?
- Have endemic species been identified?
- How important are local ecosystems for migratory species (north-south migration and migration between higher and lower altitudes)?
- Do the changes in natural ecosystems caused by human activities tend to isolate forests or forest remnants, or do these remain interconnected through some type of biological micro-corridor, such as hedges, riverbank vegetation, windbreaks, etc.?

How do wildlife, plants and animals contribute to family diets and economies?

What potential do local ecosystems have for eco-tourism or agro-tourism?

What environmental services do the existing ecosystems produce for local, national and international communities?

What potential is there for charging for these services?

### **Where can information be obtained?**

State institutions and universities, community, conservationist organizations, tourism institutions, environmental management institutions.

### **Products to be obtained**

A brief description of the life zones and ecosystems of the micro-region.

Characterization of current management systems.

A rapid evaluation of fragmentation or isolation trends (threat of genetic erosion for wild populations).

An analysis of their potential as: sources of animal or plant germoplasm, animal protein, environmental services (water, CO<sub>2</sub> fixing, landscape, etc.), ecotourism or tourism attractions, etc.

## **6. Environmental Impacts, Erosion and Deforestation**

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### **What does this mean? What does it involve?**

A brief description of the level of pollution, deforestation or erosion present in the micro-region.

### **What is it for?**

To identify human practices that have negative environmental impacts on soil, water, trees, fauna and biodiversity. Such practices may be agricultural activities that entail deforestation, monoculture, stubble burning, large applications of pesticides and agro-chemicals, intensive short-cycle crop growing, inappropriate management of livestock or certain agribusiness activities. The aim is to identify the practices used by farmers in their productive activities and the negative environmental impacts caused by them.

### **How to do it?**

Through a group set up to describe farmers' main productive activities, and the forms of deforestation and erosion visible in the micro-region (especially water and wind erosion); and indicating in a sketch the places that are most affected by deforestation

and/or erosion. The group should also analyse the possible economic, social, cultural and institutional causes of the spread of erosion and/or deforestation processes.

### **Useful questions**

Where can the spread of erosion and/or deforestation be seen?

In what condition is the topsoil in such places?

Where can deep ravines and gulleys be seen?

Where can one see very impoverished soils, or stones on the surface?

Where can one see the spread of desertification (expansion of sandy areas, poor and uncovered soils, bare rock, etc)?

What crops involve deforestation activities?

Are single crops sown in the micro-region?

Do farmers burn stubble?

For how much of the year do farmers leave the soil uncovered? How do they manage their short- cycle crop growing activities?

What criteria do they use when applying fertilizers and agro-chemicals?

To what extent do animal husbandry practices affect erosion?

### **Where can complementary data be obtained?**

Universities, NGOs, State institutions of the sector.

### **Products to be obtained**

A brief description on the main environmental impacts caused by farming practices, and information on the spread of deforestation and erosion in the zone being studied.

## **7. Natural Resource Use and Environmental Conflicts**

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This topic invites reflection on the economic and cultural aspects of environmental conflicts (non-sustainability of community or individual productive patterns).

### **What does this mean? What does it involve?**

A description of the cultural and economic reasons for local patterns of natural resource use, going back to previous generations, which, through their interaction with the environment, explain the trends of local environmental conflicts.<sup>5</sup>

5. This topic illustrates why systemic analysis needs to include information produced by the different areas of the diagnostic study.

### **What is it for?**

To identify the roots and trends of local environmental conflicts caused by the productive activities of families in the micro-region. This is done by reflecting on how resources are being used, the conflicts that such use causes, and the various reasons why conflicts occur.

As a result, the generally subconscious, and in some cases apparently insurmountable, reasons for economic-environmental conflicts can be made explicit to the communities.

It would also be helpful if the technical team could use exercises of this type to convince the communities that their aim as external collaborators, respectful of local processes, is not to assign blame for past errors in natural resource management. Although community or individual responsibility cannot be denied, it needs to be made clear that the aim is to find solutions to their unsustainable development patterns.

### **How to do it?**

This information can be obtained in a diagnostic meeting on the cultural situation, based on a short questionnaire containing issues for reflection. The replies can be compiled in various ways, such as brainstorming, role-play, drawings or charts showing before and after, etc.

### **Useful questions**

How long ago were our communities established?  
Where do our families come from?

What, where, and with what technologies did our parents and grandparents produce their food and other necessities?

What was our parents' and grandparents' production or family survival strategy?

In how many different places have we lived over the last 20 years?

If we came from other regions, why did we emigrate? What conditions or changes were we looking for when we emigrated? What differences did we find in current environmental conditions (soils, slopes, precipitation, altitude, cloud cover)?

What are our current production or family survival strategies?

What agricultural products have the highest yield in the different areas of the micro-region and why?

What production technologies do we use, and what technological constraints do we want to overcome?

Have we noticed changes in our way of life or production caused by livestock, agriculture, agro-chemical use, deforestation or reforestation?

Do we leave land fallow or at rest?

What environmental degradation trends are visible in the micro-region and what causes them?

How can local environmental degradation processes be halted, and how would such decisions affect family economies?

Are our productive practices the most suitable for local agro-ecological conditions?

What changes are needed in our productive behaviour (technologies, production alternatives, organizations), to be able to produce and develop sustainably?

### **Products to be obtained**

Identification of environmental degradation patterns, the cultural and/or economic reasons that cause them, and the solutions that are available.

Awareness-raising among the community/ies of the importance of adapting productive practices to local agro-ecological conditions, technologies and available markets.

# ANNEX 3 GUIDELINES ON MAIN ECONOMIC ACTIVITIES

## 1. Production: Representative Farming Units (RFUs)

### What does this mean? What does it involve?

A brief outline of families' agricultural and forestry production, using models representing different farm sizes or of the main ecological zones in the micro-region. Each of these representative models will be referred to as an RFU (Representative Farming Unit).

### What is it for?

RFUs enable us to explain, in a very approximate way, how a typical family produces, how it exploits the land area available to it, and how it organizes its work and allocates its members' resources, e.g. land and labour.

### How to do it?

Through group work, using sheets of paper to record data on the area cultivated, the spatial distribution of the different crops and associations, livestock breeding (large or small animals), and participation by family members in the productive process.

### Useful questions

How can the RFUs in the micro-region be classified? By size and number of farms or land plots? By agro-ecological belt? What is the income level or poverty situation?

What is the area covered by each RFU?

How is the cultivated area distributed in each RFU?

What is the productivity or yield achieved by each crop? How many kilograms or hundredweight are obtained per unit area (hectare, *manzana*, etc.)? What differences are there between RFUs?

How is the work of family members organized and exploited within each RFU? What differences are there between RFUs?

What are the main pests and diseases in the different crops? How are they controlled?

What is the harvest process? What technology is used? What differences are there between the various RFUs?

How many head of cattle, pigs, sheep, guinea pigs, rabbits and poultry does a typical family have in each RFU?

What are the main diseases of the different animal species? How are they controlled? What differences are there between RFUs?

What animal products are obtained? How are they obtained? What differences are there between RFUs?

Do families receive technical assistance and agricultural training? Who provides such services? Who receives most training, men or women? What differences are there between RFUs?

What are the families' main strategies to reduce the effects of adverse weather (frost, wind, drought, flood), and pests and diseases? What differences are there between RFUs?

How is production stored and preserved? What differences are there between RFUs?

How do children and women participate in this process? What differences are there between RFUs?

Which production systems are best for each RFU?

### Useful drawing

Make a sketch of a land plot, representing each RFU that we wish to describe; and inside it draw the house, the stockyard and the distribution of the main crops.

### Useful tables

Land use						
Land use	Area		Yield		Site (slope, etc.)	Uses
	Quantity	Unit	Quantity	Unit		

Animals on the farm			
Animal	Quantity	Location	Use

6. Taking account of its characteristics.

Trees on the farm					
Species	Quantity	System	Area/ length	Site	Uses

### Products to be obtained

Summary information and a drawing for each type of RFU identified in the micro-region.

Data can be collected on the following:

- ▶ Main crops and area cultivated
- ▶ Irrigated and non-irrigated crops
- ▶ Yields for each crop
- ▶ Strategies to reduce climate risk
- ▶ Pests and diseases; phytosanitary controls
- ▶ Harvest
- ▶ Storage
- ▶ Different roles of men, women and children in farm production
- ▶ Estimated population of domestic animals
- ▶ Animal management and husbandry practices
- ▶ The most common diseases and health control
- ▶ Control of the reproductive process
- ▶ Nutrition
- ▶ Products exploited by the families: meat, milk, eggs, wool, etc.
- ▶ Sale of live animals and by-products
- ▶ Different roles of men, women and children in animal husbandry

### Examples of summary tables

Land use (amounts in hectares)								
Model	#	Wheat		Grazing		....		Total
		RFU	Total	RFU	Total	....	....	
1								
2								
3								
4								
5								
Tot.								

Inventory of animals (No. of head)								
Model	#	Cattle		Sheep		....		Total
		RFU	Total	RFU	Total	....	....	
1								
2								
3								
4								
5								
Tot.								

## 2. Production: Family Economies and Survival Strategies

### What does this mean? What does it involve?

A brief explanation on the functioning of family economies and their survival strategies.

### What is it for?

To help us identify the main sources of family income, the expenses they incur to meet their basic needs, their productive investments, organization of the productive process, distribution of tasks and responsibilities among family members, and their survival strategies.

### How to do it?

Through group work, using sheets of paper containing a list of questions on family economies and their functioning. The different replies from those attending will then be collected.

### Useful questions

Which crops are produced for the market and which are for family consumption?

How much of the production of each crop is for family consumption and how much is sent to the market?

What are the main sources of family income?

What jobs are available in the zone?

Who finds it easier to obtain employment locally, men or women?

What monetary income (record the annual volume sold and its value) comes from:

- ▶ sale of agricultural products
- ▶ sale of animals
- ▶ sale of handicrafts
- ▶ sale of by-products (milk, meat, eggs, wool, etc.)
- ▶ wages

- ▶ remittances from abroad
- ▶ other sources of monetary income

What non-monetary income (estimate annual volume and monetary value of production for self-consumption) comes from:

- ▶ crop production
- ▶ livestock production
- ▶ production of handicrafts (clothing and other items)
- ▶ sale of by-products (milk, meat, eggs, wool, etc.)

What type of contribution is made by the different family members (men, women, the elderly, young people and children) in the composition of the family income?

Who manages the family income, men or women?

What are the family's main expenses?

How much is spent on food, clothing, housing, health, education, transport, leisure and culture?

Does the family contribute to the community? Are such contributions in money, work or kind?

What is the family's saving capacity?

Who has greater saving capacity, men or women? Explain why.

In what way (how and how much) are the survival strategies of family economies influenced by solidarity among community members (voluntary work, reciprocal contributions, mingas,<sup>7</sup> etc.)?

What proportion of families are living on survival strategies and what percentage could be pursuing an asset accumulation or capitalization strategy?

### Useful tables

Table 1. Family income sources				
Agricultural production	Annual production		% of production for self-consumption	% of production for sale
	Volume	Value		
Crop 1				
Crop 2				
Crop 2				
Crop 3				
Livestock production	Annual production		% of production for self-consumption	% of production for sale
	Volume	Value		
Cattle				
Sheep				
Pigs				
Guinea-pigs				

7. *Minga*: Reciprocal contribution of labour between the members of a community.

8. These tables should not be completed at the meeting or in a work group, because of the risk of obtaining unreliable information. Provided favourable conditions exist, they should be filled out in an interview with a representative number of households for each RFU in the micro-region.

Livestock production	Annual production		% of production for self-consumption	% of production for sale
	Volume	Value		
Poultry				
Rabbits				
Eggs				
Wool				
Milk				
Cheeses				
Animal fertilizer				
Other incomes				Estimated income
Informal trade				
Sale of handicrafts				
Wage earning work				
Contributions from other family members				

**Table 2. Outgoings of a typical family**

Category	Estimated outgoing
Nutrition	
Clothing and footwear	
Housing	
Health	
Education	
Purchase of productive inputs	
Purchase of tools	
Transport	
Recreation and culture	
Saving	
Contingencies and other expenses	
<b>Total outgoings</b>	

### Products to be obtained

Brief information on family economies and survival strategies.

What is the importance of agricultural or agro-forestry activity in family economies?

How important are the market and self-consumption?

What are the main sources of employment in the zone?

What are the key characteristics and trends in non-farming rural employment?

Two tables<sup>8</sup>:

- ▶ one to record the main sources of income in farm households
- ▶ and the other to record family expenses.

### 3. Production: Annual Calendar

#### What does this mean? What does it involve?

A simple table showing the main activities carried out in the community/ies of the zone or micro-region, month by month.

#### What is it for?

Para conocer cómo distribuyen su tiempo a lo largo del año, hombres y mujeres de la zona o micro-región, así como para saber: (i) los tiempos de siembras y cosechas, deshierbas, aporques y otras actividades productivas; (ii) los períodos de lluvia, sequías y granizadas; (iii) los días festivos; (iv) el tiempo dedicado a la ritualidad agraria; (v) las épocas más adecuadas para la poda, la esquila y las castraciones; (vi) el tiempo dedicado a las actividades culturales y organizativas, etc.

#### How to do it?

This information can be obtained in group work, using various procedures such as brainstorming, drawings, posters, etc.

#### Useful questions

What are the main festivals in the zone? In which month are they held?

In which months are the different crops of the zone usually sown and harvested? How do men, women and children participate in these activities?

Which are the best months for pruning, and shearing and castration of animals? Who does this? How do men, women and children participate in these activities?

What is the best period for cutting trees? Why?

#### Useful table

Month	Activity

#### Useful drawing

A circle divided into 12 parts corresponding to the 12 months of the year, on which we indicate the various activities carried out in each month.

#### Products to be obtained

A table or drawing showing the main activities of the community/ies' annual calendar, supported by a brief explanation.

### 4. Production: Land Holding

#### What does this mean? What does it involve?

A brief description of the size of RFUs and the forms of land holding that exist in the micro-region or community/ies zone of influence.

#### What is it for?

To identify potential land holding problems in the zone, and possible solutions.

#### How to do it?

Either through a specialized survey, or by discussing the problem in a participatory diagnostic workshop, filling the statistical table with approximate data provided by community representatives.

#### Useful questions

How many forms of landholding are there in the micro-region?

How has landholding in the zone evolved over the last 20 years? Were there estates in this zone or micro-region in the past?

Were such estates affected by the agrarian reform process?

What is the average size of a small farm?

What are the approximate areas of privately owned land, community land, land occupied under rental agreements, State property, and non-legalized land possession (family inheritance that is not registered or notarized)?

Have the families subdivided their land?

When was it subdivided?

In what percentage was it subdivided?

What landholding problems do people have in the zone?

What is the minimum size of an RFU to ensure that a family can produce enough food and product for sale to escape poverty? What proportion of farms in the community or micro-region reach this minimum size?

#### Useful table

Community	Private property	Community property	Possession without title	State land	Total



### Products to be obtained ?

A statistical table on land holding in the micro-region or area of influence of the community/ies, accompanied by a brief analysis.

## 5. Handicraft Production

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### What does this mean? What does it involve?

A brief description of the handicraft activities carried out in the zone or micro-region.

### What is it for?

To make an inventory of the main handicrafts produced in the zone or micro-region and to design a strategy for improving quality and making the most of this activity.

### How to do it?

In a workshop, assigning the task to a commission of representatives of men and women involved in handicraft production, and individuals with knowledge on this subject. The commission should record on sheets of paper as much information as possible on handicraft production in the zone or micro-region.

### Useful questions

What are the main handicraft products of the zone or micro-region? Who works in this activity?

Are these artistic or utilitarian handicrafts?

Where is the raw material obtained from? Who produces?

Briefly describe the productive process.

How are handicrafts marketed?

Is handicraft work done to order or on own account?

How big is the handicrafts market?

How much income per month is generated by handicrafts for the family economy?

### Products to be obtained

Summary of the main characteristics of handicraft production in the zone or micro-region (contribution to income and local employment).

## 6. Marketing and Post-harvest Activities

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### What does this mean? What does it involve?

A brief description of the packaging, transport and marketing processes for farm produce in the micro-region.

### What is it for?

To find out how small farmers handle their production after harvest; including the packaging techniques used (if any) for the harvested product, and what means of transport are available to get the product to the point of sale or storage. It will also help in understanding the problems that arise in this phase and the marketing process.

Knowledge of these problems will make it possible to design a strategy to avoid losses and improve the packing, transport and marketing techniques used by local farmers.

It will also provide us with information on the operation of systems for marketing and storing production inputs, consumer goods for the population, and goods produced by farmers.

### How to do it?

Through group work, using sheets of paper containing a list of questions on the farm produce transport and marketing process. Participants' replies will then be collected.

### Useful questions

#### 1. Post-harvest management and treatment

How are harvested products selected and packed?

What treatment do the products undergo before sale (e.g. selection, washing, packaging)?

What storage facilities are there in the community/ies? How many producers have access to these facilities? What condition are they in? Who runs them?

What problems arise in the marketing of perishable products, such as green vegetables, pulses and fruits?

Is there much rejection of products at the point of sale, because of poor quality and post-harvest management problems?

What are the main problems in the packing, transport and marketing of farm produce?

Is any technology used (bio-digesters, fertilizers, etc.) to exploit the waste from farm products and, at the same time, minimize the pollution caused by them?

#### 2. Market access

Where is farm produce generally sold?

What sort of person buys it?

How are large and small animals marketed?

How are by-products marketed: milk, cheeses, eggs, etc?

How are these products transported?

How much does it cost to transport seeds, fertilizers and raw materials?

How much does it cost to transport the goods produced?

Are there access roads to the communities?

What condition are they in? Are they usable year round?

How many intermediaries participate in the marketing chain?

Do any members of the communities of the zone or micro-region work as small-scale traders in agricultural products?

Do any agribusinesses use the products of the zone as raw material?

Do any traders purchase the product before the harvest? If so, what advance payment do they make?

Are there any organizations in the region that can help the communities gain access to preferential or specialized markets such as those of organic products or certified timbers?

### 3. Local fairs and sales

Where and when are the nearest agricultural or livestock fairs held?

Is there a market in the district or in the micro-region?

On what day(s) are local fairs held in the communities or micro-region?

How many sale points are there?

What are the main products sold at those sale points?

How are the fairs managed?

Are fees or taxes charged for occupying a site in the market?

Who collects these payments?

What is the money collected used for?

### 4. Basic inputs and products

How does the system of productive input marketing and storage operate?

How does the marketing and storage system operate for consumer goods?

Is the micro-region wholly dependent on inputs from outside, or has it developed technologies to make better use of local resources? (e.g. production of organic fertilizers using organic waste material from previous harvests or animal excrement).

### 5. Prices

Do product prices change much from month to month or from year to year? How?

How do local farmers find out about market prices?

What is the difference between the prices received by the producer and the prices of sale to the consumer in the nearest market or town?

### Products to be obtained

Brief information on post-harvest management and the marketing process.

Information on how the population interacts with the local, regional, national and export market in terms of:

- ▶ input supply
- ▶ exploitation of agricultural waste
- ▶ provision of consumer goods
- ▶ marketing of farm produce

### Useful table

Table 1. Patterns of marketing					
Crop and livestock production	Post-harvest treatment (includes packaging and storage)	Point of sale and type of buyer	Payments system and price variation	Market access (transport, roads) and distance	Estimation of demand (strong, moderate, weak)
Product 1					
Product 2					
Product 3					
Product 4					
Inputs and basic products	Source of products	Type of seller	Frequency of purchase	Type of payment and availability of credit	Proportion of farmers purchasing
Product 1					
Product 2					
Product 3					
Product 4					

## 7. Rural Financial Services

### What does this mean? What does it involve?

A tool for analyzing local saving and loans, and other rural financial services in the zone or micro-region.

### **What is it for?**

To assess the access that local producers have to different financial services (loans, saving, transfers, etc.), the various obstacles they face in obtaining credit, and the conditions attached to such services (collateral, interest rates, maturities).

### **How to do it?**

This can be done using a blackboard or sheet of paper to record the replies given to a list of questions on credit.

### **Useful questions**

What financial services are available at the local level (credit, saving, transfer, etc)?

What financial services are available to local producers?

Are banking and non-banking financial services provided by formal sources (i.e. banks, NGOs, cooperatives, etc.), or by informal ones (moneylenders, family relatives, traders-buyers, industry suppliers, exporters)?

How difficult is it to obtain credit for local production?

Do any saving and loan communities or associations exist in the zone?

Is there an institution active in, or near, the community or micro-region that promotes credit for women?

Have the families of the community/ies of the zone or micro-region obtained credit in the past few years? From what institution or individual? How do they rate the experience? What are the main problems of the credit service at the present time?

What is their opinion on amounts, interest rates, collateral, and loan recovery?

Do informal credit networks operate between community members? How do they operate? What is the interest rate? How is the loan collected?

What obstacles (roads, marketing channels, guarantees, etc.) do local producers face in obtaining credit to exploit realistic opportunities for improving their incomes? How can such obstacles be overcome?

### **Products to be obtained**

Brief information on rural financial services in the micro-region or community/ies zone of influence.

- ▶ A list of lending institutions
- ▶ Demand for financial saving and/or loan services in the community/ies
- ▶ A list of the main obstacles to obtaining these services

## ANNEX 4

# GUIDELINES ON LOCAL INSTITUTIONS AND ORGANIZATIONS

### 1. Management Capacity of Local Organizations

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#### What does this mean? What does it involve?

A brief description of the experience and capacity of organizations and communities in relation to the following activities:

- Functioning of the organization
- Participation in local development projects or other support activities
- Resolution of internal conflicts
- Fulfilment of commitments
- Formulation of proposals to influence local and regional society

#### What is it for?

To find out whether organizations and their communities require strengthening; and, if so, in what areas?

#### How to do it?

In plenary or group-work sessions, using sheets of paper, coordinated by a person playing the role of facilitator, and with participation by community members.

#### Useful questions

What local organizations are there? Do they have legal status? Do they have different functions?

If there are several local organizations are there tensions or conflicts between them?

Do members of the community/ies or organization(s) help finance the organization's activities?

How much time do organizations spend in general assemblies?

How frequently do their boards of directors meet?

Are minutes kept of assemblies and meetings?

Are balance sheets prepared and accounting records kept?

Are such records manual or computerized?

Are external audits performed?

When and at what event was the current board of directors appointed?

How and with what mechanisms do grassroots members assess their leaders' performance?

How often is community work done?

Who participates in community work?

What tasks are carried out collectively and free of charge?

Do organizations and their communities have experience in managing development projects or programmes?

Do the organizations or communities have local technicians and promoters?

Is the work of promoters remunerated? If so, where does the money to pay them come from?

How are important decisions affecting all organization members taken?

What mechanisms do community members have to supervise the work of their leaders?

#### Products to be obtained r?

Summary of the social capital of the micro-region and/or the management capacity of communities and the organizations that group them together.

Identification of the areas of training and technical assistance / institutional strengthening required by the different communities, entities and local institutions to fulfil the objectives and actions established in the local development plan.

### 2. SWOT Analysis: The Community's Strengths, Weaknesses, Opportunities and Threats

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#### What does this mean? What does it involve?

A table that records the main strengths, weaknesses, opportunities and threats of the community/ies or organization(s).

#### What is it for?

The SWOT table allows us to make a brief assessment of the current situation of the community/ies or organization(s), and to define a strategy to exploit strengths and opportunities more effectively, while reducing the importance of weaknesses and threats.

The strategy makes it possible to see where improvements are needed in the management capacity of the organizations.

#### How to do it?

In a plenary session or group work, using a sheet of paper divided into four parts to record and rank the strengths, weaknesses, opportunities and threats.

When producing this table, it needs to be remembered that strengths and weaknesses are internal, whereas opportunities and threats are external.

### Useful questions

What are the most positive aspects of the community or organization (strengths)?

Why are these aspects the most positive?

What are the most negative aspects of the community or organization (weaknesses)?

Why are these aspects the most negative?

What are the positive external aspects or opportunities facing the community or organization at the present time? Where do they come from?

What are the negative external aspects or potential threats facing the community or organization? Where do they come from?

### Useful table

SWOT analysis of the community or organization.	
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### Products to be obtained

- ▶ A SWOT analysis table of the community/ies or organization(s).
- ▶ Identification of areas that need strengthening in local communities, organizations and institutions, to enable them to implement their management and local development proposals.

## 3. Socio-Territorial Stakeholders (Interest Groups)

### What does this mean? What does it involve?

Summary of the various interest groups, associations and organizations that exist in the micro-region.

### What is it for?

To discover the roles and activities of the various interest groups in the micro-region, or those in the communities. These include: neighbourhoods, work groups, youth clubs, co-operatives, agricultural worker associations, women's organizations, parents' associations, religious organizations, saving and loan associations, irrigation boards, local development committees, etc.

### How to do it?

In group work coordinated by a person acting as facilitator, using a sheet of paper, and with participation from everyone present.

### Useful questions

What common interest or activity groups are there in the community/ies or micro-region?

What women's organizations operate in the community/ies or micro-region? How many members do they have? What are their aims? How do they relate to other local stakeholders and/or the community/ies?

What religious organizations are there in the community/ies? What are the relations like between these organizations and the community/ies?

What youth organizations are there in the zone? What activities do they undertake? What are the relations like between these organizations and the community/ies?

What other organizations are there in the zone? What are their relations like with the community/ies?

Are there any conflicts between the community/ies and interest groups in the zone? If there are, what is the cause? How can these conflicts be overcome?

### Useful table

Table 1. Interest groups of the zone or micro-region			
Organization and when established	Activities carried out	Role or function in local development	Number of members within the area

### Useful drawing

A map or sketch of the communities in the micro-region, with symbols representing the various interest groups that exist in the communities

### Products to be obtained

Brief information on interest groups existing in the communities

A map or sketch showing the spatial distribution of the various interest groups that operate within the communities or micro-region

A register of interest group leaders, for the purpose of inviting them, without exclusion, to activities relating to the preparation of participatory diagnostic study and the local or territorial development plan.

#### 4. Presence of Development Institutions within the Zone

##### What does this mean? What does it involve?

Summary of public development institutions, private entities and NGOs working in the micro-region in which the community/ies is/are settled.

##### What is it for?

To identify the activities these organizations undertake or have undertaken, the policy and development approach adopted by NGOs and the public institutions working in the zone; and on the basis of this information, to identify their potential contribution to the objectives and targets established in the territorial or local development plan.

##### How to do it?

In a plenary session or group work coordinated by a person acting as facilitator, using a sheet of paper, and with participation from everyone present.

##### Useful questions

What public (State) institutions, local governments, private firms and NGOs have a significant presence in the zone?

In which sectors do each of these institutions operate and what concrete activities have they carried out or are they currently carrying out?

What do the officials of each of these institutions think of the organizations participating in decision-making in the projects and programmes that they execute?

How do members of the community/ies rate the work of these institutions?

##### Useful table

Table 1. Development institutions present in the zone and their activities			
Institution	What activities does it carry out?	Who does it work with?	Participation in decision-making

##### Useful drawing

A central circle symbolizing the community or micro-region, with other circles drawn around it to represent the various development institutions.

If the institution has strong presence in the zone, we draw a large circle, otherwise a small one. If it coordinates all its activities with the community/ies, we draw a thick line between this circle and the circle representing the community or micro-region; if it coordinates only a few activities we draw a thin or dotted line between the two circles; if it does not work with the community or micro-region, or its presence is "hypothetical" no line is drawn between the circles.

We can also make distinctions by using different colours.

##### Products to be obtained

Summary of the development institutions that work in the zone, by sector.

A table or drawing to show what development institutions do and the type of relationship they maintain with the community or micro-region.

A record of development institutions that work in the zone or micro-region, for the purpose of defining their function in the territorial or local development plan.

# ANNEX 5 GUIDELINES ON SOCIAL AND PRODUCTIVE INFRASTRUCTURE

## 1. Social Infrastructure and Basic Services

### What does this mean? What does it involve?

Summary of social infrastructure works and the basic services that exist in the territory or micro-region in which we are working.

### What is it for?

To show, in a simple way, what communities and local producers have in terms of social infrastructure and basic utilities and what they need.

### How to do it?

In a plenary session or group work, using sheets of paper containing a list of questions on social infrastructure and basic services. The replies given by participants will then be collected.

### Useful questions

#### 1. Water for human consumption

How many communities have piped/running water and how many do not? Do they have plumbing inside their dwelling? How much does each family pay for this service?

#### 2. Sewage disposal

How many families have latrines or sewerage services and how many not?

#### 3. Electric power

How many families have this service?

#### 4. Telephone

Which families have this service?

#### 5. Local schools

Where are they located? How many classrooms do they have? How are they equipped? Are the construction materials used suitable? How many communities do they serve?

#### 6. Community homes

Where are these located?

#### 7. Other social infrastructure works

What are they? ¿Where are they located?

#### 8. Health posts and health services

How many health centres, subcentres or first-aid posts are there in the zone? Where are they located?

How many patients were attended in the health centre per month or year?

What care do women receive during pregnancy?

What inoculations do children receive?

Where are patients with serious illnesses treated?

Do folk healers give patients different treatment from that provided by a doctor? Who do we feel more comfortable with when we are ill? Why? Who gives us the best guarantee of getting better, and in what illnesses? Why?

What are the key medicinal plants of the zone and what are they used for?

### Useful tables

**Table 1. Availability of basic services**

Community	Access road	Piped water	Electric power	Latrines	Telephone

**Table 2. Installed social infrastructure**

Community	Health post	Local school	Community home	Catholic Church	Evangelical Church

**Table 3. School constructions**

School (community)	Number of classrooms	Floor	Walls	Roof

## Products to be obtained

One or more statistics on the coverage of infrastructure and basic services of the communities or micro-region.

Brief description of the quality of the services available to the communities.

## 2. Productive Infrastructure

### What does this mean? What does it involve?

Summary of productive infrastructure works and production services available in the area of influence of the communities or micro-region.

### What is it for?

To show, in a simple way, what communities and producers have in terms of productive infrastructure and production services and what they need.

### How to do it?

In a plenary session or group work, using sheets of paper setting out a list of useful questions and the corresponding replies from those attending.

### Useful questions

#### 1. Electric power

How many families have this service? How many do not?

Is the available electric power sufficient to install agribusiness equipment?

#### 2. Access roads

How can each community and its members' farms be reached?

How far is each community to the nearest city?

Are the access roads to the communities suitable for vehicles or only for animal traffic? Are the roads for vehicles paved, hardcore, rubble or dirt roads? What state are they in? Are they passable in winter? Who maintains the roads and how?

#### 3. Markets

Where are these located? How many sales points are there in the community?

#### 4. Storage centres

Where are these located? What product is stored in them? Are they used or not?

#### 5. Irrigation channels and ditches

Place of origin, length, capacity, flow, materials with which they are built, area of influence of irrigation systems.

#### 6. Agribusiness installations

Where are these located? How are they equipped? Are they well used?

#### 7. Handicraft centres

Where are these located? How are they equipped? Are they well used?

#### 8. Other constructions

Livestock breeding centres, cheese-making facilities, stables, etc.

### Useful tables

**Table 1. Productive infrastructure**

Community	Ditch or channel	Storage centre	Market	Livestock breeding centre

**Table 2. Irrigation ditch or channel**

Name	Community	Origin	Length	Length of lining

**Table 3. Access roads**

Community	Type of road	Length

### Products to be obtained

One or more statistical tables on the coverage of productive infrastructure and support services for the production of the communities or micro-region.

Brief description of the quality of productive infrastructure and production services available to the communities.



In recent years, locally designed and managed investment projects have assumed increasing importance as effective tools for sustainable rural development. Supporting local communities to conceive and implement their own projects – whether for income generating activities or for social investments – not only ensures greater ownership and commitment to those projects, but also strengthens the capacity of communities to contribute to and manage their own development. However, the increasing adoption of this approach by national governments, international financing agencies and rural banks has also highlighted the critical importance of providing adequate support and guidance to national technicians working with communities and other groups in identifying investment needs, defining potential projects, and developing them for external financing.

RuralInvest answers this need by offering a series of modules, developed over a number of years and tested extensively in the field, which provide such support through a range of materials and training courses, and include technical manuals, custom developed software and instructors' guides. Modules currently in use or under development include:

**Module 1: Participatory Identification of Local Investment Needs**

**Module 2: Preparing and Using Project Profiles**

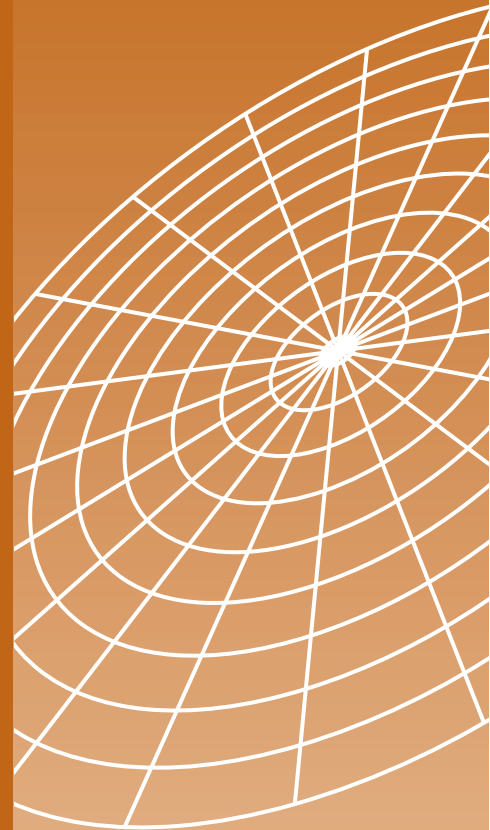
**Module 3: Detailed Project Formulation and Analysis**

**Module 4: Monitoring and Evaluation of RuralInvest Projects**

An associated training course “**Assessing Demand for Rural Investments**” is also available to assist technicians to evaluate market and non-market demand for project outputs.

### **Module 1 – Participatory identification of Local Investment Needs**

This first module of RuralInvest provides guidance to communities in constructing a local development plan that identifies those actions and investments which respond to the challenges they face. The process starts with participants working together to define and assess the key characteristics of their area, including the local population, the physical environment, economic activities, local institutions and infrastructure, and continues by guiding them in using this information to prioritize their needs and priorities. Communities are supported in these tasks by a support technician who has received training in the application of RuralInvest tools and methodologies and has experience in participatory planning. Communities which have already undertaken a recent participatory assessment and planning process, or individual applicants who have a clear idea of their investment priorities, may wish to pass directly to Module 2 in which investment profiles are developed.



Further information on RuralInvest or other FAO Investment Centre products and services can be obtained from:

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