APPENDIX I

SPECIFIC RRA APPROACHES

Packages of RRA Tools

1. *Diagnosis and* Design *(D&D) by the International Centre for Research on Agroforestry (ICRAF)*

Basic approach

Use of a multistage set of diagnostic surveys and planning discussions at village and agency level to analyze problems, and existing knowledge, and develop an action plan for community and farm forestry.

Key concepts

Surveys should elicit information on problems and potentials, functional needs of the system, what landscape niches are available for supply needs, what indigenous and exotic species are appropriate in what arrangements, and what management practices are needed to achieve performance objectives.

Comments

This is basically an adaptation of a Farming Systems Research/Extension methodology to tree planting and integrated agroforestry systems. This has recently been applied as well to watershed management diagnosis and research programme design. "D&D nests research questions within technology design questions to keep research relevant to technology generation and technology generation to rural development." (Raintree and Hoskins, in Regional Wood Energy Programme, 1988).

Tools

Minimum data sets, flow charts on socioeconomic attributes of trees.

Training

ICRAF has two training courses a year in this methodology for African institutes and researchers.

Materials

Numerous documents on basic methodology, case studies using D&D, and detailed checklists of information that may be pertinent to design.

WRITE TO

John Raintrec, ICRAF House, off Limuru Road,Gigiri, P O Box 30677, Nairobi,Kenya.

2. Rapid Rural Appraisal Methods at Khon Kaen University, Thailand

Basic approach

RRA has been adapted to natural resource management and forestry over a period of years at the Rural Systems Research Centre in Khon Kaen University. RRA techniques are used to:

- explore, identify and diagnose rural situations, problems and issues;
- design, implement, monitor and evaluate programmes, projects and development actions;
- help develop, extend and transfer technology;
- assist in policy formulation and decision-making;
- respond to emergencies and disasters; and
- improve, supplement or complement other forms of research.

Key concepts

Adequate Preparatory phase of data analysis to elaborate research objectives, and to help guide interviews, interactive research tools, open-ended research plans, agroccosystems analysis, time/space/logic schematics, dialogue at local level, interactive learning, indigenous categories of knowledge and resources.

Comments

Have generated many study examples in Thailand by Khon Kaen and Khon Kaen-trained practitioners on forestry, fisheries, water resource management, education, small-scale enterprise, and health and nutrition.

Training

Intensive training capability which Khon Kaen is now trying to transfer to other institutions in Thailand to allow training staff to work on own research and

programmes. Developing training materials for dissemination outside. Stresses that training skills are **not quickly** acquired and focusses on **apprenticing** newer practitioners to experienced fieldworkers. "As **an analogy,** the musician Plays easily, but this skill is not as easily acquired as it looks."[*]

Materials

Two-volume set of articles and case studies on RRA. Numerous case studies of RRA applications.

WRITE TO:

Dr Terd Charoenwatana, KKU-Ford Rural System Research Project, Khon Kaen University, Khon Kaen, Thailand.

3. Rapid Rural Appraisal Methods at the Institute for Development Studies (IDS), Sussex, Great Britain

Basic approach

This Institute's work in RRA under Robert Chambers has focussed on generating materials on overall methods and underlying principles. Two key areas emerging from the work at IDS are:

- Elaboration of the concept of **the** "resource-poor farmer" as a focus of investigation and planning; and
- Work on irrigation management systems and planning (for farmer-participating irrigation systems).

Key concepts

Basic principles are cross-checking (triangulation), avoiding biases and pitfalls due to poor interview methods, tight team interaction, and attention to **the** gains and losses of less visible groups in the population from planned or executed interventions. Concerned with interactive tools, such as ranking, schematics and systems mapping. In comparison to agroecosystems analysis, has slightly different concepts for water management.

Training

Runs various workshops at IDS or for other organizations using RRA. The RRA methodology is taught as part of the two-year, M.Phil. programme in Development

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[*] Grandstaff, Terry, and Grandstaff, Somluckrat W: Rapid Rural Appraisal in Forestry Extension, IN: *Planning* Forestry Extension Programmes, Field Document No. 8, Regional Wood Energy Development Programme in Asia, FAO, May 1988.

Studies. IDS also runs a three-month course for planners and researchers in rural development with RRA as a major theme.

Materials

A wealth of articles and manuals/guidelines on general RRA, irrigation management, rural poor, resource-poor farmers, and specific RRA tools.

WRITE TO:

Robert chambers or Robin Mearns,Institute for Development Studies, University of Sussex, Brighton BNI 9RE. United Kingdom.

4. Agrosystems Analysis and other RRA methods at the In terna tional Institute for Environment and Development (IIED), London, Great Britain

Basic approach

Drawing upon principles of bio-physical and cultural systems, agroecosystems analysis evaluates natural resource .management problems on the basis of productivity, stability, sustainability and equitability in a package of tools that are being refined by IIED for use in project design, monitoring, and interactive village planning. This approach depends heavily on schematics to generate data interactively and assemble that information in a form conducive to problem-solving discussions.

Key concepts

In addition to organising principles, changes in system elements over time (markets and prices included), seasonability, labour changes, interactive tools, mapping, transects of resources that require the team to spend more time with local people and generate data in analyzable form, Venn diagrams for institutional analysis.

Training

Courses for field personnel and planners which are mainly learned by doing. IIED team takes trainees and directs them through an actual RRA exercise.

Materials

Case examples of RRA/agroecosystems analysis carried out for specific projects or institutions, training manuals, general articles on methodology, publishes RR4 *Notes,* a newsletter on developments in RRA methodology.

WRITE TO:

Jules Pretty, International Institute for Environment and Development, 3 Endsleigh Street,London WCIH ODD, United Kingdom.

5. *From the Ground Up by the Centre for International Development and Environment (CIDE) and Clark University, U.S.A.*

Basic approach

'From the Ground Up' is a collaborative programme between the Centre for International Development and Environment (CIDEY)**, Clark University, and the South Africa Office of IUCN. It assists government agencies and NGO's to develop applied research and problem-solving methodologies, using case studies of sustainable, indigenous systems of natural resource management and adapting RRA and agroecosystems analysis tools to the African context.

Key concepts

Began with a main focus on case studies as a basis of workshops and planing research, and now adds a strong RRA focus. Concerned with helping NGO's and agencies understand and adapt effective, local-level systems of management and technology use to other communities in similar circumstances.

Training

Runs village-based training workshops, short courses and conferences. Courses on RRA methods, including agroecosystcms analysis, and research on indigenous knowledge for policy — and decision-makers, research staff, extension agents and village leaders.

Materials

Completed cases studies and material from other RRA training groups (IIED, London, IDS and Khon Kaen University).

WRITE TO:

Richard Ford, Director, International Development: Research, Clark University, 950 Main Street, Worcester, Massachusetts 01610, USA; or, Peter G. Veit, Centre for International Development and Environment, World Resources Institute, 1709 New York Avenue, N.W., Washington, D.C. 20006.

** of the World Resources Institute, Washington, D.C.

APPENDIX II

Annotated Bibliography

ABT ASSOCIATES, *INC. 1987. Operational Guidelines* **for** *the Rapid Appraisal of Parastally* Dominated *Agriculture Marketing Systems.* ABT Associates, Inc., Cambridge, Mass. *Address:* ABT Associates, Inc., 4250 Connecticut Avenue, N.W., Suite 500, Washington, D.C. 20008.

This is one of the two papers by John Holtzman which applies a very useful method for determining what kinds of information are of central importance for the survey exercise.

Topic : Minimum data sets, Analytical framework.

THE AFRICAN DEVELOPMENT FOUNDATION, 1988. *Grassroots Development: Assessment of Projects, (OTA-F-378).* Congress of the US, Office of Technology Assessment. *Address:* Superintendent of Documents, US, Government Printing Office, Washington, D.C. 20402.

This contains the minimum data sets developed for the evaluation of rural development projects funded by the African Development Foundation. These provide a good model in combination with Parker, et al (1988) and Garrett, et al (1987) of checklists to assess the local situation and progress of activities.

Topic : Minimum data sets.

ASHBY, J. *1984. Participation* **of** *Small Farmers in Technology Assessment: Experimentation with Beans and Rock Phosphates.* Paper presented at CIAT Seminarios Internos. *Address:* Centro International de Agricultura Tropical, A.A. 6713, Cali, Colombia.

Ashby has won recognition for her work on farmer-designed and farmer-managed farming systems research trials. In this article, she compares the results of agronomic field trials, when farmers both design and administer the trials, to trials designed by researchers in which farmers are active participants. Not only do farmer-designed experiments tend to yield results more appropriate to the farmer's level of resources, but they also yield recommendations which are more likely to be adopted by a large number of farmers.

Topic : Interactive tools.

BANERJEE, A.K. 1987. Microplanning: *A Tool for* Social *Forestry Implementation.* National Wasteland Development Board, Ministry of Environment and Forests, Government of India, New Delhi. *Address:* A. K. Banerjee, ASTAG, World Bank, 1818 H Street, N.W. Washington, D.C. 20433.

This is **an** interactive planning model developed for forestry staff in India to develop village action plans with local people. It includes a minimum data set for evaluating the state of the resource, for identifying perceived needs and interventions, and helping the community devise sensible targets for their involvement in Government Social Forestry Programmes. Includes a section on shrub planting as a conservation and productive forest.

Topic : Interactive planning.

BEEBE, J. *1985. Rapid Rural Appraisal: The Critical First Step* in R Farming Systems *Approach* to *Research.* Networking Paper No.5, Farming Systems Support Project, University of Florida. *Address:* University of Florida, Gainesville, Florida 32601.

This is a classic article on the use of RRA for farming systems research, and includes an annotated bibliography of resources.

Topic : General methods, Annotated bibliography.

BHATTARAI, T.N., and CAMPBELL, G. 1985. Monitoring *and* Evaluation of the *Community Forestry Project* in Nepal. Food and Agriculture Organization of the United Nations, Rome.

includes useful information on the use of socio-economic and impact indicators in monitoring surveys, and the varied methodologies used to collect different types of data in a cost-effective, but sound manner.

Topic : Indicators, Analytical framework.

BOCHET, JEAN-JACQUES. *1983. Management of Upland Watersheds: Participation* of the Mountain **Communities.** FAO Conservation Guide No.8. Food and Agriculture Organization of the United Nations, Rome.

A guide to the kinds of questions **that must** be asked of local communities regarding land use management and the scope for individual and community participation in improved watershed management.

Topic : Minimum data sets.

BROKENSHA, D., and RILEY, B. 1989. Managing Natural Resources: The Local Level. IN: *Man's Role in Changing* the *Global environment.* Academic Press, New York.

, 1986. Local **Management** *Systems and sustainability.* Paper prepared for the Annual Meeting of the Society for Economic Anthropology, Riverside, California (April). *Address:* David Brokensha, IDA, P.O. Box 2207, Binghampton, New York 13902, USA.

Brokensha has long been a proponent of local knowledge systems and places considerable stress in his own use of RRA methods on eliciting indigenous technical knowledge systems (ITK) regarding optimal ways to manage natural resources. These articles provide a framework for understanding the system from a local perspective.

Topic: Indigenous technical knowledge.

BRUCE, J. W. 1989. Rapid *Appraisal of Tree and Land Tenure for the Design of* Community Forestry *Initiatives.* Draft for FAO revised, Land Tenure Centre, University of Wisconsin, Madison, Wisconsin 53706.

This excellent manual provides the information needed for carrying out an RRA of land tenure for forestry and land-based natural resource management projects.

Topic : Minimum data sets.

BURCH, W. 1987. Learning about Local Communities. IN: Gregerson, H., Draper S., and Elz, D. eds., People and **Trees: The Role of** *Social Forestry in Sustainable* Development. Economic Development Institute, Washington, D.C.: World Bank (May). 175-195.

Burch summarises a number of general references on rapid appraisal techniques, outlining the need to find out about local practices and the local knowledge base people have about forests, land utilisation, and tree species.

Topic : General, Group interviews

CAMPBELL, G., SHRESTHA, R., and STONE, L. 1979. Use and *Misuse* **of** Social *Science Research* in Nepal. Centre for Nepal and Asian Studies, Kathmandu, Nepal. His Majesty's Government Press, Kathmandu, Nepal.

This is the best study available to demonstrate the dangers of relying too indiscriminately on formal surveys in development planning. The authors re-interviewed respondents for a number of development-oriented questionnaires and found a number of discrepancies in the information originally collected. Economic data, particularly on land holdings, was way off, and attitude surveys, particularly those used for the Nepal Fertility Survey, were extremely misleading. Part of this study has been published as 'The Use and Mis-Use of Surveys in International Development: An Experiment from Nepal', IN: Human **Organization** 43(1): 27-37, 1984.

Topic : Sampling techniques, Pitfalls.

and DANI, A. 1985. People's Motivations for *Sustaining Upland* Resources. Paper presented at the International Workshop on Watershed Management in the Hindu-Kush Himalaya Region, Chengdu, China.

Includes a set of guidelines for evaluating people's participation in watershed management projects. Pays particular attention to the kinds of incentives which are used to encourage different kinds of participation and their effectiveness.

Topic : Minimum data sets.

CARRUTHERS, I., and CHAMBERS, R. 1981. Rapid Appraisal for Rural Development. *IN: Agricultural Administration, 8(6) 407-422.*

An introduction to rapid appraisal techniques. The main reference on methods of rapid rural appraisal for development planning.

Topic : General guidelines.

CARSON, B. *1989. Soil Conservation Strategies for Upland Areas of Indonesia.* Paper No.9, Occasional Papers of the East-West Environment and Policy Institute, East-West Centre, 1777 East-West Road, Honolulu, Hawaii 96848.

Brian Carson is a soil scientist and a pioneer in the use of maps and aerial photographs in RRA of watershed issues. This book summarizes the work he has carried out with KEPAS (an agroecosystems research group within the Ministry of Agriculture, Indonesia) between 1986 and 1988. Key for watershed planners.

Topic : General methods.

CASLEY, D., and LURY, D. 1982. *Monitoring and Evaluation of Agriculture and Rural Development Projects.* The John Hopkins Press, Washington D.C.

A general guide to monitoring and evaluation that includes a section on rapid reconnaissance approaches to gathering information. Serves as a general set of guidelines.

Topic : General guidelines.

CENTRE FOR INTERNATIONAL DEVELOPMENT AND ENVIRONMENT and CLARK UNIVERSITY *(1987): From the Ground Up: A Programme to Improve Project Design, Management, Training and Resource Allocution through Documenting local Experiences in Sustainable Development* Mimeo.

A summary of a collaborative programme between the Centre for International Development and Environment and Clark University to develop village resource **management** plans with villagers, planners, and extension agents and to document indigenous, effective systems of natural resource management. This programme includes training in RRA and agroecosystems analysis tools and approach.

Topic : Interactive planning.

CHAMBERS, R. 1985. Shortcut Methods of Gathering Social Information for Rural Development Projects. IN: M. Cernea, ed., *Putting People First.* Oxford University Press, New York.

An updated version of a paper prepared for the World Bank on rapid appraisal techniques. This includes the information originally published in the classic *Agricultural Administration* article cited above.

Topic : General guidelines.

1983. Rural Development: Putting the Last First. Longman Press, Harlow, England.

In this book, **the** author describes **the** situation of **the** rural poor in **the** developing countries and points out major gaps in the kinds of information collected about this group, as well as the usual biases in formal and informal surveys that prevent this group from being properly considered in project design and implementation.

Topic : Least visible target groups

COLLINSON, M. 1981. A Low-Cost Approach to Understanding Small Farmers. *IN: Agriculture Administration, 8(6): 433-50.*

This is a general approach to the use of rapid appraisal methods in farming systems research.

Topic : General methods.

CONWAY, G. 1986. **Agroecosystem** *Analysis for Research* and Developement. Winrock International Institute for Agricultural Development. *Address:* Winrock International, Petit Jean Mountain, Morrilton, Arkansas 72110, USA.

This is an earlier paper by Gordon Conway outlining his approach to resources management planning and problems analysis.

Topic : Agroecosystems analysis.

DEWALT, B., and DEWALT, K. 1980. Stratification and decision-making in the use of new agricultural technology. IN: Peggy Barlett, ed., *Agricultural Decision-making: Anthropological* **Contributions** to Rural *Development.* Academic Press. New York.

This is an excellent article illustrating **the** fact that a combination of theoretical models is needed to understand a range of farm decisions taken by a single sample of farmers. In some cropping decisions, farmers conformed to the wealthy poor adoption rate predictor, while in others, the upper middle strata were the most conservative. For RRA, this points out **the** danger of choosing a sample based **on** a prior prediction regarding the adoption of new cropping strategies for farmers of different classes strata.

Topic : Pitfalls.

DOVE, M., AZIZ, N.K., and QUERESHI, J.A. 1988. *Farmer* **preferences** *for the timing* of *tree planting:* The Punjab, *NWFP,* Baluchistan. Report No.7, Forestry Planning and Development Project, Government of Pakistan-USAID.

This paper is the result of one of a series of short-term surveys carried out to understand the local farmers' agroforestry system and needs for assistance in the above forestry project. Like the Khon Kaen studies, it provides a good model for the kind of information that can be collected through such direct field exercises.

Topic : Minimum data sets.

FOLCH-LYON, E., and TROST, J. F. 1981. Conducting focus group sessions. IN: Studies in *Family* Planning 12(12): 443-449. Useful guidelines on focus group sessions.

Topic : Focus groups

FOX, J. 1986. Social Forestry Network — *Aerial Photographs and Thematic* Maps *for* Social Forestry. Network Paper 2C, ODI, Agricultural Administration Unit, London.

This article describes the methodology used in an Indonesian forestry project to evaluate land use and design interventions. This methodology is very similar to that developed by Brian Carson, included in this bibliography.

Topic : Forestry

FRANZEL, S., and CRAWFORD, E. 1987. Comparing Formal and Informal Survey Techniques for Farming Systems Research: A Case Study from Kenya. IN: *Agricultural Administration, 27 (1987):* 13-33.

The authors compared the validity of data acquired from formal and informal survey techniques and concluded that there was not an appreciable difference in the recommendations. Errors in the informal survey were greatest in quantitative estimates, such as crop production. Also interesting were errors due to interviewer **overcompensation** for expected errors in estimates of number of rich versus poor farmers. Informal interviews actually produced closer estimates of numbers of larger farms and farm size than interviewers expected, so when they adjusted the figures to compensate for supposed error, they skewed the data.

Topic : Sampling techniques.

FREEDOM FROM HUNGER FOUNDATION (ZAZUETA, A.) 1988. *Rapid Rural Appraisal* for *Project Analysis Planning. Address:* 1644 Da Vinci Court, P 0 Box 2000, Davis, California 95617.

This document is the training manual used by the Freedom from Hunger Foundation for its training courses in rapid rural appraisal for host-country planners, researchers, and extension agents. It is particularly strong in the choice of training exercises to put participants at ease, to help participants evaluate projects and activities in terms of sustainability, and to generate role playing in interview situations.

Topic : Training materials.

FUJUISAKA, S. 1986. Upland and Rainfed Development in the Philippines. IN: Edward Green, ed., Practicing Development *Anthropology.* Westview Press, Boulder, Colorado. 160-184.

The author reviews informal methods taught in a series of training sessions on rapid appraisal, discussing some of the ways to analyze identified problems through informal lines of questioning. He also compares longer-term and short-

term work, finding that rapid appraisal prevents accurate assessment of complex local social dynamics and prevents the observation of processes unfolding over time, such as changes in economic strategies due to response to raw material availability and market prices.

Topic : Pitfalls.

GARRETT, I'., UQUILLAS, J., and CAMPBELL, C. 1987. Interview Guide for the Regional *Analysis* of Farming Systems. Cornell International Agriculture Mimeograph 113. Cornell University, Ithaca, New York 14853.

This approach to FSR takes a regional perspective of factoring in ecological and economic factors as well as socio-cultural factors of class, caste, household composition, labour pools and relationships, nutritional factors, and marketing factors.

Topic : Minimum data sets, Indicators.

GOW, D. 1987. Rapid Rural Appraisal: Social Science as Investigative Journalism. IN: Finsterusch, K., Ingersoll, J., and Llewellyn, L. eds., *Fitting Projects: Methods* for Social *Analysis* for *Projects* in *Developing Coutries.* Lynne Rienner Publishers, Boulder, Colorado.

Drawing extensively upon his own experience, the author reviews the methods outlined in general guidelines, particularly Honadle (1982) and Chambers (1985) and discusses particular problems and considerations for the use of various techniques.

Topic : General methods.

GREGERSON, H. 1987. People *and Trees: The Role* of *Social Forestry in Sustainable Development.* Economic Development Institute, World Bank.

This book has been developed for use in training courses on forestry projects. It covers the entire planning and implementation process. In addition to Burch's article cited above on rapid appraisal, chapters 6 - 8 have relevant material on the socio-economic issues for which information is needed at different project stages. Also extremely relevant are discussions and references on use of incentives for local participation (Chapter 9).

Topic : General methods.

HARRINGTON, L.W., and TRIPP, R. 1984. *Recommendation Domains: A Framework for On-Farm Research.* International Maize and Wheat Improvement Centre, CIMMYT. Economics Programme Working Paper No. 2/84, Mexico.

CIMMYT has developed a framework for on-farm research that helps to identify the appropriate target clientele for specific agricultural improvements — the recommendation domain. Farmers with similar agricultural potentials and constraints are grouped into domains in the design implementation and analysis of on-farm experiments.

Topic : General methods.

HENDRICKS, M. 1987. Training *Materials* from a Workshop on Qualitative *Methods for Family* Planning. Dhaka, Bangladesh. Mimeo. *Address:* M. Hendricks Associates, 3419 30th Street, N.W., Washington, D.C. 20008.

Hendricks has assembled a variety of materials on ways to use qualitative methods in the evaluation of family planning field programmes. He has useful sections on different group interview techniques, including the informal delphi **and** focus-group interview methods. Much is applicable to the evaluation of field staff performance and constraints for land-based development programmes.

Topic : Training materials.

HILDEBRAND, P. 1981. Combining Disciplines in Rapid Appraisal: The SONDEO Approach, IN: *Agricultural Administration, 8(6): 423-32.*

A description of the useful and classic technique of conducting short field surveys using rotating pairs of experts from technical and social science disciplines.

Topic : Team interaction.

HILL, P. 1986. Development Economics on *Trial.* Tavistock Publishers. London.

This was written to provide anthropological counter-arguments to many assumptions made by economic development theorists regarding **the** reliability of statistics and formal surveys on food and agriculture, regarding misconceptions of the role of rural debt in the village economy, and regarding assumptions about village stratification and farmer decision-making. A number of these issues have relevance for the design of interviews in rapid appraisal. Her main point is that misconceptions about the rural reality subtly shape lines of questioning and lead to faulty data collection.

Topic : Pitfalls.

HOLTZMAN, J. F. *1986. Rapid Reconnaissance Guidelines for Agricultural Marketing* and Food System Research in Development *Countries.* Working paper 30. ABT Associates, Cambridge, Massachusetts. *Address:* ABT Associates, Inc., 4250 Connecticut Avenue, N.W., Washington, D.C., 20008.

This is the second paper by this author which applies a systematic framework to identifying the pertinent issues for which information needs to be collected, in this case for agricultural marketing and food system research. Holtzman's approach is very useful for RRA survey teams because it provides a cross-check for deciding which information is really of importance to the data-gathering exercise so that the team does not waste valuable time on questions of peripheral importance to the research effort.

Topic : Minimum data sets.

HONADLE, G. 1982. Rapid Reconnaissance for Development Administration: Mapping and Moulding Organizational Landscapes. IN: World Development, 10(8): 623-649.

Includes an extremely useful section, quoted in Gregerson, Draper, and Elz, eds., *People and Trees: The Role* of *Social Forestry in Sustainable Development,* Washington, D.C. : EDI, World Bank, on the situations in which informal and formal surveys are warranted and how the results from each method might differ.

Topic : Interview technique.

HOSKINS, M. *1979. Women* for *Local* Community *Development: A Programming* Guide. AID-supported study. U.S.A.I.D., Washington, D.C.

Points out the need to question women and children separately from men about their knowledge, interests, and use of different forest and fodder products and species, to properly understand the local agroforestry system and its problems.

Topic : Least visible target groups.

INTERNATIONAL COUNCIL FOR RESEARCH IN AGROFORESTRY (ICRAF). *1983. Resources* for Agroforestry *Diagnosis and* Design, Diagnostic and Design Methodology Manual Series No.2, Working Paper No.7. International Council for Research in Agroforestry, Nairobi, Kenya.

Series of collected articles on Diagnosis and Design (D&D) methodology developed at ICRAF for the study of agroforestry systems. Places an emphasis on finding interventions that are sustainable, productive, and culturally appropriate. Includes a special mapping technique that identifies which landscape niches within the general environment and on farms are used by different users (men, women, herders, landless, etc.).

Topic : General methods

INTERNATIONAL INSTITUTE FOR ENVIRONMENT AND DEVELOPMENT (IIED). 1988-present. *RRA Notes. Address:* IIED, 3 Endsleigh Street, London WClH ODD, United Kingdom.

This is a networking newsletter for exchanging information on new methods from the field. The *RRA Notes* publish a wide range of experiences on trying out different approaches in field situations. The editors (Gordon Conway, Robert Chambers, Jennifer McCracken, and Jules Pretty) are encouraging more contributions from local users in the developing countries as well as from international specialists.

Topic : General methods

JAMIESON, N. 1987. The Paradigmatic Significance of Rapid Rural Appraisal. IN: Proceedings of the 1985 International Conference on Rapid *Rural Appraisal.* Rural Systems Research and Farming Systems Research Projects, Khon Kaen University, Khon Kaen 40002, Thailand. 89-102.

The author points out the importance of rapid appraisal as a new paradigm for incorporating the local beneficiary into the process of information-gathering and decision-making. Because the fact-finding team engages in a dialogue with the project beneficiaries in rapid appraisal, there is much more feedback between project planners and implementers and beneficiaries, an issue of equal importance to questions of survey validity, etc.

Topic : Team interaction, General.

JONES, J., and WALLACE, B., eds. 1985. Social Sciences *and Farming Systems Research: Methodological Perspectives* on *Agricultural Development.* Westview Press, Boulder, Colorado.

A collection of articles which review the range of social science input into farming systems research and analyze the role of the anthropologist in developing a framework for informal survey research, working in a multidisciplinary approach, and ensuring that the farmer's perception of problems emerges in both diagnostic and evaluative stages when introducing an intervention.

Topic : General.

KHON KAEN UNIVERSITY. 1987. *Proceedings of the 298.5 International Conference* on *Rapid Rural Appraisal.* Rural Systems Research and Farming Systems Research Projects, Khon Kaen 40002, Thailand.

This is the best single reference to RRA techniques and the range of applications. It has a range of articles from a 1985 workshop that cover general methods, interview techniques and survey pointers and case applications. There is now a companion case study volume to this one, also available from the University by writing to: Dr. Terd Charoenwatana, Faculty of Agriculture, Khon Kaen University.

Topic : General methods.

KOENIG, D. 1986. Alternative Views of the Energy Problem: Why Malian villagers have other priorities. IN: Human *Organization,* 45(2):170-176.

An article describing a very different viewpoint on the fuel crisis from that imputed to village women by planners.

Topic : Least visible target groups.

KUMAR, K. 1987. *Rapid,* Low-cost Data *Collection Methods for A/D.* USAID Programme Design and Evaluation Methodology Report, No.10. U.S. Agency for International Development, Washington, D.C.

This is a manual on RRA methods geared to the needs of U.S.A.1.D staff. It covers a number of key methodological issues and provides an overview of a number of methods currently in use.

Topic : General methods.

1987. *Conducting Group Interviews in Developing Countries.* AID. Programme Design and Evaluation Methodology Report, No.8. Agency for International Development (Office of CDIE), Washington, D.C.

This is a concise and up-to-date guide on techniques of conducting community and focus group interviews designed for use by non-social scientists, particularly project managers and design and evaluation team leaders. Included at the end is a short list of good, traditional references on social science methodology on conducting interviews.

Topic : Group interviews.

MAXWELL, S. 1986. Farming Systems Research: Hitting a Moving Target. IN: World Development 14(1):65-77.

Maxwell argues that FSR has failed to include the fact that the rural situation changes over the time of the FSR recommendation to often make it inappropriate or obsolete. This is particularly relevant advice to social foresters who are making recommendations for planting trees that will not be harvestable for a long period of time, and must continue to prove adaptive to a farmer's overall strategy.

Topic : Pitfalls.

MCCRACKEN, J.A., PRETTY, J. N., and CONWAY, G. R. 1988. *An Introduction to Rapid* **Rural Appraisal** for **Agriculture** Development. International Institute for Environment and Development (IIED), London.

This **is** the latest overview to RRA as developed by IIED, London, which uses agroecosystems analysis as a core approach for organizing the RRA tool kit. This manual describes training programmes and includes an annotated bibliography and list of network experts.

Topic : General methods, Interactive tools, Agroecosystems analysis.

MESSERSCHMIDT, D. 1987. Conservation and Society in Nepal: Traditional Forest Management and Innovative Development. IN: Peter Little, ed., *Lands at Risk in* the *Third World.* Westview Press, Boulder, Colorado. 373-398.

Describes the village dialogue approach used for watershed management communities.

Topic : Interactive planning.

MINISTERE DE L'ENVIRONMENT ET DU TOURISME, BURKINA FASO. 1976.

1. **Retenir l'Eau et l n Terre,**
2. *Vic de la Terre,*
3. **Pour** *Une Pedagogie de l'Autopromotion*

These are a series of village-level extension material which provide a framework for problem analysis by local communities of the state of the environment and natural resource management issues and potential solutions.

Topic : Interactive tools.

MURRAY, G. 1986. Seeing the Forest while Planting the Trees: An Anthropological approach to Agro-forestry in Rural Haiti. IN: Brinkerhoff, D.W., and Garcia Zamor, J.C., eds., Politics, Projects and Peasants: Institutional Development in *Haiti,* Praeger, New York (1986). 193-266.

Deals with issues relevant to local negotiations with local communities and the types of local information needed for planning in community forestry.

Topic : Interactive planning

NARONHA, R. 1980. *Sociological* aspects of *Forestry Project Design.* Agricultural technical Note #3. World Bank, Washington, D.C.

Parts of this report are included in: Naronha and Spears. 1985. Sociological Variables in Forestry Project Design. IN: Michael Cernea, ed., Putting People *First,* John Hopkins Press, Washington, D.C.

This is a very useful report detailing the sociological factors of importance in community forestry project design and outlining the range of information that must be collected to evaluate the role of these factors in any particular region or culture area. Strong on factors related to land tenure and legal rights to land use.

Topic : Minimum data sets.

NGASOMSUKE, K., SAENCHAI, P., PROMBUROM, P., and SURAPORN, B. **1987. Farmers'** *Attitudes towards Forest,* Plantation *and Conservation Farming* Selected *Villages* of the Phu Wiang *Valley,* Khon Kaen. Integrated Development of the Phu Wiang Watershed, Field Document 3. UNDP/Food and Agriculture Organization of the UN. Khon Khaen. Thailand.

This document compares the results of **an** RRA-style investigation and a formal survey regarding use of forest products and concludes that **most** of the information acquired through **the** RRA exercise is substantiated in the more detailed, formal survey.

Topic : Sampling techniques.

ODELL, M., ODELL, M., and FRANZEL, S. 1986. Diagnosis *in Farming Systems Research* and *Extension,* Volumes I and II. For Farming Systems Support Programme, University of Florida, Gainesville. (Consulting Editor, Lisette Walecka). (Farming Systems Research and Extension Training Units).

A training manual of which Volume I concentrates on diagnostic surveys and various techniques and methodologies for carrying these out. Includes training units on sampling methodologies, informal survey and interviewing techniques, use of existing and secondary data as background information, rapid appraisal approaches. Much of this work is based on work done in community forestry as well as farming systems.

Topic : Training materials.

ODELL, M. *1987.* Course *Manual: Communications and Market Research* for *Agriculture.* The Graduate School, USDA. Washington, D.C.

Includes excellent summary of one-card system for local information sorting from rapid appraisal surveys and summary of focus group interview techniques.

Topic : Training materials.

PARKER, K., ACHET, S., CALNAN, R., FLEMING, W., and JOSHI, M. 1988. *Final Evaluation Report:* Resource *Conservation and Utilization Project No.367-*0232. Report submitted to USAID by Tropical Research and Development, Inc., 4010 Newberry Road, Suite D. Gainesville, Florida 32607.

This contains a minimum data set for project evaluation at the village site level on the basis of technical efficiency, sustainability, economic cost-effectiveness, institutional soundness, and level of participation.

Topic : Minimum data set.

PATTON, M. Q. 1986. *Utilization Focussed* Evaluation. Sage Publishers, Beverly Hills, CA, USA.

This is the most recent of Patton's books on practical evaluation. It contains a wealth of useful insights on why and how to collect information of importance to programme implementation. An excellent background source for deciding what kinds of indicators are needed for various rapid appraisal purposes.

Topic : Interviewing, Analytical framework.

1980. *Qualitative Interview Methods.* Sage Publishers, Beverly Hills, CA, USA.

This is another extremely useful general source on evaluative interviewing. The sections on techniques of conducting interviews and ways to plan questions are based on years of open-ended and structured interviewing in a variety of evaluation areas, especially educational programmes. Much is directly relevant to interviewing farmers and other rural beneficiaries.

Topic : Interviewing.

POTTEN, D. *1986. RRA* of Small Irrigation *Schemes in Zimbabwe.* Paper for Seminar at the International Irrigation Management Institute.

Reviews Robert Chambers' list of RRA techniques in relation to their use on an evaluation team's visit to Zimbabwe. One interesting conclusion was the team's consensus that rather than spending an additional day in each irrigation scheme (they spent one day in each), it would have been more cost-effective to make a follow-up for the same length of time in a different agricultural season.

Topic : Team interaction, General methods.

RAINTREE, J., ed. *1986. An Introduction to Agroforestry Dianosis and Design.* International Centre for Research in Agroforestry, Nairobi. *Address:* ICRAF House, off Limuru Road, Gigiri, P 0 Box 30677, Nairobi, Kenya.

Overview of the Diagnosis and Design methodology, intended for use by expatriate experts, developing-country planners, and field extension staff.

Topics : Interactive tools, Indicators, Data sets.

ed. 1987. The State of the Art of Agroforestry Diagnosis and Design. IN: *Agroforestry* Systems, special issue on ICRAF's 10th Anniversary.

Summarizes the ICRAF D&D strategy in detail and reviews and references the wide range of working papers and studies carried out by the research team at ICRAF to date. Table 5 is a very relevant chart of the decision-making process and the corresponding field survey questions that must be asked to provide the needed information to make those decisions.

Topics : Interactive planning, Minimum data sets

REGIONAL WOOD ENERGY DEVELOPMENT PROGRAMME IN ASIA: Planning *Forestry* Extension Programmes. 1988. Report of a Regional Expert Consultation in collaboration with Forest Trees and People Programme and Winrock International F/FRED Project, Food and Agriculture Organization of the United Nations, Bangkok, Thailand.

Includes a host of examples of local negotiations/village-level planning approaches using interactive tools for involving local people in the planning process. See article by Raintree and Hoskins on *Appropriate R&D Support for Forestry Extension* and other methodology chapters.

Topic : Interactive planning.

RHOADES, R. 1986: Using Anthropology in Improving Food Production: Problems and Prospects. IN: *Agricultural Adminstration, (22):57-78.*

In addition to outlining the special contribution of anthropology to multidisciplinary efforts, Rhoades presents a case describing the quickness and innovativeness with which one anthropologist studied one valley (two months in Montaro Valley) and produced a report based on informal surveys and use of secondary sources (aerial photographs, government documents) that has proved invaluable to FSR planning in that region at very low cost. Document produced by the anthropologist is unfortunately not readily available in the USA. (Mayer, E. 1979, *Land Use in the Andes: Ecology and Agriculture in the Montaro Valley of Peru with* Special Reference to Potatoes. International Potato Centre, Lima, Peru. 115 pp.

Topic : Genera1

1985. Informal Survey Methods for Farming Systems Research. IN: Human Organization, 44(3):215-218.

A more accessible summary of the methodology detailed in the earlier pamphlet. One or the other is a must for reading for practitioners. Both include such topics as when and how to interview the respondent, how to establish a good rapport, when to introduce sensitive issues, how to record the answers, and how to analyze the findings.

Topic : Interview techniques.

1982. The Art of the Informal *agricultural Survey,* International Potato Centre, Lima, Peru. *Address:* CIP, P.O.Box 5969, Lima, Peru.

Rhoades' classic article on how to conduct an informal survey with farmers.

1982. Farmer Back to Farmer: A Model for Generating Acceptable Agricultural Technology. IN: *Agricultural Administration, 11:127-137.*

Outlines the farmer-back-to-farmer strategy mentioned under FSR approaches in this report. Of importance to community forestry is the use of farmers as the 'evaluators' of the effectiveness of any intervention and the use of open-ended dialogues with farmers to identify problems and good points of intervention.

Topic : Farming systems research

ROCHELEAU, D. 1985. *Land-use* Planning *with Rural* Farm Households and *Communities: Participatory Agroforestry Rcseurch.* Working Paper No.36. International Centre for Research on Agro-Forestry, Nairobi, Kenya. *Address:* ICRAF House, off Limuru Road, Gigiri, P 0 Box. 30677, Nairobi, Kenya.

This study identifies the importance of collecting information on household composition and inter-household groupings for designing and carrying out group-based activities. Also reinforces Hoskins' (1979) finding that women, men and children in the same household have different knowledge, interest and responsibilities with respect to specific land units, plants and animals and particular activities (pp. 9-10).

Topic : Least visible groups.

SAJISE, P. E., and RASHO, T. 1985. *Agroecosystem Research in Rural Resource Management* and *Development.* Selected papers presented at the second SUAN-EAPI Regional Symposium on Agroecosystem Research, Baguio City, Philippines. Southeast Asian Universities Agroecosystem Network (SUAN), and Programme on Environmental Science and Management, University of the Philippines, Los Banos, Philippines.

This is a good example of agroecosystem analysis (AEA) as applied to problems of upland development and coastal development in the Philippines. As AEA is adapted by local researchers in different countries, each country develops its own version of this methodology.

Topic : Agroecosystems analysis.

SALMEN, L. 1987. Listen to the People: Participant-Observer Evaluation of Developement Projects. For World Bank. Oxford University Press, New York.

Salmen has tailored the traditional techniques of participant-observation to in-country evaluation by host-country personnel of large projects. Using a combination of residence in several communities and cross-checking of information through structured interviews, he has obtained more reliable information about community participation than through traditional monitoring surveys.

Topic : General methods.

SCHWARTZ, N. 1988. *Rapid Assessmen* and Development Projects, Presented to American Anthropological Association Meetings Session on "Meeting the Challenge of New Age Research: Methodological Adaptation in Applied Anthropology". **Address:** Prof. Norman Schwartz, Dept. of Anthropology, University of Delaware, Newark, Delaware 19711.

This paper compares the use of indicators of community service assessment as proxies to measure whether or not a group fishery cooperative was likely to succeed in Panama and its application to Ecuador. He finds that proxies are geographically specific, but very useful shorthand if properly applied.

Topic : Pitfalls indicators.

SCRIMSHAW, S., and HURTARDO, E. 1987. *Rapid Assessment Procedures* for *Nutrition and* Primary *Health* Care: *Anthropological* Approaches to Improving *Programme Effectiveness.* University of California Press, Los Angeles.

This manual contains detailed checklists for the evaluation of nutrition and primary health care services for use by host-country medical and para-medical personnel. These are, in effect, minimum data sets for the health field with particular attention to group interview techniques and informal interview content.

Topic : General methods.

SHANER, W.W., PHILIPP, P.F., and SCHMEHL, W.R. 1982. *Farming* Systems *Research and Development: Guidelines* for Development *Countries.* Westview Press, Boulder, Colorado.

This is a detailed and practical compendium of RRA techniques for informal surveys and interviews and other FSR techniques. It compiles techniques used by a wide variety of FSR practitioners, with ample discussion of the social scientist's input. Useful are discussions of sampling options, a case study of interviewing women in Bangladesh, and the section on ways to interview farmers on decision-making. The limitation on this work is that the relative values of different methods proposed are not systematically evaluated in this handbook.

Topic : General methods.

SLADE, R., and CAMPBELL, G. 1987. *An Operational Guide to the Monitoring and Evaluation* of *Social* Forestry in *India.* Forestry Paper No.75. Food and Agriculture Organization of the United Nations, Rome.

Based on the experience with implementing community forestry projects in India and Nepal, this handbook outlines a simple, yet effective set of methods for conducting monitoring and evaluation (M&E) for broad community forestry programmes. Includes phasing of the collection of different types of information from the start-up of the M&E unit throughout the life of the project and discusses ways to effectively design and carry out special studies and case studies.

Topic : Indicators.

SUELZER, R., and SHARMA, K., 1986. Working *with the People:* Some Experiences with *the* People-Centred *Approach (PDPP) in the* Tinau Watershed *Project 1983-*1986. HMG/SATA Tinau Watershed Project paper, Tansen, Nepal. Mimeo.

Describes the seven-day workshop approach to community planning, with group interviews/discussions on local conditions and development parameters.

Topic : Interactive planning.

UN ACC TASK FORCE ON RURAL DEVELOPMENT. 1985. *Guiding Principles* for *the Design* and Use of Monitoring and Evaluation *in Rural Development* Projects. UN, Rome.

In a section on short-term information gathering, this pamphlet succinctly summarizes the interview and survey techniques that are needed for rapid reconnaissance. These are similar to those discussed by Robert Chambers, with specific attention to both village-based and external forces affecting farmers' decision-making.

Topic : General methods.

VERGARA, N., et al. 1986. Social Forestry *Research Issues:* Preliminary *Problem Identification in Sisaket Province,* Northeast *Thailand.* ODI Social Forestry Network Paper 2b, Overseas Development Institute, London. *Address:* Overseas Development Institute, Regent's College, Inner Circle Regent's Park, London NW1 4NS.

Reports on the preliminary issues identified by research engaged in participatory action research being carried out in India and Thailand. The approach used is research through use of dialogue with farmers and action programmes while in residence in a village.

Topic : Interactive tools.

WARWICK, D. 1976. *The Sample Survey: Theory and Practice.* McGraw Hill Company, New York.

There is a wealth of information in this handbook on ways to design questionnaires and important factors in question phrasing and sequencing of questions to reduce bias. Suggestions such as "don't wait till the very end of the survey to introduce controversial questions, or the informant will be too tired to respond, although you must wait until enough rapport has been established to ask such questions" are directly relevant to rapid information gathering interviews, even when interviews are unstructured.

Topic : Interview techniques.

ABBREVIATIONS

AEA:	Agroecosystem Analysis
D&D:	Diagnosis and Design
FSR:	Farming Systems Research
ITK	Indigenous Technical Knowledge.

APPENDIX III

Checklist for semi-structured interviews used in Mbari-Ya-Hiti (SWCB/IIED, 1990)

First Checklist

(Used for one and a half days)

- Current soil and water conservation activities.
- Climatic factors.
- Sources of food.
- Land use — history, future, conflicts, security and tenure.
- Use of external resources — natural resources and economic.
- Crops, livestock and trees — multiple functions.
- Institutional issues.
- Beliefs, experiences, memories.
- Labour availability and conflicts.
- Group/individual approach.
- Gender issues.
- Education and training — farmers, children, extension.
- Health.

Second Checklist

(Used for one day)

- Fuelwood.
- Historical profile.
- Preferences for trees.
- Seasonal calendar — crops, livestock, zero-grazing activities.
- Range of interests in SWC.
- Institutions — youth groups, associations, women's groups.
- Health.
- Speculating on future landscape.
- Noncoffee growers.
- Nonagricultural income.
- Tenure, absentee farmers.

Third Checklist

(Used for half a day)

- Declining cultivation of sorghum / millet.
- Stoves, fuelwood.
- History before 1950.
- Tenure.
- Beliefs, stories, traditional practices.
- Noncoffee growers.
- Agricultural labouring.
- Youth groups.
- Water stresses on crops comparisons of SWC structures.

Final Checklist

(Used for one day)

— Attitudes to SWC - preference list for different structures.

— Attitudes to manures.

Use of coffee pulp.

Maize varieties.

— Other cash crops.

— % improved *jikos.*

% rainwater harvesting.

— intercropping why some do not.

— Mango production.

— Milk production by month.

— SWC maintenance calendar.

— Next best tree after Grevillea?

— Bad things about trees.