

Unit 3-1: Participatory agricultural and rural development: vision and techniques

Chapter 1 Introduction

1.1 Participatory development

“Participatory development,” an approach that has become the mainstream system of development among international organizations since the 1990s, may be described in terms of concept as “a system of development in which in addition to external specialists or support organizations (hereinafter “external parties”) citizens are voluntarily involved in a project in its development process, citizens themselves master the capability to be independently involved in the project so that the “voice” (needs and intentions) of the citizens are incorporated,” but there is no definition established yet that has obtained full consensus at this moment. “Participatory agricultural and rural development,” the topic of this unit, is defined for the purpose of this unit as a “project implementation system for agricultural and rural development in which the farmers, who are the subjects of the project, as well as stakeholders related to the project are provided with information in all stages related to development (stage before determination of the project, planning and design stages, construction, maintenance, evaluation and monitoring) and the opportunity to express their opinions and affect the final decision-making so as to seek consent to the decision. It does not necessarily require all stakeholders to agree.

There are a variety of modes of participation depending on the situation of the project such as social and political structure, scale, type and stage of project, past project, or the degree of resource depletion, and therefore the significance of participation varies depending on the mode.

Chapter 2 Significance of Participatory Development and Important Points to Note

2.1 Background of participatory development

2.1.1 Era of economic development and technological support

It is generally known that development of the present mode of development cooperation was established for the purpose of realizing post-war restoration following the end of World War II and promoting self-support of developing countries after their independence. In early years, projects were implemented based on development models prepared by Western advanced countries and international organizations under the “trickle-down” theory that technical support for large-scale industrial development projects, public work projects and

production infrastructure development projects is provided to vitalize the economic activities of large corporations and the rich people and that the thus produced riches will gradually “trickle down” to the less wealthy people so that the benefit will finally spread to all the people in the country.

2.1.2 “Another” development

But large-scale economic development led by the governments of the advanced countries, the World Bank and other international organizations eventually proved to be ineffective; not only the riches did not reach the majority of the people in developing countries but also apparent negative impacts emerged including an expanding gap between the poor and the rich and formation of slums in cities. Then another mode of development thus came up, particularly from non-governmental organizations, that focuses on a bottom-up approach for development rather than development of national economy. This approach is called “alternative development” as opposed to the original approach of development. Compared with the preceding era (although technically speaking some project continued from in the preceding era), the new type of development was a shift of focal point from macro to micro. But although it was already considered necessary at this stage to provide development support directly to the people, external parties still dominated the decision-making of what is best for the people.

2.1.3 Emergence of participatory approach

Externally initiated development projects did not always bear fruits be it at the micro or micro level. Particularly the impoverished people and other socially vulnerable people did not receive any benefit out of those projects. In fact, there occurred many cases where those people were put to a worse situation than before. The supporting side finally recognized such grim facts.

To begin with, the supporters started detailed investigation and analysis of the subject area for rural development in the 1970s. Originally, the supporters applied the social evolutionary model to all the project areas, but they began to make detailed investigation and analysis to find out what problems or needs there were in each subject area or community or what social structure or environment they had. Investigatory actions taken in those early years were primarily conducted by consultants who did large-scale socioeconomic surveys, scholars in humanities, sociology and anthropology spending plenty of time and labor in pursuing structural surveys and agricultural scientists engaged in rural system investigation. Toward the end of the 1970s, NGOs adopted a newly developed technique featuring inexpensiveness, practicality and immediacy, which is the Rapid Rural

Appraisal (RRA), (See 3.1), and started surveys using RRA. In around 1985, RRA found itself widely used in a variety of countries in the world, and a Thai case was used as the initial model.

But even though RRA was adopted, analysis and diagnosis was initially conducted by external specialists and supporting organizations, who used the technique as a means to develop solutions. In other words, the approach assumed at this point was still dominated by external parties who developed good projects for local residents to participate in. Local residents were still regarded as receptive entities and entities who lacked the analytical capability.

Then entered the Participatory Rural Appraisal (PRA) technique in the latter half of the 1980s. In PRA, it is the local residents who do the analyzing, judging and acting, and what external specialists do is supporting the process such as creating such opportunities, providing analytical tools, or providing advice in special fields. This is why specialists and development workers who participate in a project from outside are called facilitators in the PRA terminology. PRA was highly systematized in the 1990s and has been used worldwide since then. On the other hand, many cases occurred where surveys by external parties were conducted under the name of PRA although they were nothing but RRA in definition. Therefore, to clarify that PRA is not simply a technique of survey, PRA was renamed to “participatory learning and action” (PLA) by avoiding the term “appraisal.” In this new definition, those who do appraisal are called inventors.

2.1.4 Autonomy of development and paradigm shift

The idea of participatory development has been here for some time now, but a detailed observation of this system reveals quite a variety of changes have occurred to the concept behind it. The keyword of participatory development in the 1980s is “putting people first.” This is quite a reasonable concept that no development program will proceed without people’s voluntary participation, but at this time “external parties introduce development actions that put priority on local citizens,” which means it was still the external parties that were the main players.

A new concept that followed is that development is autonomic. That means citizens are the participant in “their own development process” that continues without interruption and that the external parties are the supporters based on that understanding. This concept, also referred to as “spontaneous development,” represents that the external parties themselves stand back as its keyword “putting the first last” symbolically expresses the relationship with the external parties.

This is a paradigm shift from the concept that seeks for residents’ participation in the

development action the external parties think good even though it intentionally prioritizes the residents to the concept that the external parties support the development process continued by the residents.

2.2 Significance of participatory development

After the above changes, today the participatory development process has rapidly been applied to not only rural development but also many other development projects. This technique is known to be effective in making the residents recognize the project and its subsequent development processes as theirs (the sense of “ownership”) and initiate autonomous actions. When project elements are determined top-down, the residents tend to be receptive to the following development activities and augment the sense of dependency and the sense of entitlement. On the contrary, when the residents themselves make decisions, they feel they are responsible for the decisions they made and voluntarily manage and operate the project. This participatory development technique is therefore considered to assure sustainability at the project site and the process of autonomous growth and realize the ultimate objectives even if it takes time.

The participatory development technique does not seek after fairness in distribution of profits resulting from the project but aims at initiating internal development, remarkably enhancing efficiency of development and maintaining long-lasting stability.

On the other hand, it is necessary to recollect that participation involves each individual resident being held responsible (giving up something) in one way or the other. The participatory development process without any voluntary action of residents such as labor might be able to achieve the immediate objective but won't achieve the long-term goal. It should be noted that such process only makes all the people concerned have an illusion of hope and enhance their dependency instead.

2.3 Level of participation and philosophy

Now let's discuss the relationship between the external parties and the internal parties from the viewpoint of “participation.” Plenty of literature classifies the level of participation according to the degree of residents' involvement. The literature generally focuses on ordinary cases of development cooperation where the external parties intervene for the benefit of the local residents and concludes that it is satisfactory in terms of practicality for those cases if the level is classified into the three, as explained in the following, but the term “residents' participation” used for those three levels has a definition quite widely different among them.

2.3.1 Provision of labor by residents

External parties develop plans, show them to the residents and ask for provision of their labor. For example, the project developer draws an afforestation plan and talks to the local residents to ask for their participation in the tree planting operation. For a school construction project, if the construction plan is already determined, the project developers can persuade the residents (“This is YOUR school.”) into offering manual labor. For this level of participation, since the main planner is the external parties, residents’ providing labor force may be called “sharing of labor force” or “contribution” or “mobilization” depending on the situation.

There are some cases where “education” activities or food for work programs are introduced in order to promote resident participation. Those activities don't seem to involve any incentive for residents’ voluntary participation, and therefore local residents’ offering their labor force may be reasonably described as “provision of labor force.”

2.3.2 Consultation with residents

For the level of “consultation with residents,” its planning stage generally involves seeking for residents’ opinions about, for examples, “what type of tree is to be introduced” or “where the school should be constructed” so that the external parties can formulate the plan. The opinions of the residents are incorporated into the plan, which is all right, but it is still the external parties that take the initiative. In many cases, it is the external parties that decide to plant trees or build schools or propose them to the local residents.

In other words, workshops were held with “resident participation” to determine the objectives, but it was actually the external parties that determined the objectives that they felt happy with, and after that, residents were just requested to participate as additional input. This fact won't change even if the objective of the project is “improvement of the resident's living standard by themselves.”

2.3.3 Initiative by residents

This level is where the residents take the initiative of judging the situation and developing and implementing the plan about, for example, whether or not afforestation is conducted or a school is constructed. Unless residents express their will to “plant trees,” the external parties will not strongly recommend afforestation to the residents or educate them about afforestation. No proposal of building a school will have been made before the residents started to say, “Let’s build a school.” It is totally up to all the residents to judge by when or until when the satisfactory condition will be achieved. The role of the external parties may only include setting the opportunity for discussion or negotiation, providing the

necessary information only when requested by the residents, and other “facilitator’s” roles.

The following table summarizes the above three levels. The philosophy of participatory development is very closely related to what may be expressed by such terms as “ownership,” “self-initiative” or “independence” on the part of the residents. It does not simply represent residents physically “participating” in a project as labor force or simply “participating” in workshops for investigation of the situation of where they stand or for acquisition of residents’ consent.

Table 2.3 Levels of resident participation

| | Relationship between residents and external parties | | |
|-----------------------------|---|---|---|
| | Residents’ providing labor force | Consultation with residents | Initiative by residents |
| Main player of goal setting | External parties | External parties based on the residents’ information | Residents |
| Main player of planning | External parties | External parties based on the residents’ information | Residents with the help of external parties |
| Main player of work | Residents with the instructions of the external parties | Residents with the instructions of the external parties | Residents according to their own will |
| Main player of evaluation | External parties | Depends on the situation | Residents with the help of external parties |
| Definition of participation | Mobilization and provision of labor | Attendance and agreement | Initiative |

2.4 Significance of the participatory development technique and points to note

According to the Rural Development in Southeastern Africa - Theory and Practice, which is a book authored by the JICA Regional Support Office for Eastern and Southern Africa to describe their experiences in experimental rural development in Zambia by means of the participatory process, participating villagers did not show any self-initiative but showed strong dependency before the PCM workshop was held, but their voluntary activities started as the stage moved on to problem analysis, preparation of PDM and implementation of the master plan. The specific psychological conditions of the villagers changed in terms of sharing of the recognition of what will be created in the future, awareness of their right of decision, self-awareness as the main player of reform of their community, or enhancement of the sense of comradeship. The book then summarizes the temporary effects of “participation” in a series of activities:

- Continuous expression of potential labor resource and wisdom of villagers
- Gradual increase in momentum of the villagers' independency and self-initiative
- Activation of the community

Observation of the local projects reveals that the projects truly planned, developed, implemented and operated by the residents have a greater long-term impact and greater sustainability than projects that had fewer resident participants or had the false name of "participatory development." This report puts together the significances of the participatory development technique that the Office learned from their pilot project as follows:

- Reconfirmation and reinforcement of sense of comradeship and unity as people sharing a common destiny.
- Nurturing of self-awareness as the main player of living space reformation
- Learning of the necessity of autonomy and of the sense of responsibility and obligation
- Provision of specific opportunities to participate in development
- Sharing among residents of a specific vision of the future
- Giving hope for improvement of total welfare and making residents proud and respect themselves

Resident participation is essential for rural and local development. If their participation is effectively achieved, there will occur a great potential. But the report also noted downsides of participation as a warning. For instance, many related projects directly provide incentives to motivate the residents to participate in the projects, such as providing meals, in order to promote resident participation (and obtain a good short-term evaluation), and the fact that there are participants who just join for that purpose only is not revealed. There are also aid agencies and public organizations that unawares guide the residents to the conclusion favorable to those organizations and implant the false idea that they participated in the reform process, according to the report. Residents in those cases usually develop only a weak sense of autonomy or achieve only a low level of independent growth after the project started, and the sense of purpose trying to attain a sustainable long-term local growth suddenly attenuates. The report recommends attention be paid to the following points in order to ensure effective implementation of the participatory development technique:

- Do all the social levels of the village or their representatives participate in the process of project development and planning?

- Was the necessary information provided to the residents?
- Has any specific measure been taken to guarantee participant fairness?
- Is the atmosphere that allows every villager to freely express their opinion established and has time sufficient to have thorough discussion been ensured?
- Have the villagers' self-motivation, sense of self-help, and recognition as the main player of development been fully enhanced?
- Have appropriate arrangements been made to eliminate conflicts and adjust benefits among all social levels of the village?
- Have the residents been given opportunities to fully express their ideas about the responsibility and activities with respect to actual implementation of the project?

Chapter 3 An Overview of the Participatory Development Technique and the Status of Its Use

3.1 Rapid Rural Appraisal (RRA)

3.1.1 Overview of RRA and how it is used

RRA or rapid rural appraisal is a technique to gather information on the living of a rural village through direct conversation with the villagers. RRA was first proposed by Robert Chambers and others of Sussex University, UK, in the latter half of the 1970s, drew attention as a powerful technique for rural investigation in the middle of the 1980s and has been since actively used by agriculture-related research institutes.

In the 1990s, international organizations and aid organizations of advanced countries began to use RRA, and JICA also started it mainly for development survey for forestry a few years ago. RRA recently enjoys reputation as a technique to compensate for the defect of the conventional type of survey that focuses on quantitative investigation because of the following reasons.

To begin with, the conventional technique inherently allows the investigator to have a certain preoccupation, and the investigation is made primarily to verify the preoccupation. RRA, on the other hand, allows no preoccupation and helps the investigator to understand the condition of the subject community as it is. To be specific, the conventional rural appraisal technique mainly involves either complete survey or sample survey using the standard questionnaire or combination of both of them. This type of appraisal can quantify the appraisal subject but cannot easily grasp the qualitative information such as the background or cause of a certain situation or the decision-making process of the community. In addition, an interview survey by the implementing organization or at the planned project

site tends to gather information only from a limited number of and limited groups of people such as the implementing organization or the leaders of the local communities, and the thus gathered information cannot be fully reliable because of source deviation.

For RRA, on the other hand, it is the topic and the materials and rules to promote the project that are predetermined. This allows the appraiser to pick up important themes that were not mentioned nor discussed beforehand as he finds them necessary or analyze them and there the varying conditions of the community based on his interaction with the villages. The appraiser is also entitled to choose whom to interview.

For the conventional technique, when the size of the population is large and the level of homogeneity of constituents is low, the appraiser has to need a certain number of samples to ensure an appropriate level of survey precision and consequently needs much time and cost. For RRA, survey may be completed in a relatively short period of time.

Since RRA identifies problems and potentials of the subject community by comprehensively covering and analyzing the community, it is being actively used by international organizations such as FAO and the World Bank, aid agencies, research institutes of developing countries such as Khon Kaen University, Thailand, or NGOs as a means to gather varying and reliable qualitative information simply and at a low cost.

3.1.2 Features

RRA has the following features:

(1) Understanding the local problems requires villagers talking about their living in their own words. Therefore, the open-end question method (asking questions without showing options to choose) is employed.

(2) In direct conversation with the villagers, a survey checklist and a variety of appraisal techniques are effectively used to match the situation so that a wide range of information on the village is gathered in a short time.

(3) The following points need to be remembered to ensure “multiple viewpoints” in order to enhance survey accuracy:

i) Incorporation of multi-faceted professional findings into the survey

A team made up of people of various professions such as agriculture, civil engineering, anthropology and economy conducts survey and analyzes the survey results from multiple viewpoints based on the inter-team discussion and the members' respective professional findings so as to enhance the reliability of the obtained data.

ii) Incorporation of the opinions of different social groups and levels in the village into the survey

Communication with groups, households and individuals of different social positions and different socioeconomic conditions helps crosscheck the facts obtained.

iii) Verification of reliability of the information provided from different sources

Various pieces of information is obtained from various organizations and levels of society such as the national government, local governments, local councils and village councils to crosscheck the survey results on the subject village.

3.1.3 Procedure

The typical procedure of RRA is shown below:

(1) Planning

Study on the composition of the appraisal team, determination of the appraisal timing, study and determination of the purpose of survey and the roles of the team members, and acquisition of budget

(2) Preparation

Arrangements concerning logistics, training on RRA to the team members, determination of SSI *1 by intra-team discussion, confirmation of the appraisal procedure (protocol), and selection of visual techniques to use

(3) Advance collection of information

Collection of basic information on the subject village from local administrative organs or local offices of the relevant governmental ministries and agencies, visits to the village and investigation of the village

(4) Survey

i) group interview, ii) household interview, iii) topical interview with key informants *2 (*3)

(5) Summary

Intra-team analysis of the survey results, disclosure of the survey results and the recommendations of the team to the villagers, and feedback from the villagers

Fig. 3.1 RRA procedural flow (for development survey (development of master plan))

| Timing | Rural society appraisal team members | Other members Counterparts | Beneficiaries and other major stakeholders |
|---|--|---|--|
| Start RRA at the earliest possible timing in the first field survey of the full-scale survey ahead of other technical surveys | (1) Advance preparation | a) Formation of the appraisal team b) Formulation of TOR for external participants c) Determination of appraisal timing | Counterparts participate |
| (1) About 3 days | | | |
| (2) About 2 weeks | (2) Collection of information and selection of the subject | a) Screening of candidate villages b) Verification of subject village c) Collection of information on the subject village | Counterparts participate Local consultants, NGOs or universities participate as required |
| (3) About 1 week | (3) Preparation of PRA | a) RRA training b) Selection of questions and techniques c) Confirmation of protocol d) Logistic arrangements | Counterparts and other technical members participate Local consultants, NGOs, universities or representatives of residents participate as required |
| (4) About 2 months (5 days x 10 villages, including traveling time) | (4) Field survey | a) Community interview b) Household interview c) Topical interview d) Team meeting | Counterparts and other technical members participate Local consultants, NGOs, universities or representatives of residents as joint the team |
| (5) About 1 week | (5) Disclosure and provision of report | a) Summarization of survey results b) Disclosure to the implementing organization c) Submission of RRA report | Counterparts and other technical members present the results Representatives of residents, implementing organizations, local administrative organs and NGOs are invited |

3.2 Participatory Rural Appraisal (PRA)

3.2.1 Overview of PRA and how it is used

A participatory appraisal and proposal technique born out of RRA, PRA was first introduced by NGOs and agriculture-related research institutes in the latter half of the 1980s and is employed by some international organizations. RRA intends to gather necessary information from the viewpoint of external parties and primarily puts emphasis on "appraisal," while PRA puts priority on residents, takes the work of appraisal itself as a process to encourage residents' active involvement in development and requires the appraiser to support the voluntary effort of residents to promote the project. Because of this nature, PRA is often employed as a preliminary examination technique particularly for community development projects based on residents' initiative or resource management projects.

But it takes a lot of time and specially trained appraisers to carry out the present style of PRA, and no sufficient experience has been accumulated in any organization at present.

3.2.2 Features and procedure

Like its predecessor RRA, PRA uses a variety of visual aids to conduct interviews and meetings in the village. What is different from RRA is that the main player of the appraisal itself is residents (that is, the villagers join the appraisal team) and that the external participants play the role of supporter to residents' survey and planning rather than the role of appraiser. For appraisal items, RRA primarily tries to have an entire picture of the village, while PRA focuses on questions about the residents' problem consciousness, the importance of their requests or other things that help select the right approach, find the feasibility, etc. to help develop a plan.

Although the theoretical definition of RRA is clearly different from that of PRA, there are many similar points in, for example, appraisal procedures, when they are actually implemented. Evaluation of the two techniques varies from person to person. Some people prioritize PRA and throw away RRA as outdated or others maintain RRA for its greater excellence than PRA as an appraisal technique.

Table 3.2 Comparison between RRA and PRA

| | RRA | PRA |
|---|---------------------------------------|---|
| Period of growth | Latter half of the 1970s to the 1980s | Latter half of the 1980s to the 1990s |
| Main player of reform | University | NGO |
| Main user | Aid agencies and universities | NGOs and local agencies of government |
| Important resources conventionally missed | Wisdom of local residents | Capability of local residents |
| Major reform contents | Technique | Mode of action |
| Function of external parties | Draw (from residents) | Promote |
| Purpose | Data collection | Empowerment |
| Main implementer | External parties | Local residents |
| Long-term results | Plan, project, publication | Sustainable local activities and organization |

Table 3.3 Continuity of RRA and PRA

| Characteristics of process | RRA ← → PRA |
|---|---|
| Mode | Survey and draw out answers ← → Promote and empower |
| Role of external parties | Appraiser ← → Facilitator |
| Owner, analyzer and user of information | External parties ← → Local residents |
| Technique used | RRA ← → PRA |

3.3 Project Cycle Management (PCM)

3.1.1 Overview and how it is used

With its prototype born in the 1960s in USA as "logframe," PCM was introduced by many international organizations including UNDP, UNICEF and FAO for project management. In the 1980s, the concept of "participation" was added to the analysis stage of PCM by German Technical Cooperation (GTZ) to improve the technique (to become "ZOPP" technique). Today, many international organizations and bilateral aid agencies use this method under various names including ZOPP, PCM or logframe.

In Japan, research on PCM (particularly ZOPP) started in the first half of the 1990s, and the technique was introduced on an experimental basis in 1992. When JICA uses PCM for our project operation management, it is specially called JPCM.

PCM is basically a tool for project operation and management and cannot be defined as rural appraisal in the strict sense. But PCM includes a phase of current status analysis in the

participatory planning technique that constitutes a set of components of PCM, and that part has some elements common with rural appraisal. PCM is basically composed of the participatory planning technique and the monitoring and evaluation technique. The former is used in the planning stage of a project, while the latter during or after implementation of the project.

3.2.2 Features

PCM has the following three advantages:

(1) Consistency

PCM uses a standardized outline table referred to as "project design matrix (PDM)," which serves as the basic guideline for project management. Since the most important information for a project is stipulated by PDM, it allows the user to manage the project relatively easily and is less subject to the influence of, for example, changes of persons in charge during the project period. It also implements monitoring and evaluation in a standardized manner regardless of the size of the knowledge the appraiser himself has on the project.

(2) Logicality

PCM analyzes the conditions that surround a problem based on the cause-effect relationship and systematizes the task based on the logical relationship between means and purpose. This logicality of PCM allows integration of effective policies, strategies and activities as a set of systematized project approaches. If no error is made in the process of analysis, PCM will be able to achieve the expected results of the project at a high probability. These analyses are conducted through unique discussion called workshop. In this workshop, participants enter their opinions in the cards and paste them on the board, thereby visualizing the flow of discussion. This arrangement helps each participant enhance their level of concentration, ensures smooth discussion and review of the points of contention, and realizes logical analysis.

(3) Participatory

All the important organizations and individuals involved in a project (such as local residents of the subject area of the project, administrative officials and specialists of various fields from both supporting countries and beneficiary countries, or NGOs active in the subject area) join the workshop and conduct analysis as above. The workshop is a discussion held under a set of rules under the guidance of the moderator and intends to discuss all the important problems facing the subject residents. In addition, since discussion is held from multiple viewpoints involving local residents, administrative officials of both the aid country and the beneficiary country, and specialists of various genres, a plan of high

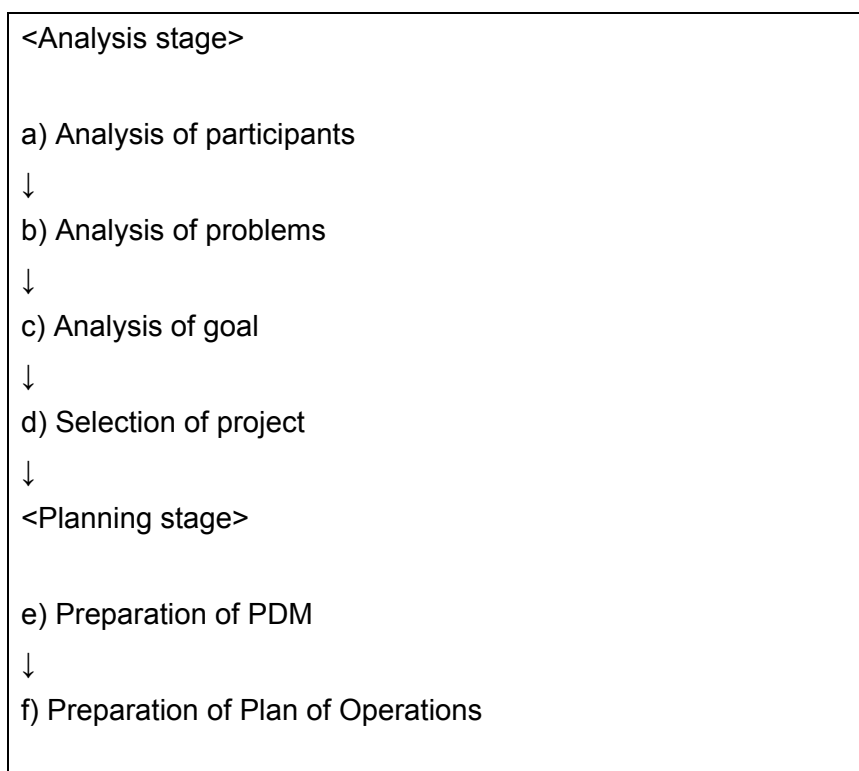
feasibility will result. In the workshop, the local residents who are the future beneficiaries of the project can be involved in a wide range of processes from analysis to planning out of their own will so that the residents' needs can be identified and taken into consideration in detail and that their will to join the project will also be highly enhanced. The logical flow in the section from analysis to project planning and "participation" of residents in those processes are the advantage not realized by other rural appraisal techniques.

The PCM workshop generally avoids decision-making based on the majority vote and respects unanimity based on discussion in order to enhance the level of satisfaction on the part of all the participants as the entirety not each individual participant.

3.3.3 Participatory planning

The participatory planning technique of PCM has the following procedure:

As shown below, the participatory planning technique used in the initial stage of the project cycle is composed of the analysis stage and the planning stage, each of which is further divided into smaller steps. The technique is to be practiced by a series of workshops held with a dozen or so members of the people involved in the project getting together for sessions.



The details of each step are described below:

i) Analysis of participants

Clarify every feature, characteristic and problem each organization or group to be affected by the project has, write them down on cards and identify the "target group" who becomes the major beneficiary of the project. Ultimately, prepare an "overview chart" that shows what role each related organization or group will have for the project in the future (Note: The term "participant" as used here is anybody who has some stake in the project and not a participant in the workshop).

ii) Analysis of problems

Clarify the status of the problems related to the target group and draw a "problem tree" that summarizes specific problems based on the cause-effect relationship. To be specific, the participants write down on the cards the problems that face the target group identified by the first step of participant analysis, and the moderator clarifies the contents, removes the cards that are redundant in terms of the contents, compares the thus rearranged cards, paste the cards that describe the causes of problems under the cards that describe the results of the corresponding problems. Repeat this process for a few times to sort out the problems facing the target group and finally put them into a tree chart.

iii) Analysis of goal

Use the problem tree, drawn in the step of problem analysis, to systemize the goal (desired condition). To be specific, start with replacing individual cards with the goal cards that describe the problems in the reduced or mitigated condition and draw the "goal tree" by further adding necessary goal cards and removing inappropriate goal cards.

iv) Selection of project

Compare alternative approaches to the project and select one that seems most appropriate to narrow down the scope of the project. To be specific, choose the goal cards that become the candidate targets for the future project in the goal tree. Since groups of cards branched under the chosen cards become alternative approaches to realization of the tasks written on the cards, confirm the alternative approaches by drawing lines in the goal tree. In addition, check the size of effect, efficiency (cost-effectiveness), technical feasibility and other factors and select the most appropriate approach. When comparing alternative approaches, draw a "comparison table" of the project approaches.

v) Preparation of PDM

Establish the framework of the project using the standardized format based on the results of the discussion in the previous analysis stages. To be specific, complete PDM that

put together the important information such as the outline of the project based on the approach chosen in step iv) above. The major components of PDM are the outline of the project, indicators, means to acquire indicator data, and external conditions. Each of those items is described below:

- Outline of the project

Most important information of the project including higher target, project target, results, and activities

- Indicators

Specifically identified higher targets, project targets and the outcome goals

- Means to acquire indicator data

Means to confirm the result values of indicators, including, specifically, documents and statistics

- External conditions

Important conditions that are necessary to ensure success of the project and higher in probability but cannot be controlled by the parties in question.

vi) Preparation of the Plan of Operations

Continuing from the step of PDM preparation, formulate the basic plan of the project, or Plan of Operations (PO). PO describes the schedule of activities by the month and the section in charge.

3.3.4 Monitoring and evaluation technique

The other important techniques that constitute PCM are monitoring and evaluation techniques. In the narrow sense, they are not counted as techniques of appraisal, but monitoring and evaluation techniques are outlined here as they are important to understand the entire picture of PCM.

(1) Definition

i) Monitoring

Monitoring is to check if the project is operated in accordance with the original schedule and make corrections if necessary.

ii) Evaluation

Evaluation is to analyze the progress of the project in a comprehensive manner from various viewpoints including the degree of achievement, efficiency or validity.

(2) Purpose

- i) To improve the quality of the project or program being implemented

ii) To clarify the results of public fund investment as the project or program is implemented and make them known to the tax payers and policy makers (in other words, to be accountable)

iii) To learn something for the future project

(3) Implementation procedure

i) Monitoring

a) Monitoring staff: Team members of the subject project

b) Period of monitoring: Every six months during the implementation period of the project

c) Contents:

- Degree of achievement of the project plan; status of input, activity, progress and outcome; and the current status of external conditions
- Analysis of factors detrimental to target achievement
- Development of necessary measures

d) Methodology: Use PDM, Plan of Operations and monitoring records

ii) Evaluation

a) Evaluator: Third persons with appropriate special knowledge

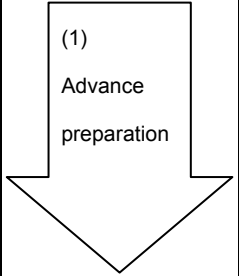
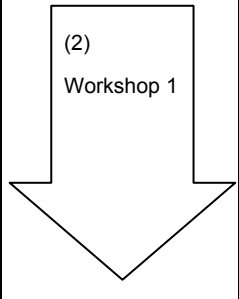
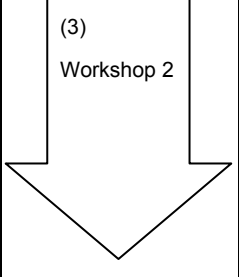
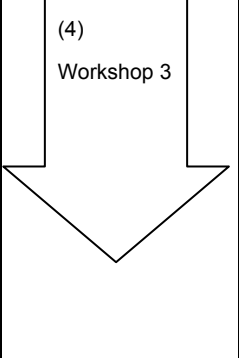
b) Period of evaluation: During, upon and after implementation of the project

c) Contents: Five evaluation items

- Degree of target achievement (causal analysis related to the achievement level of the target/plan)
- Efficiency (size of the results relative to the input)
- Impact ("effect" beyond the level of the project target that is not expected at the beginning)
- Validity of the plan (relation with the recipient country's development policies, relation with the needs of beneficiaries, and logicity and elaborateness of the plan)
- Autonomous expansivity (institutional, financial and technical viewpoints)

d) Methodology: Use PDM and Plan of Operations

Fig. 3.3 PCM appraisal procedural flow (for development survey (formulation of master plan))

| Timing | Members of participatory planning team | Other members C/P | Beneficiaries and other major stakeholders |
|---|---|--|---|
| <p>Use as a substitute other appraisal techniques (conventional or RRA) during the first field survey of the full-scale survey.</p> |  | <ul style="list-style-type: none"> a) Collection of basic data and statistics in the subject area b) Categorization of the subject area c) Arrangements for workshop participants d) Arrangements for logistics, survey materials and machines, and venue | |
| <p>Implement after completion of the technical survey during the first field survey (for about six days including moving time)</p> |  | <ul style="list-style-type: none"> a) Presentation on the techniques b) Analysis of participants c) Analysis of problems d) Analysis of goal e) Summary of results | <p>Basically other members and all the counterparts participate in the workshop</p> <p>Representatives of residents, recipient country's government officials, and locally active NGO representatives participate</p> |
| <p>Implement in continuation of (2) (for about 3 days including moving time)</p> |  | <ul style="list-style-type: none"> a) Presentation on the techniques b) Analysis of participants c) Analysis of problems d) Analysis of goal e) Summary of results | <p>Basically other members and all the counterparts participate in the workshop</p> <p>Recipient country's government staff (including the staff of the responsible ministry) participate</p> |
| <p>Implement in continuation of (3) (for about 4 days including moving time)</p> |  | <ul style="list-style-type: none"> a) Reexamination of the existing goal tree and transformation to PDM and logframe b) Associating PDM/logframe information and the sector objectives c) Clarification of the main player in PDM/logframe d) Tie-up and coordination of POs among specialists | <p>Basically other members and all the counterparts participate in the workshop</p> |

Chapter 4 Afterword

In this unit, the background of participatory development and some techniques for it are outlined. As international cooperation was going on in the world, many people involved in development projects came to feel "Something is not going on well" or "Something is going wrong," racked their brain thinking what caused it and realized the cause of failure is putting priority on the government without thinking much about the very local residents.

But there are cases where the development implementers know they should promote participatory development but face so many problems that prevent them from doing what they know they should. It is important to always turn to the basic concept of "putting people first" without contorting the interpretation of the term "participation" to match one's own favorite definition when promoting participatory development.

We hope that voluntary participatory approaches are introduced by many places so that as many people as possible will receive benefits.

Note 1: SSI (semi-structure interview)

A technique of interview used by anthropologists, psychologists and journalists. The type of questions is not determined in advance, and topics and subtopics one wants to investigate about are listed and used as the guideline for interview. In an actual interview, answers are not requested for every question, but respondents are guided to talk about the given topic during the interview. Since the success of SSI greatly depends on the experience, skill of conversation, on-the-spot flexibility, and other communicative capabilities of the interviewer, advance training is indispensable.

Note 2: Key informant

An interviewee who has special knowledge on the survey topics or certain conditions of the community. Examples are village leaders, farmer leaders, village grocers, brokers or agricultural promoters.

Note 3: Topical interview

While community interviews or household interviews mainly aim at understanding the general condition of the community or households, topical interviews narrow down the topics and ask specific detailed questions about a given topic when interviewing. The interviewees are individuals or groups who have special knowledge on the topic to study about.

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