Internship Series, Volume-II

Exploring Field Methods

CEE
Centre for Environment Education

SAYEN
South Asia Youth Environment Network

SDC

Internship Series

Volume-2: **Exploring Field Methods**

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ISBN: 978-81-89587-23-9

This publication has been compiled from a range of previously printed literature and the internet has been a very large resource for this compilation. We would like to acknowledge all the sources from where our information has been referenced or compiled. (List of References has been given as an Annexure).

Disclaimer

Content

About the Document

This Volume is a unit of an Internship Series developed as a part of the International Internships conducted by CEE, the SAYEN Secretariat and supported by SDC. It is targeted to youth and will act as a guideline on field methods for beginners.

Working in the field and getting an understanding of all the factors that affect work at the grass root level takes years. There is a lot of literature on the various aspects that need to be taken into consideration while working at the field level. This volume attempts to outline some well known, frequently used methods that can be used and adapted by a development professional while working in the field. The common thread in all the methods is the process of participation and the importance of garnering the participation of the people with whom the work is being done.

This volume mainly deals with three types of field methods: Community based, Stakeholder Consultation and Social Analysis.

It is important to remember that no field method can be mastered through any text. The theory of a method is more of a guideline. The litmus test of whether one can really use any of the methods is the field. The field as always is varied and has its share of contrasts, which brings us to the conclusion that the theory can support the practice only to an extent – the ultimate success factor for any field method is the community and its participation in the process.

Each method has been explained in a simplified manner and not only can be useful to understand the process of each method, but also highlights the possible drawbacks of each method. The volume would be useful to any youth who wants to get some very fundamental ideas regarding field methods, how and where they can be used. We have provided subject-related references, mostly websites as the internet is an accessible mechanism to many youth.

Objective

To provide an understanding of various Participatory Field methods, their processes, components, and drawbacks.

Field Methods: An Introduction

Field Methods are interactive processes involving the community, people and individuals to collect information that is relevant to the situation and context within which the community lives. Field methods are adopted in order to **start a project**, **evaluate**, **monitor a project** or **conduct research.** There are various methods adopted in order to get information from the community, come to a decision with the community involved, or to propose a change. The participation of the community throughout the process is key to getting accurate information.

The term 'Field' here is used to indicate not only the geographical boundaries where the study is being done but also includes the community and it is not restricted to rural areas alone.

We have focused on 3 types of Participatory Field methods (Based on categories from the the World Bank Sourcebook on Field Methods):

a) Community Based Methods
b) Methods for Stakeholder Consultation
c) Methods for Social Analysis

There are also workshop-based methods but we have not elaborated upon these within this volume. There are two-types of workshop-based methods:
Appreciation Influence Control and ZOPP (Objective Oriented Project Planning) *[For information on the same we have included some web resources you may refer to]*

Ethics in the field Professionals working in any field should follow some basic principles or ethical guidelines when it comes to working with people. Some of the common or overarching ethical principles are:

1. Respecting the dignity and worth of the person/people you are working with.
2. Honouring relationships that exist
3. Transparency towards the community/people you work with: Informed Consent
4. Accountability towards the community
5. Confidentiality of any information that has been shared with you in confidence
6. Respecting local culture, traditions and values.

Remember:Informed consent is a basic principle of working within a community. True participation cannot exist, if the person with and for whom the work has been undertaken is kept in the dark about any aspect of the work.

As a researcher or development worker these basic principles should be topmost when you enter a community. You are an 'outsider', 'external agent' and it is for you to gain their trust. Never assume you know more than the person who lives in the reality that you have entered as an outsider.

Participatory Field methods

The buzz word in Community Development, organizing and social research today is **"Participation"**. Nothing can be done in a vacuum. Numbers and figures have little meaning without understanding the context in which they exist and that can only surface when there is interaction with the people who know the context i.e. community. What are the various levels of participation that exist, how does one bring about participation, what techniques and methods can be used to improve participation? Let's take a look at each of these questions.

The Participatory Continuum

Mode of Participation	Involvement of local people	Relationship of Research and Action
Co-option	Token representatives are chosen, but have no real input or power	ON
Compliance	Tasks are assigned with incentives; agenda and outsiders decide direct the process	FOR
Consultation	Local opinions are asked; outsiders analyse and decide on a course of action	FOR/WITH
Cooperation	Local people work together with outsiders to determine priorities; responsibility remains with outsiders for directing the process	WITH
Co-learning	Local people and outsiders share their knowledge to create new understanding and work together to form action plans, with outsider facilitation.	WITH/BY
Collective Action	Local people set their own agenda and mobilize to carry it out, in the absence of outside initiators and facilitators.	BY

Source: http://pcs.aed.org/manuals/cafs/manual/sessions1-3.pdf

What is Participation?

The term participation has been overused, defined and re-defined and the level and ranges that it signifies differs within each definition.

Put simply, *Participation is a process of taking part in different spheres of societal life: political, economic, social, cultural and others. It can take different forms*[1], such as:

1. Direct
2. Representational, by selecting representatives from membership-based groups and associations

3. Political, through elected representatives
4. Information-based, with data aggregated and reported directly or through intermediaries to local and national decision makers

Above we see the Participatory Continuum showing us a range of the least amount of participation and the highest amount shown by a community based on the mode of how participation is brought about. The highest form of participation is seen in Collective Action, which is when the community is involved and has a feeling of ownership from the creation of an idea to the end result.

It can also be defined as, *"a process of equitable and active involvement of all* ***stakeholders*** *in the formulation of development policies and strategies and in the analysis, planning, implementation, monitoring and evaluation of development activities. To allow for a more equitable development process, disadvantaged stakeholders need to be empowered to increase their level of knowledge, influence and control over their own livelihoods, including development initiatives affecting them."* [2]

Participation holds the key to Sustainable development. It brings about capacity building of people, ownership, increased commitment, increased self-help capacity, stronger and more democratic institutions and partnerships at various levels of society between various stakeholders. Participation has been recognized as an integral part of any project or intervention after several years of work in the development sector. Development no longer supports a top-down mode of work or an externally driven agenda. The idea is to focus on what is the actual need of the community and work with the community to fulfill the need. The highest form of participation is recognized as that which is driven and owned by the community.

How much Participation? When floods affected two neighbouring villages the extent of the damage was fairly similar in both. Most houses had been submerged and there was no loss of life in either village. The livestock, which had been tied to their sheds had developed severe skin diseases and were in very poor shape by the time the water receded.

Village A Once the water had drained out from village A called for a meeting and decided to do an assessment of the damage, based upon which they realized the status of the animals. They approached a local NGO for help and through village meetings they decided to avail the services of an animal welfare organization from the nearest city to treat the animals and conduct some training programmes, on how they could maintain and improve the health of their livestock. The community followed up with both organizations and took an active interest in organizing the training sessions and the health check-ups in the entire village. They contributed for both and got a part subsidized from the Panchayat. Upon realizing that there would be a need for trained professionals in case such an event occurred again, 2 youth from the village joined a long-term training programme covering more topics for animal health care by the NGO.

Village B Everyone took individual steps towards solving their problems. Most of the farmers brought in private doctors to see their cattle and paid hefty sums for the treatment. When the NGO working in village A realized this they approached the villagers with the solution that had worked so far for village A. A village meeting was arranged. The NGO explained how they planned to go about the entire process and told the villagers what they would require to contribute and what follow up steps they could take.

Questions:

1. Where would you place the type of participation by Village A and Village B on the Participatory Continuum?
2. What do you suggest could be done differently to improve the type of participation in Village B?
3. What steps do you suggest that Village A can take to ensure that the programme they started can be made sustainable?

The example shows that the initiative taken by the community also inspired an active participation throughout the process and therefore an ownership of towards the programme.

From here on, we shall focus on participatory methods that can be used while working with a community on a variety of projects.

Participatory Learning & Action/ Community Based Methods

Participatory Learning and Action (PLA) is an umbrella term for a wide range of similar approaches and methodologies, which includes:

1) **Participatory Rural Appraisal (PRA)**
2) **Rapid Rural Appraisal (RRA)**
3) **Participatory Action Research (PAR)**
4) **SARAR: Self-esteem, Associative strength, Resourcefulness, Action planning and Responsibility**
5) **Participatory Learning Methods (PALM)**
6) **Farming Systems Research (FSR)**
7) **Méthod Active de Recherche et de Planification Participative (MARP)**

These approaches recycle many biases and preconceived notions that we sometimes as young developmental workers or outsiders bring along with us. The idea behind these is that they fit the context within which the work is to be done, and the fitting is done in conjunction with the people.

The common theme is the promotion of interactive learning, shared knowledge, and flexible, yet structured analysis. They offer opportunities for mobilizing local people for joint action. The methods are not restricted to developed or developing countries and is applicable for any one or more issues such as health, agriculture, ecology, disasters etc.

Eight Step Approach[3]

Typically, participatory inquiry involves eight clearly defined steps. An outside team works with members of the local community to:

1. **Select a location and gain approval** from local administrative officials and community leaders;
2. **Conduct a preliminary visit** (steps 1 and 2 include community review and a planning meeting to share the purpose and objectives of the participatory inquiry and initiate dialogue between all parties as well as full participation);
3. **Collect both secondary and field data** (spatial, time-related, social, environmental, economic and governance), and share information with selected communities;

4. **Synthesise and analyse** that data
5. Identify **problems** and **opportunities** to resolve them
6. **Rank opportunities** and **prepare maps**, action plans, reports and costings (including basic work plan for all members of the community)
7. **Adopt and implement** the plan
8. **Follow-up, evaluate and disseminate** any findings, maintain momentum through addressing new issues.

We will go into the details of four most frequently used methods of the seven mentioned above, since these are more frequently used:

1. **Participatory Rural Appraisal**
2. **Rapid Rural Appraisal**
3. **Participatory Action Research**
4. **SARAR: Self Esteem, Associative strength, Resourcefulness, Action planning and responsibility**

1. Participatory Rural Appraisal (PRA)

The Participatory Rural Appraisal is one of the techniques used for gathering information on community resources and needs for use in literacy and community development programs. The techniques include the use of transect walks, maps, calendars, matrices, and diagrams using locally available materials.[4]

A PRA can be used to understand the economic, social, physical and environmental aspects of a community.

Central concepts or key tenets of a PRA are: [5]

- Empowerment
- Respect
- Localization
- Inclusiveness
- Teamwork
- Flexibility

These tenets should be kept in mind while carrying out the PRA

Steps in a PRA[6]

1. What is your **Objective**? - Clarity on what information you are looking for is the first step. E.g. social-economic relations, available water resources/grazing lands, historical data, training of the research team etc. To be efficient in terms of both time and money, PRA work intends to gather just enough information to make the necessary recommendations and decisions. The outsiders should present themselves as optimally ignorant to grasp the local knowledge as much as possible.
2. Who should be part of the **team**? A multidisciplinary team is ideal since each person with a different background brings their own perspective. A well-balanced team represents the diversity of socioeconomic, cultural, gender, and generational perspectives.
3. Make the necessary **logistical arrangements** *(Refer to Page 17)* for the team before hand; how many vehicles, availability of accommodation, food, water etc.
4. Gather as much **secondary data** as you can about the area which you will be visiting. Each member of the team should be well-versed with these details. Keep in mind issues which are sensitive in the community.
5. **Meet** with the head (chief) of the community (traditional), local government body representative and clarify your purpose and get their permission to conduct the activity.
6. **Invite the community** for an initial meeting (have follow-up meetings as and when required). Discuss your purpose with the community and get their opinion on how you could go about collecting the information. Explain the various methods you have in mind and what the alternatives could be. Local people's input into PRA activities is essential to its value as a research and planning method and as a means for diffusing the participatory approach to development.
7. Include marginal and **vulnerable groups**, women, children, aged, and destitute in all meetings and decisions taken.
8. The PRA would require a **combination of tools** to be used. These cannot be pre-decided and must be decided upon based on the context and the flow of the activity. For example: Along with a resource map sometimes a transect walk can help to increase information through observation. The extensive and creative use of local materials and representations encourages visual sharing and avoids imposing external representational conventions.
9. The combination of techniques that is appropriate in a particular development context will be determined by such variables as the size and skill mix of the PRA team, the time and resources available, and the topic and location of the work.
10. PRA works with **qualitative data**. To ensure that information is valid and reliable, PRA teams follow the rule of thumb that at least three sources must be consulted (Triangulation) or techniques must be used to investigate the same topics.
11. The information collected is analyzed and along with **observations** of the team it is put into the report.

12. **Reports** should be written up everyday and a final draft should be shared with the community. Ideally they should be presented in the local language.

Things to be aware of:

1. Encourage the participation of women, children and elders in the community. Very often they will have interesting information to share but will be reserved or shy about sharing at such a public forum.
2. Don't plan the schedule of any activity without consultation of the entire community.
3. Keep the higher-ups in the loop, but don't let the activity be driven by them.

Tools & Techniques

Meetings at the village level (a series of open and follow-up meeting) generally frame the sequence of PRA activities. Tools are always used in combination, never in isolation as they complement the information gathered by one technique. Other common tools in PRA are:

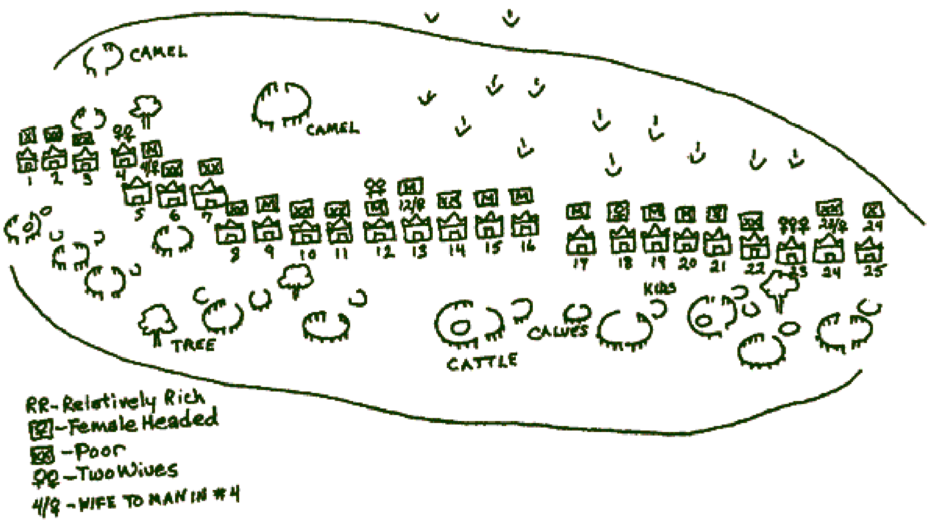
Mapping and diagramming

Steps in Mapping:

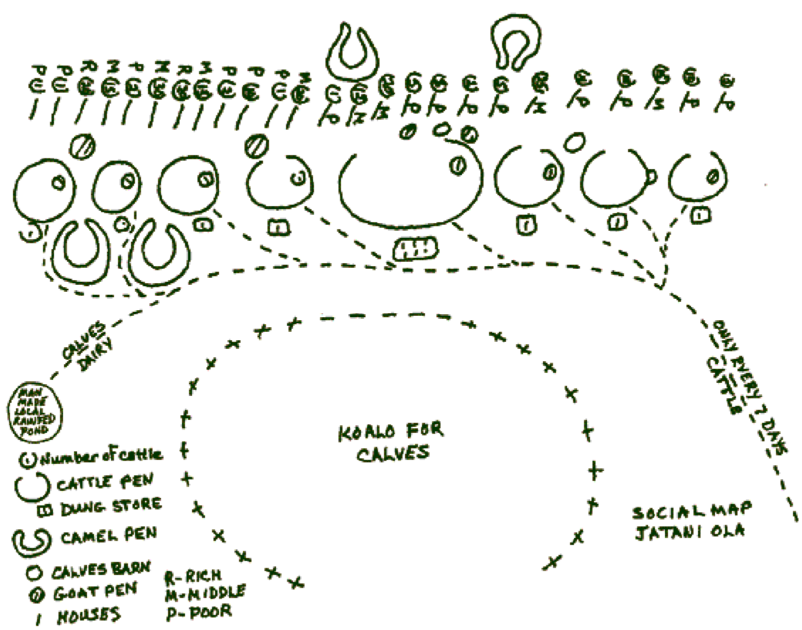
1. Explain to the group what a map entails and what are models.
2. Bring the community together at one place. Choose a spot which has enough space for everyone to sit and there is enough space to show an image representing the entire community space.
3. Ask them to first depict the most central location of the village according to them and from there build around it. **For example:** the village temple is the most centrally located plot as well as being the main place where most village events take place.
4. Allow the community to choose where, how and with what will they draw the map. Local resources and symbols should be used to indicate various things on a map.
5. Be an observer in the process and ask relevant queries without being intrusive.
6. Document the map once it's completed. Take pictures, do a sketch of what it looks like (use the same symbols that have been used.)

There is often a difference in the types of information and symbols in maps drawn by men and women. **For example:** When a team of researchers in Africa asked the community of Boranas to draw a Social map of their community, the Borana[7] women's map showed female-headed households and co-wives (more than one wife) not shown on the men's map; the men's map had more information on livestock.

Map drawn by Borana women



Map drawn by Borana men

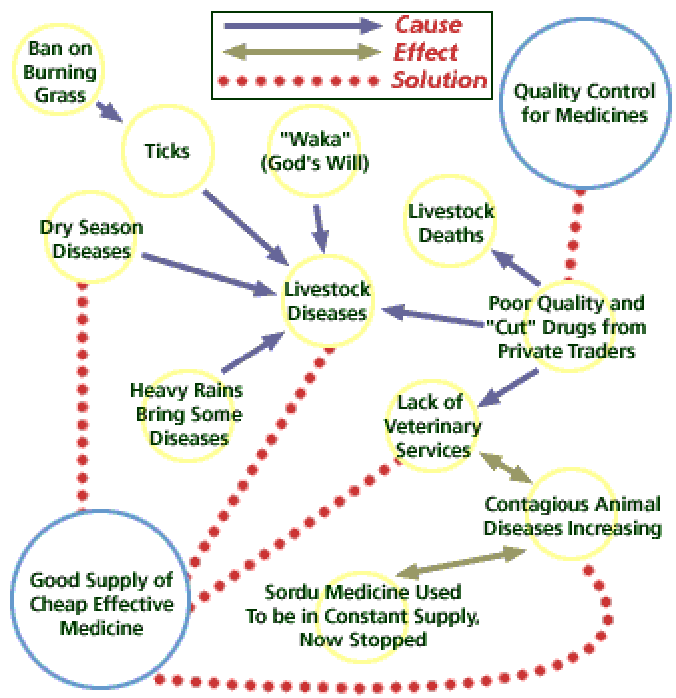


Source: http://www.iisd.org/casl/CASLGuide/GenderMap.htm

In order to get an understanding of what are the various aspects of a community in terms of resources, social structures, and economic conditions getting the community together is an easy way to break the ice in some ways. The map should be drawn by the community. In order to draw the map there should be a use of whatever resources are available in the community e.g. sticks, stones, chalk, leaves, and the symbols should be something that is local and understood by all in the community. It would be preferable if not too many aspects are shown in one map. Rather drawing one map for one-two issues would be ideal. There are various types of maps:

1. **Thematic maps:** maps representing a particular topic or a set of topics for example, water sources.
2. **Social Maps:** These maps show the population by household with a gender and adult-child breakdown. These can also serve as a census map; or they can represent distribution of wealthy and poor households. First the households are marked, then the enumeration of the each household and the ratio of female and male members in each household are marked with different symbols. It could also be used to map child mortality, literacy etc.
3. **Farm plans and grazing lands:** Show cropping patterns, cycles, types of crops, grazing lands- size, common property resource management institutions, herd size and management.
4. **Models:** three dimensional models of a place can sometimes be more interesting and sometimes can be used to plan future aspects of how the community envisions their surroundings in the coming years.

Problem web (Borana men, Ethiopia) showing cause and effect interactions



(Source: www.iisd.org)

Diagrams[8]

- **Venn diagrams:** Often made with circular cards of different sizes and colours, they are placed in relation to one another on a base area. The most common use is for mapping of institutional concepts, with area (size) representing importance, and degree of overlap representing intensity of interaction. Men and women, wealthy and poor, young and old, may well produce different diagrams, and the differences are often instructive. This exercise can lead into more intensive interviews with key informants, focus group discussions, and participant observations.

- **Webs:** Often used for representing interactions of cause and effect, webs show multiple linkages between items. **For Example:** When there is a sudden drought, the causes are not necessarily going to be one or two factors but rather an entire host of factors ranging from excessive use of ground water without recharging the water table to larger climatic changes occurring in the area.
- **Trees:** Trees, or rivers, can represent any branching relationship such as cause and effect.

Time lines and seasonal calendars

- **Absolute Timeline:** It shows actual dates mostly those which were locally memorable events, e.g. a major famine, a forced resettlement, a war or civil disturbance. These can be used as benchmarks and should be taken from the elders in the community, as they are most likely to have the knowledge of the various events over a period of time.
- **Relative timeline:** When dates are hard to get, then approximate timelines are very useful.
- **Seasonal Calendars**: It is a simple tool to use with communities since they have a strong grasp of the seasonal changes, "cyclical time". It is a useful entry into timeliness of events, how labour is organized and what natural resources are used at what times. Another very valuable application of seasonal calendars is at the site reconnaissance stage of project preparation, where the information can be useful for scheduling research visits to coincide with particular activities or periods when participation will be easier because people are less busy on essential tasks. Seasonal calendars should have the names of the seasons along the top (or down the side) and corresponding spaces for thematic information. This could include such things as rainfall, agricultural activity, pastoral activity, or collecting activity. Some items may just be indicated on a present/ absent basis.[9]

Semi-structured interviews

These interviews are spontaneous and more casual. The interviewer is the learner in this case. The interview is surrounded about what the person knows and their experience. In such an interview the best thing that should be done is asking the right questions, listening and taking notes.

Ranking

As the word suggests the group ranks certain resources or aspects based on their perspective. It can be done in three ways:

a. **Pair Ranking:** A list of the various resources is taken and each resource is compared to the rest in the list and people have to select which resource is the more important. Once each resource has been compared to all others a tally is done of which resource was selected the most and which the least, with others in between.

b. **Preference Ranking:** A preference matrix is a tool that allows the qualitative comparison of very different things. Either by some kind of voting, or through discussion and consensus, informants can generate a simple list of preferences or choices.

c. **Wealth Ranking:** Wealth ranking, or well-being ranking as it is sometimes known can be a sensitive issue. It is used to get an overall picture of the socio-economic stratification of the community. The definitions for "rich", "poor" are based on how the community will define them. Separate piles of cards can be made or else stones, beans, seeds etc. may also be used. It can be used to assess targeting efforts for various groups.

Transect walks and observation

A transect walk is normally done along with mapping and this is basically a walk around the area which has been mapped. It allows the researcher to observe the smaller nuances, which might not necessarily be shown on the map. Here interaction with the community may happen in a casual way along the walk, it might also lead to some observations that the researcher should note down. It is important to note who conducted the walk, when (season, time of day etc.).

Focus Group Discussions

- Focus-Group (usually small group). This can be an ideal follow-on to a representational activity, such as a map, diagram or matrix. Key informant interviews can often develop into focus group interviews, frequently to their benefit.

In most of the cases, researchers use them in combination rather than relying on a particular technique. This is Participatory research.

Combining different PRA tools in studying coastal fisheries

The fishing community of Santa Mercedes Village in the Philippines used a range of PRA techniques to analyze there fishing (and other) resources. The fishing community was particularly pleased with their seasonal calendar, which they used to provide a detailed breakdown of the fish species available throughout the year. Matrix ranking was used to analyze species preferences. A sea map detailed the resource base of the estuary fished by the community: fish habitats, the location of different species, breeding grounds and gear types were included.

Source: Sarch (1997): adapted from Mascarenhas and Hildalgo (1992).

Logistics for PRA

A typical PRA activity involves:

1. A team of people working for two to three weeks on workshop discussions, analyses, and fieldwork.
2. A convenient location with nearby accommodations, arrangements for lunch for fieldwork days, sufficient vehicles, portable computers, funds to purchase refreshments for community meetings during the PRA, and supplies such as flip chart paper and markers.
3. Training of team members may be required, particularly if the PRA has the second objective of training in addition to data collection.
4. PRA results are influenced by the length of time allowed to conduct the exercise, schedules and assignment of report writing, and critical analysis of all data, conclusions, and recommendations
5. Time is a critical factor and the PRA might take a few days or may last several months.
6. All reports must be written immediately after whatever activity or meeting is undertaken. Once compiled it should be shared with the team and the community.

Key points[10]

- Do not lecture. Look, listen and learn
- Facilitate; do not dominate; do not interrupt or interfere; once a task is initiated, let people get on with it; give them time to think or discuss among themselves.
- Embrace error. We all make mistakes and do things badly sometimes. Never mind. Do not hide it. Share it.
- Try to obtain opinions from all groups.
- Relax, do not rush
- Meet people when it suits them.
- Use helpers- what, why, how, who, where and when.

Possible drawbacks

- The term PRA itself can cause difficulties: It need not be confined to rural settings, and sometimes may not necessarily be participatory. Despite its limitations, the concentrated power of formalization of community knowledge through participatory techniques can generate an impressive amount of information in a relatively short space of time, leaving time for more selective structured formal surveys where they are necessary and of value.

2. Rapid Rural Appraisal (RRA)

Rapid Rural Appraisal consists of a series of techniques for quick research that help generate results of less apparent precision, but greater evidential value, than classic quantitative survey techniques. The method does not need to be exclusively rural nor rapid, but it is economical of the researcher’s time.

The researcher is an outsider and the entire process is externally driven.

A multi-disciplinary team usually conducts RRA. Its chief techniques include:

- **Review of secondary sources, including aerial photos, even brief aerial observation**
  Air photos can also be shared and discussed with local people: they find them intrinsically interesting. Apart from generating project information, sharing such information with those who are interested can also be a powerful tool for demystifying our contemporary formal knowledge. The photos can be made the focus of a group discussion, a geography lesson for the children, or an adult literacy class.[11]

  An optional tool would be ***Google Earth,*** which is easily accessible and gives detailed maps of a particular geographical area. A photograph of the area under RRA could be used as a medium to help people identify their houses, various places in the village and create a resource map with the given picture.

- **Biographies, local histories, case studies**
  Collection of individual biographies can be an extremely insightful exercise, revealing livelihood crises and responses, and critical choices. Individual biographies are an excellent way of penetrating the past, and particularly at getting into adaptive strategies where decisions are probably most often made at household level. Comparison of biographies can be useful. They can also indicate household poverty-wealth cycles. To pinpoint the major events of a biography where years may be absent, and to look for commonalities, a more general area-specific time line is useful.

Other tools which are used in PRA as well are:

- Ranking and scoring
- Time lines
- Direct observation, foot transects, familiarization, participation in activities
- Interviews with key informants, group interviews, workshops
- Mapping, diagramming
- Short simple questionnaires, towards end of process
- Rapid report writing in the field.

(Refer to PRA for details)

RRA Guidelines[12]

One definition alone cannot do justice to what an RRA is. It is important to understand the broad framework within which an RRA can be undertaken. For example if someone wanted to understand the local agricultural produce market in a village, he would need to ask himself certain questions such as; “Do I have a good range of people from whom I will get information?”, “Is the activity structured well, is it too rigid?”, “What are the biases that we bring to the study?” etc.

The following guidelines help any researcher to keep in mind some basic tenets before going into the field and keeping the person aware of the various factors that might affect the research.

- *Structured but flexible*

  RRA is a structured activity requiring careful planning, clear objectives, the right balance of people involved and a good choice of tools and techniques for use in the field. At the same time, it is flexible enough to respond to local conditions and unexpected circumstances. Progress is reviewed constantly so that new information can be understood and the focus of the RRA redirected.

- *Integrated and interdisciplinary*

  RRA helps “outsiders” to learn about rural conditions by looking at them from many points of view. This means having people participating with a variety of different technical and scientific skills and a balance of different institutional outlooks. This requires an integrated development approach which cuts across institutional and disciplinary boundaries.

- *Awareness of bias*

  Researchers and development workers who are trying to understand rural conditions can be biased by their urban attitudes, their own professional and personal priorities, the type of transport they use, the language they speak. The people researchers talk to can be biased as well by their limited experience, their customs and beliefs and their own interests and those of their families. RRA seeks to avoid biases by being aware of them and by being systematic in taking into account different points of view and different sets of interests.

- *Accelerating the planning process*

  RRA tries to shorten the time it takes to get from knowing nothing about an area or a situation to deciding what development interventions might be best for that area by using key informants, careful observation and by exploiting the knowledge and experience of local people. The information produced is analysed “on the spot” and presented in a form which is more easily used by planners and which can be discussed and understood by local people themselves.

- *Interaction with and learning from local people*

  Whatever the purpose of the RRA, it must involve the people who are the intended “beneficiaries” of any eventual development activities. RRA should give them the opportunity to describe their lives and conditions. The people carrying out an RRA must be prepared to listen to local people and learn from them. Participation by local people can take many forms but any RRA will involve intense interaction between researchers, planners, traditional and formal authorities and local people.

- *Combination of different tools*

  The RRA approach uses a combination of communication and learning tools. These tools help outsiders to observe conditions in a concise but systematic way. They also allow local people to present their knowledge, concerns and priorities to outsiders. The combination of different tools and techniques builds up a more complete picture where different viewpoints can be compared and contrasted. The systematic crosschecking of information collected in different ways by different people from different sources can increase accuracy and comprehensiveness.

- *Iterative*

  During an RRA, what has been learnt is constantly reviewed and analysed in the field. This is usually done in workshops carried out at regular intervals. This means the focus of the RRA, the tools used and the people talked to can be adjusted constantly.

RRA Tools

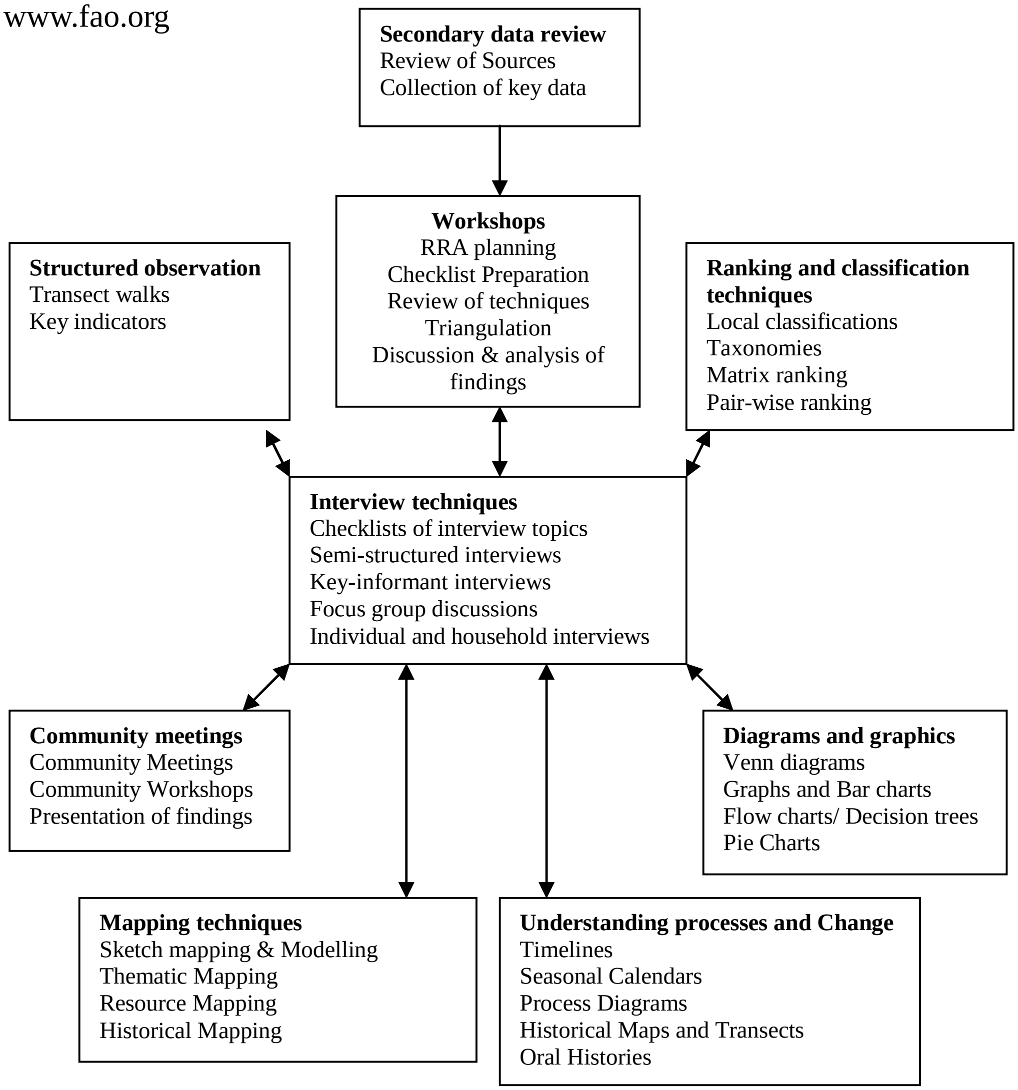
Tools used in RRA do not have a structured format in which they should be used nor do they have a standard formula. It is important for the researcher to get a basic understanding of the context before using the tools. In some cases it may be important for the team to call a meeting of the village before going into any activity. Other cases might require them to meet individual households in order to get the necessary people from the community to participate in the activity. The figure shows all the possible tools that may be used in an RRA. Interview techniques are the basis of any sound RRA.

Possible drawbacks

The range of techniques can be effective, but it remains fundamentally an extractive, externally-driven process. “Participation” is restricted to provision of information to the researcher by the community. A simple way of putting it would be: *If the community draws a map because you ask them to, it’s RRA. If they realize that the map belongs to them, and want to keep it for their own use, then it’s PRA.*

Tools Used in RRA

Source: www.fao.org



3. Participatory Action Research (PAR)

PAR builds on the critical pedagogy put forward by Paulo Freire as a response to the traditional formal models of education where the "teacher" stands at the front and "imparts" information to the "students" that are passive recipients. This was further developed in "adult education" models throughout Latin America. Friere (1990) wrote,

"The silenced are not just incidental to the curiosity of the researcher but are the masters of inquiry into the underlying causes of the events in their world. In this context research becomes a means of moving them beyond silence into a quest to proclaim the world."

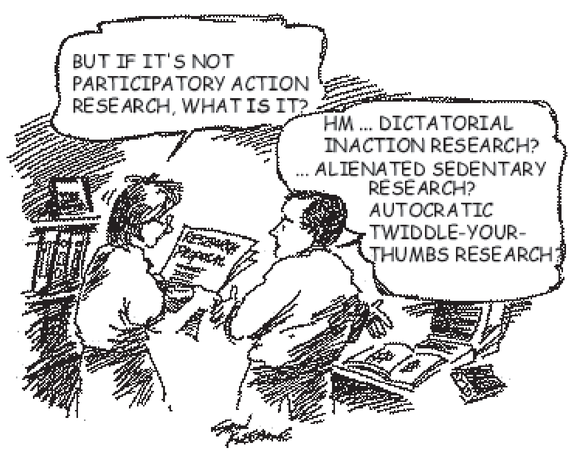
It is more of an activist approach, working to empower the local community, or its representatives, to challenge the higher level power structures. Claimed for a variety of interventions - World Bank-supported credit unions for the relatively privileged, Grameen-type[13] banks for the very poor, community based paralegal training and litigation, voter education drives among the marginalized - PAR can empower a community, entrench local elite, right a wrong or totally mess things up. It depends on the extent of awareness and political savoir faire of the supporting outside organization.

According to Wadsworth, 'Participatory action research' *is* a description of social research per se (albeit social research which is more *conscious* of its underlying assumptions, and collectivist nature, its action consequences and its driving values). [14]

One of the 16 tenets of PAR presented at the *The Third World Encounter on Participatory Research), Managua, Nicaragua, September 3 – 9, 1989 by* Robin McTaggart outlines PAR as, "Participatory action research *is contingent on authentic participation* which involves a continuing spiral of *planning, acting* (implementing plans), *observing* (systematically), *reflecting* and then re-planning and so round the spiral again. The process can be initiated in different ways:

- Collect initial data in an area of general interest (a reconnaissance), reflect on it, and then make a plan for changed action;
- Make an exploratory change, collect data on what happens, reflect, and then build more refined plans of action. [15]

PAR, which owes more to a radical activist tradition from the work of Paulo Freire, Richard Chambers and others in Latin America, derives some of its rationale from awareness that PRA, for all its emphasis on participation, capability building, ownership of knowledge and empowerment, is still fundamentally an extractive and intellectual exercise. It builds on the Action research and Group Dynamics models developed by psychologist Kurt Lewin in the early-to-mid 1900s.

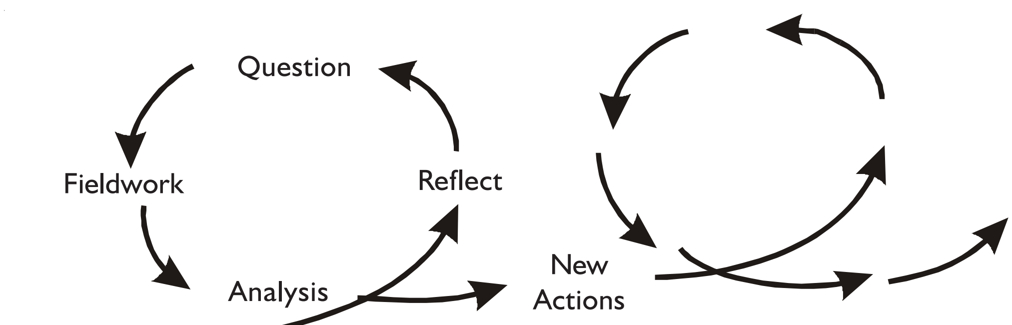


At its core, PAR revolves around three sets of relationships: relations between individuals within communities and groups, relations between those groups and communities, and relations between people and their physical environment. Management of group dynamics in its many aspects thus plays a central role in PAR processes, and PAR practitioners/ facilitators must have a strong foundation in this field. PAR, by contrast, works directly with local political/development capacities to bring real, visible organizational structures, effective local advocacy, and a durable change in power relations with the center. If it can avoid the danger of entrenching a self-interested local elite, and address honestly the long-term choices that must be made on resource utilization, it perhaps has the most potential of all the methods described to secure the resources for sustainable livelihoods.

Note: PAR is not like PRA. PRA is an assessment method, which might be used in PAR but doesn't encompass the Action-Reflection cycle that PAR does.

Research in PAR is ideally BY the local people and FOR the local people. Research is designed to address specific issues identified by local people, and the results are directly applied to the problems at hand.

PAR proceeds through repeated cycles, in which researchers and the community start with the identification of major issues, concerns and problems, initiate research, originate action, learn about this action and proceed to a new research and action cycle. This process is a continuous one. Participants in Action Research projects continuously reflect on their learning from the actions and proceed to initiate new actions on the spot. Outcomes are very difficult to predict from the outset, challenges are sizeable and achievements depend to a very large extent on researcher's commitment, creativity and imagination.



PAR process

Research using PAR as it's method will happen in the four moments of action research, namely **reflection, planning, action** and **observation**. These research moments exist interdependently and follow each other in a spiral or cycle.

Possible drawbacks

Participatory Action Research is fine if you understand the local power structure and the issues. It is best reserved for situations where the external agent is aware of the potential for damage, both to themselves and, more importantly, to the disempowered in the community. It also works best where the external agency has a clear status and relationship with the community and can command resources for a long-term commitment.

4. SARAR: Self-esteem, Associative strength, Resourcefulness, Action planning and Responsibility

This participatory approach is geared specifically to the training of local trainers/facilitators, builds on local knowledge and strengthens local capacity to assess, prioritize, plan, create, organize, and evaluate.

SARAR is an acronym of five attributes –
Self-esteem
Associative strength
Resourcefulness
Action planning
Responsibility for follow-through

The purpose of SARAR is to :

a. Provide a multi-sectoral, multilevel approach to teambuilding through training
b. Encourage participants to learn from local experience rather than from external experts
c. Empower people at the community and agency levels to initiate action.

The concept was first developed through field-based training of rural extension workers in Indonesia, India, and the Philippines in the early 1970s and in Latin America toward the end of the decade. In the mid-1980s the SARAR approach was applied to the water supply and sanitation sector in East and West Africa, Nepal, Indonesia, Mexico, and Bolivia. Initially, the focus of SARAR was primarily on local communities and field staff. In response to emerging needs and experience, the method has been broadened to include an institutional focus as well.

SARAR has proved flexible in adapting to urban settings, although it was originally designed for rural use, and it has been applied across sectors, such as rural development, agricultural extension, health, and water and sanitation. It is now being adapted to wildlife conservation and utilization and HIV/AIDS related education. SARAR is indeed directed toward whole communities, but it has proved to be especially useful in giving special attention to populations, such as women, whose input and needs are hard to assess with traditional development approaches.

Flexible and customized activities are developed to bring to the fore socially sensitive data from the people regarding their opinions, perspective, values, and feelings. A lot of valuable data is usually generated from these activities but the main purpose of SARAR is not to extract data but rather use data for self enhancement, reflection and motivating people to act.

SARAR activities fall into five categories:

- ***Investigative techniques:*** Demystifying research by involving participants in data gathering and processing so they "own" the outputs and are committed to using them. **e.g.** pocket charts

Pocket Charts: This comprises of a matrix and within each box various activities or issues are drawn. Beneath each drawing, pockets are made of cloth or cardboard and the community is asked to vote regarding each with the use of counters. The same chart can be used again by changing the picture. These are used to bring about an understanding about the importance of certain issues or things within a community.

- ***Creative techniques:*** Promoting fresh viewpoints and imaginative new solutions, liberating expressiveness and openness to change. **e.g.** mapping, non-serial posters

Non-serial posters: This tool is used to bring forth a discussion about an issue within the community. A series of posters (not more than 4 usually), with highly evocative, strong drawings are presented to the community in no particular order. The community is expected to create a story based upon what they see.

Mapping: Creating a resource map of the available ration shops within the community. *(Please refer to PRA for further details)*

- ***Analytic techniques:*** Engaging the mind in critical assessment of problems, identifying their causes and effects, categorizing and prioritising them, and arriving at sound choices. **e.g.** three pile sorting, gender analysis

Three Pile Sorting: A pack of cards depicting various activities surrounding an issue are given to the members of the community and they are asked to place each picture in a pile, which depicts good, bad or in-between. This sheds light on the way the community sees a particular issue. Piles could also be made to show who the community feels is responsible **for a subject- individual, local government or state government.**

For example: The issue could be about who is responsible to ensure that the Fair Priced/ Ration shops deliver the goods on time. The options could be (a) The ration shop owner (b) Government officers (c) Community. In such a case the individuals in the group can use counters and place them on a pile they think is responsible.

Gender Analysis: This exercise can be very abstract. Visual aids are used to show men and women in relation to various things that they may own, activities they do or behaviour they may exhibit. These are presented to the community, which gives their opinion and views on the same. It is advised to do the activity separately with men and women.

- ***Planning techniques:*** Expanding the vision of what is possible; developing skills in goal setting and marshalling resources to achieve them; and managing, monitoring, and evaluating the outputs. **e.g.** story with a gap, force-field analysis and software-hardware exercise

Story with a gap: Two pictures "before" and "after" (improved situation) the group has to discuss the steps, which led from the first situation to the changed one. Encourages the community to think in terms of a solution.

Force-field analysis: Is a similar method to '*Story with a gap*' as it denotes before and after pictures. In this case the goal is to outline the possible resources and constraint to achieving a particular thing. **For example:** Improving the condition of toilets in the school.

Software-Hardware technique: Is to bring about an interaction and understanding between project staff and local people.

Software is: Organizational and capacity building efforts
Hardware is: Technical inputs and physical infrastructure of the projects.

A list of both components of the project is listed out and the group has to form a sequence of how the project will be carried out using both components.

- ***Informative techniques:*** Accessing the required information in an enjoyable way and using it for better decision making in implementing a plan of action.

Each of the activities has been developed to be effective in a variety of circumstances. As a package of tools, they are designed to be multi-sensory so that they affect behavior in multiple ways. The intention is to foster creativity and involve the whole person, not just the intellect. Some SARAR activities, such as force field analysis, mapping, and gender and task analysis, are similar in focus and name to components of many methods for social assessment and participation. Some activities, such as pocket charts, story with a gap, flexiflans, and three-pile sorting cards, are unique to SARAR.

Possible Drawbacks

- SARAR must be followed up with action or else the community will be completely disillusioned by the entire activity and there will be a complete stop in the process.
- The facilitator must be well trained as he/she will be using the various techniques based on the context. It may happen that the facilitator creates a standard formula based on an experience with one community and applies it to any community without creatively modifying or adapting the technique to the specific context.
- A general resistance maybe experienced by the trainer because of the fact that many of the techniques are primarily visual and might evoke some uneasiness.

Stakeholder Consultation

This is a listening process that is undertaken with the stakeholder groups. The idea behind these consultations is to ensure that those who are providing the service are aware of what really the needs of the stakeholders are. One method of Stakeholder Consultation is Beneficiary Assessment.

1. Beneficiary Assessment (BA) is a qualitative method of investigation and evaluation. It involves the systematic consultation of project beneficiaries and other stakeholders. BA helps them identify and design development activities and signal any potential constraints to their participation. Its purpose is to undertake systematic listening, by giving the poor and other "hard-to-reach" beneficiaries "a voice", and to obtain feedback on activities.

Beneficiary assessment is a systematic inquiry into people's values and behavior in relation to a planned or ongoing intervention for social and economic change.[16]

BA is the essential link between service providers and those for whom the service is created. It is based on the assumption that beneficiary voices are either unheard or kept in the background.

BA is used for primarily two purposes:

1) **Project Assessments:** To understand what the stakeholder, beneficiary for whom the project has been designed thinks about the project.
2) **Poverty assessments:** BAs provide qualitative input by focusing on the human factors that affect poverty, the incentives and constraints to behavior change, the reactions to service delivery and institutional responsiveness, and the importance of formal and informal safety nets. Specifically, BA work is done in connection with the consultative portion of poverty assessment known as the participatory poverty assessment (PPA).[17]

Steps in BA:

1) ***Familiarization:*** Understanding the context mainly entails reading all important documentation (reports, appraisals, evaluations, consultant reports etc.) Interviewing any person who has been or will be involved in designing, developing, evaluating and monitoring the project and checking out the programme sites without going through any representing authority. **For example**: Speaking with randomly selected beneficiaries.
2) ***Study design:*** Target populations are identified. An appropriate representative sampling framework is devised, and the issues to be explored (according to the objectives of the BA) are clearly delineated. A research group and team leader should also be designated.
3) ***Selection and orientation of local interviewers/ Local Assessors:*** The research group helps select and train local men and women who are fluent in local language(s), good

listeners, and skilled in recall and writing. The study team, including local interviewers, practices descriptive and accurate writing, note taking, awareness of and separation from preconceived notions, and data analysis. Gender is an important factor that must be regarded cautiously while selection of the assessors, its most likely that in smaller rural communities people will open up to a person of the same gender. The assessors should also be made to understand the aspect of gender sensitivity.

4) ***Final Report:*** The assessor should not only record findings in as much detail as possible but along with these, their observations should be included. The final report must be readable therefore avoidance of technical terminology, detailed description of all aspects leaving nothing to interpretation. It should include recommendations that incorporate assessment findings into project design or sector work. The report should be reviewed by the interviewees to crosscheck for accuracy.[18]

Methods used to carry out an assessment are **direct observation, conversational interviews** and **participant observation**.

Direct Observation: Is the simplest method here the idea is to note down whatever has been observed.

Conversational Interviews: Are in a way semi-structured but qualitative interviews and are designed to bring out information, which is from the beneficiary's perspective and understanding. The interview is based on a particular topic, which is required for the BA. **For Example:** Education, energy, health, population etc.

Participant Observation: Here the person becomes temporarily a part of the community and while living or residing in the same place makes observations specific to what the BA is looking for. E.g. Health issues, nutrition, water access, environmental awareness, risks to disasters etc.

Ethiopia: Cultural Inhibitions to Prenatal Care

Participant observers in the beneficiary assessment done in one major region of Ethiopia observed that pregnant women in this area almost never visited health centres. In-depth discussions held with men and women in the communities where they lived revealed that the major reason for this low visitation rate lay in the cultural belief that it was considered weak and improper for women to admit to any pain or discomfort. This information, which was new to the public health officials in Addis Ababa, was considered useful to help orient health education among the rural communities of this region of Ethiopia.

Source: www.siteresources.worldbank.org

Possible Drawbacks

The sensitivity and awareness levels of the assessor are important. In order to ensure that the assessor does not get too involved or does not take sides throughout the process it is important that the training and orientation be thorough before the person is sent into the community.

Social Analysis Methods

Social Analysis is a measuring rod, which tells us whether a particular intervention will contribute to sustainable and equitable development of a community. The social reality around us can be viewed through a variety of angles; within social analysis these different angles are all taken into consideration. According to the Social Analysis Sourcebook by the World Bank, there are five Entry Points or dimensions of enquiry.

The increased or decreased importance of an entry point depends on the project at hand. If the project is looking at the empowerment of women from coastal communities here clearly the Gender perspective will take on an important role in the entire project as will the role of institutions and social risks.

Entry Points

- Social diversity and gender
- Institutions, rules and behaviour
- Stakeholders
- Participation
- Social risks

Social Diversity

In society we play certain roles that we are identified by in society **(Ascribed:** Gender, age, ethnicity, language, race and religion**)** and there are some we create, attain **(Achieved)** along the journey of life and some are a mix of both as we are constantly moving through these categories in actual reality.

Checklist of Diversity Categories

(Source: www.worldbank.org/socialanalysissourcebook)

Ascribed	**Mixed**	**Achieved**
Age Caste Ethnicity or Race Gender Sexual Orientation	Language Native/Immigrant Religion Spatial & Geographic Location Disability	CitizenMigrant Education Ideology Land-Ownership Occupation/Livelihood PoliticalAffiliation Unionization Urban/Rural

What makes social diversity complex-and important in social analysis-is that all these forms of identity can be reinforced or weakened by other elements in society, such as institutions or technology.

Institutions, Rules and Behaviour

This entry point highlights the relationship between what is formal and Informal in the society. Institutions are considered to have **Codes** e.g. Samurai of Japan, '*Gurukuls*' of Ancient India etc. These are passed down through the ages and are informal but in many ways govern the way people live. On the other hand, an organization has **Rules**, which are standardized and formal, with defined roles, structures and dimensions. Institutions can be considered as a form of Social Capital and Social Analysis attempts to understand the Vertical Social Capital i.e. Power of one individual over another.

Stakeholders
A stakeholder is not a passive participant in the process. Here we include people who affect (influence) the project and those who are affected (interested in) by the project.

Participation
Participation here means at every stage; planning, implementation and outcomes of the project.

Social Risks
These are possible risks that might be the outcome of the project. They are shown as five types in the figure below.

Types of Risks

Vulnerability	Increase in exposure to stress or shocks
Country risks	Conflict and violence, political instability, ethnic and religious tension
Political economy risks	Capture of benefits, opposition or distortion of project by influential stakeholders
Institutional risks	Poor governance, limited technical and administrative capacity, design complexity
Exogenous risks	Terms of trade, regional conflict, climate effects

1. Social Assessment (SA) or Social Impact Assessment (SIA)

SA is the systematic investigation of the social processes and factors that affect development impacts and results.

Social impact assessment includes the processes of analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment.[19]

The SIA concept had initially started out in the 1970's in the US to measure the impact of large infrastructure projects on the society before they were actually implemented. This concept has over time is also being used to measure the impacts of large developmental projects on people e.g. construction of dams.

The SIA or SA usually accompanies the Environmental Impact Assessment but has still not been formalized unlike the EIA which in many cases become a norm or legally binding.

Objectives of SA are:

(a) Identify key stakeholders and establish the appropriate framework for their participation

(b) Ensure that project objectives and incentives for change are appropriate and acceptable to beneficiaries

(c) Assess social impacts and risks

(d) Minimize or mitigate adverse impacts

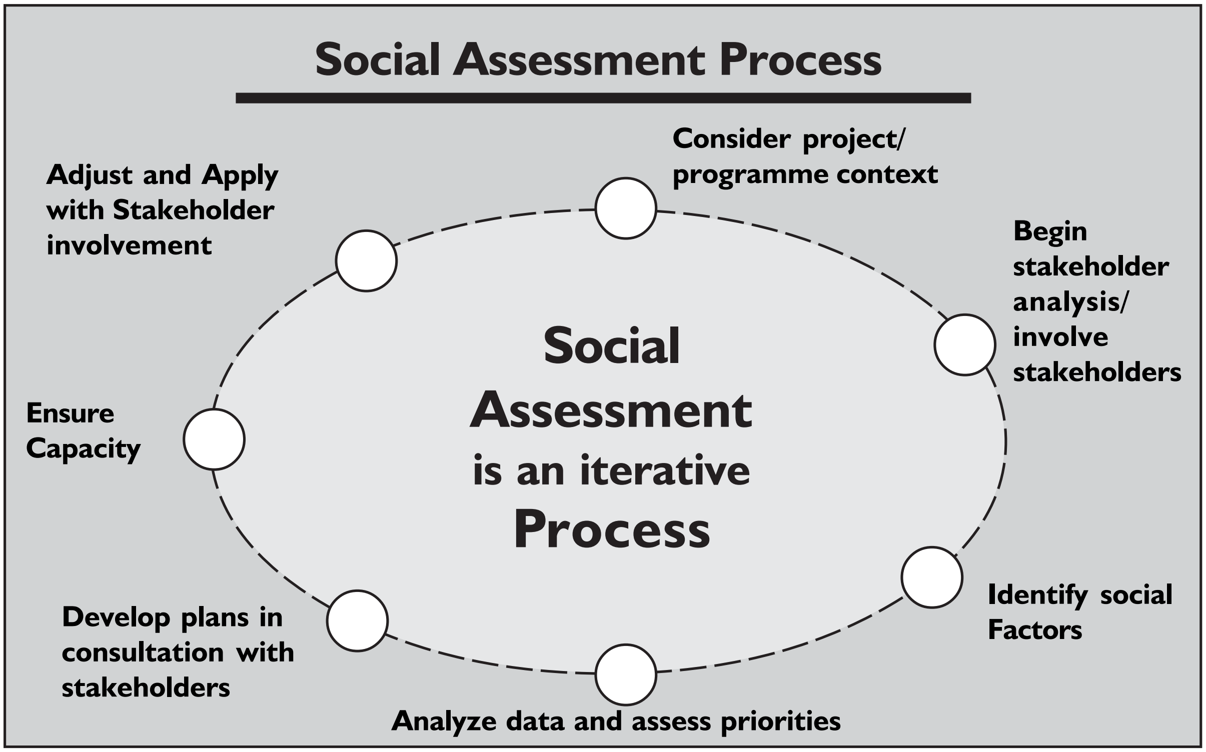
(e) Identify and prioritize social issues

Social assessment is recommended in projects that depend on behavioral change among individuals or within organizations, involve community implementation or beneficiary participation, or are targeted to the needs of the vulnerable and the poor. Social assessment is also useful for bridging "ownership gaps" on the part of the practitioner, by involving formal and informal stakeholders in design and implementation. A social assessment must be done throughout a project so that whatever change needs to be incorporated can be done at that moment within the framework of the project.

Social assessment is advisable for project approval under the following circumstances:

- The project is likely to have adverse social impacts, particularly on the vulnerable and the poor.
- Influential stakeholders contest the project's objectives or design.
- Social development outcomes are at risk.
- A knowledge gap about social development in a project area or sector makes it impossible for the Bank to endorse the project without further examination.

SAs involve consultations with stakeholders and affected groups and other forms of data collection and analysis. Deciding how much work is needed, what information is required, and how it should be obtained depends primarily on the significance or complexity of the issues and the degree of participation that is needed to gain stakeholder ownership of and action on decisions that are made.



Source:www.worldbank.org

***Conduct Stakeholder Analysis*:** The first step in Social Assessment is an analysis of the relevant stakeholder groups, their interests, influence, and power, and how they will be affected by the project.

In some cases stakeholders simply provided information and no further interaction was foreseen, but often projects are improved when issues are jointly assessed and agreed on or beneficiaries are given the responsibility for identifying problems and are empowered to find solutions. Where local participation in project design and implementation is expected, participatory data collection and analysis can help build trust and mutual understanding early in the project cycle.

The range of stakeholders could include those negatively or positively affected by the outcome or those who can affect the outcome of a proposed intervention, including the following:

- *Government*s: local, state and national level
- *Directly affected groups*: These include individuals, families, communities, or organizations that are project or policy beneficiaries. At-risk groups, such as the poor, landless, women, children, indigenous people, and minority groups, require particular attention.
- *Indirectly affected groups*: These include others with vested interests, including donors, nongovernmental organizations (NGOs), religious and community organizations, and private sector firms.

Identify social factors**:** Defining operationally relevant social issues that may affect project delivery and outcomes is generally done by listening to affected groups, experts, and government officials who have knowledge of the larger socio-cultural, political, and economic context that can affect project design and implementation.

For example, where social factors are complex and social impacts or risks are significant, formal studies generally need to be carried out by consultants as part of project preparation. This does not mean that all problems can be solved in the project preparation process. Where there is considerable uncertainty due to lack of awareness, commitment, or capacity, social assessments can contribute to the design of projects that build on experience and respond to change.

Social assessments may be carried out by a single social scientist who contacts key stakeholders and identifies and resolves issues or, where issues are more complex or more systematic participation is needed, by a consultant team that carries out social assessment as part of project preparation. SA can take place during all phases of the project cycle, but well planned integration of social factors in operational work begins at identification.

Gather data**:** The gathering of information should focus only on issues of operational relevance, and should be undertaken with as much local participation as possible. Where there is little or no local experience with social research and analysis, resources should be allocated for intensive training and supervision. Social Assessment teams should be prepared to work in local languages, and data collection methods should be appropriate for the kinds of issues to be addressed.

Analyze data and assess priorities**:** Data analysis should focus on answering operational questions and generating action-oriented recommendations.

Develop plans in consultation with stakeholders**:** Findings should be discussed with affected people to ensure that conclusions and recommendations are appropriate. A common flaw in designing Social Assessments is to allot too little time to the analysis of findings and the facilitation of stakeholder discussions on the results and their implications. One means of providing operationally relevant material is to produce an action plan, which specifies:

- What social measures and institutional arrangements are to be incorporated in the project;
- How they will be carried out and monitored;
- How changes that occur as the project is implemented will be addressed; and
- How key stakeholder groups will be involved throughout the project.

The action plan, informed by the data and analysis in the Social Assessment, should be incorporated into the overall project.

2. Gender Analysis (GA)

Unlike sex, which is a biological concept, gender is a social construct specifying the socially and culturally prescribed roles that men and women are to follow. According to Gerda Lerner in *The Creation of Patriarchy*, “gender is the “costume, a mask, a straitjacket in which men and women dance their unequal dance”[20]

GA focuses on understanding and documenting the differences in gender roles, activities, needs, and opportunities in a given context. GA involves the disaggregation of quantitative data by gender. It highlights the different roles and learned behavior of men and women based on gender attributes, which vary across culture, class, ethnicity, income, education, and time; thus, GA does not treat women as a homogenous group nor gender attributes as immutable.

Applied to development interventions, gender analysis helps:

(a) Identify gender based differences in access to resources to predict how different members of households, groups, and societies will participate in and be affected by planned development interventions,

(b) Permit planners to achieve the goals of effectiveness, efficiency, equity, and empowerment through designing policy reform and supportive program strategies, and

(c) Develop training packages to sensitize development staff on gender issues and training strategies for beneficiaries.

It aims to uncover the dynamics of gender differences across a variety of issues. These include gender issues with respect to **social relations** (how ‘male’ and ‘female’ are defined in the given context; their normative roles, duties, responsibilities); **activities** (gender division of labour in productive and reproductive work within the household and the community; reproductive, productive, community managing and community politics roles); **access and control** over resources, services, institutions of decision-making and networks of power and authority; and **needs**, the distinct needs of men and women, both practical (i.e. given current roles, without challenging society) and strategic (i.e. needs which, if met, would change their position in society www.livelihoods.org)

GA can be used to formulate national legislation and policy, to plan and monitor specific interventions & monitor the differential impact of policy, project & budget, to raise awareness of gender issues, to inform policy makers and to provide material for gender training.

There are 8 steps in Gender Analysis

1. Identifying, Defining and Redefining the Issue
2. Defining Desired/ Anticipated Outcomes
3. Defining the information and Consultation Inputs
4. Conducting Research
5. Developing and Analyzing Options
6. Making Recommendations/ Decision-Seeking
7. Communicating Policy
8. Assessing the Quality of Analysis

For example; in the planning of livelihoods interventions, information from a gender analysis will be useful in order to understand the following:

Needs: to identify different needs of men and women that will help them to achieve more sustainable livelihood strategies.

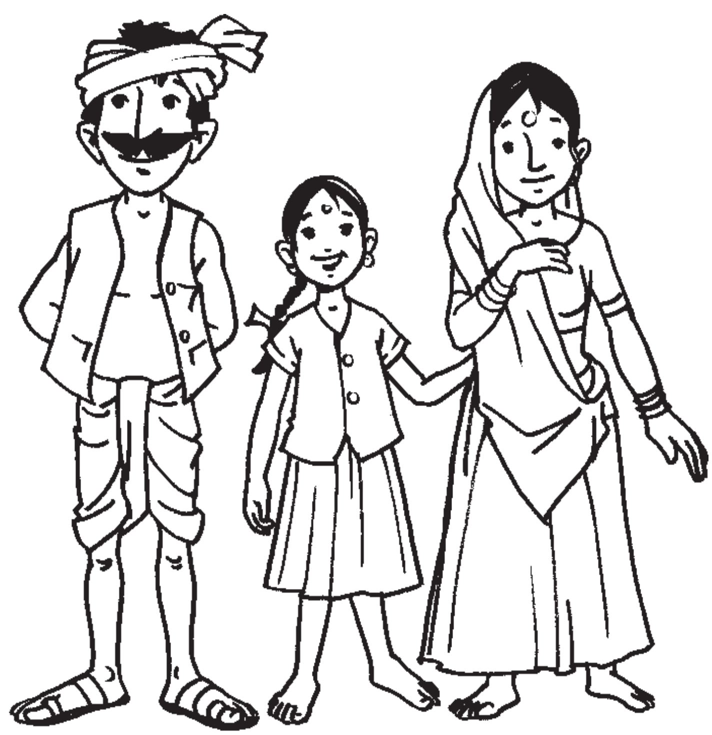
Constraints to participation: to highlight the different responsibilities of men and women that might constrain their participation in a livelihoods project.

Ability to participate: to understand different stakeholders' capacity to participate in any given intervention, e.g. given differential levels of education or autonomy.

Different benefits from participation: to determine the different ways in which men and women do, or do not benefit from particular livelihoods interventions.

Gender analysis frameworks

Several frameworks have been developed but here in order to exemplify what exactly a GA framework looks like we have used a framework developed by DFID Infrastructure department. It is illustrated below in the table. Designed to guide gender analysis at the primary stakeholder/community level, it emphasizes the need for adaptation according to the particular situation and sector.



Gender Analysis Framework

Category of enquiry	Issues to consider
Roles and responsibilities • What do men and women do? • Where (location/patterns of mobility) • When (daily and seasonal patterns)?	• *Productive roles* (paid work, self-employment, and subsistence production) • *Reproductive roles* (domestic work, child care and care of the sick and elderly) • *Community participation/self-help* (voluntary work for the benefit of the community as a whole) • *Community politics* (decision-making/ representation on behalf of the community as a whole)
Assets • What livelihood assets/ opportunities do men and women have access to? • What constraints do they face?	• *Human assets* (e.g. health services, education) • *Natural assets* (e.g. land, labour) • *Social assets* (e.g. social networks) • *Physical assets* (e.g. IMTs, ICTs) • *Financial assets* (e.g. capital/income, credit)
Power and decision-making • What decision-making do men and/or women participate in? • What decision-making do men and/or women usually control • What constraints do they face?	• *Household level* (e.g. decisions over household expenditure) • *Community level* (e.g. decisions on the management of community water supplies)
Needs, priorities and perspectives • What are women's and men's needs and priorities? • What perspectives do they have on appropriate and sustainable ways of addressing their needs?	***Needs and priorities*** • *"Practical" gender needs* (i.e. in the context of the existing gender roles and resources e.g. more convenient water point to save women time and energy) • *"Strategic" gender needs* (i.e. requiring changes to existing gender roles and resources to create greater equality of opportunity and benefit e.g. increasing women's access to employment on roads) ***Perspectives*** • *Perspectives on delivery systems* – choice of technology, location, cost of services, systems of operation, management and maintenance

Source: http://www.genie.ids.ac.uk/gem/index_sectors/infrastructure/in_tools1.htm

Acronyms

AIDS	Acquired Immune Deficiency Syndrome
BA	Beneficiary Assessment
CEE	Centre for Environment Education
DFID	Department for International Development
FSR	Farming Systems Research
GA	Gender Analysis
HIV	Human Immunodeficiency Virus
ICT	Information Communication and Technology
IMT	Intermediate Means of Transport
MARP	Méthod Active de Recherché et de Planification Participative
PALM	Participatory Learning Method
PAR	Participatory Action Research
PLA	Participatory Learning and Action
PPA	Participatory Poverty Assessment
PRA	Participatory Rural Appraisal
RRA	Rapid Rural Appraisal
SA	Social Assessment
SARAR	Self Esteem, Associative strength, Resourcefulness, Action Planning and Responsibility
SAYEN	South Asia Youth Environment Network
SDC	Swiss Agency for Development and Cooperation
SIA	Social Impact Assessment
ZOPP	Zielorientierte Projektplanung (Objective Oriented Project Planning)

Glossary

Bias: It is each person's unique predisposition of how to see the world. [21]

Community Development: It is a broad term applied to the practices and academic disciplines of civic leaders, activists, involved citizens and professionals to improve various aspects of local communities. Community Development seeks to empower individuals and groups of people by providing these groups with the skills they need to effect change in their own communities. These skills are often concentrated around building political power through the formation of large social groups working for a common agenda.[22]

Equitable: It is characterized by equity or fairness; just and right; fair; reasonable: *equitable treatment of all citizens.*[23]

Grameen Bank: The founder Muhammad Yunus pioneered the concept of 'micro-credit'—minuscule loans to the very poor. The bank currently lends more than $500 million a year with a repayment rate of better than 97 percent.

Ideology: It is an organized collection of ideas. The main purpose behind an ideology is to offer change in society through a normative thought process.[24]

Institutional Arrangements: From the earliest human communities, people throughout the world have had to decide who could use what resources, when, where and how. These rules, created by people to manage their resources, are institutional arrangements[25].

Interventions: An influencing force or act that occurs in order to modify a given state of affairs.

Patriarchy: A social system in which the father is the head of the family and men have authority over women and children.[26]

Project Cycle: The project life cycle defines the phases that connect the beginning of a project to its end. It starts with Project Initiation, Planning, Execution and Closure.

Sexual orientation: The direction of one's sexual interest toward members of the same, opposite, or both sexes.

Stakeholders: They are often people who will be impacted by a particular plan/project, have information, experience, or insight that will be helpful in developing it, may be in a position to either support or block progress of the plan/project, have made an investment in it, are final decision makers and need to be kept informed with anything regarding the plan.

Subsistence production: It has the goal of direct satisfaction of basic human needs. This is production that is done to fulfill the needs of an individual or his family e.g. subsistence agriculture.[27]

Sustainable Development: "Development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (**Brundtland Report (1987) 'Our Common Future')**

References

Subject-Specific References

Ethics
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Participation
Empowerment and Poverty Reduction: A Sourcebook. PREM World Bank. 2002.
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PLA
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PRA tools
CONROY, C. (2002) PRA tools used for research into common pool resources, *Socio-economic Methodologies for Natural Resources Research, Best Practice Guidelines*. Chatham, UK: Natural Resources Institute.
http://www.nri.org/publications/bpg/bpg12.pdf
http://www.iges.or.jp/en/pub/eLearning/waterdemo/bhandari_m4.pdf
http://www.worldbank.org/wbi/sourcebook/sba104.htm

Maps
http://www.iisd.org/casl/CASLGuide/RepSpat.htm

Wealth Ranking
http://www1.worldbank.org/prem/poverty/impact/methods/pra2.htm

PAR
http://en.wikipedia.org/wiki/Participatory_Action_Research
http://www2.fhs.usyd.edu.au/arow/arer/004.htm
http://www.scu.edu.au/schools/gcm/ar/ari/p-ywadsworth98.html

SARAR
http://www.unep.ch/etu/publications/EIA_2ed/EIA_E_top13_hd1.PDF
http://www.worldbank.org/wbi/sourcebook/sba100.htm
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SARAR Techniques in detail:
http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY/EXTISPMA/0,,contentMDK:20193715~menuPK:415131~pagePK:148956~piPK:216618~theSitePK:384329,00.html

Rapid Rural Appraisal
http://www.rdiland.org/RESEARCH/Research_RapidRural.html
http://www.fao.org/docrep/W3241E/w3241e09.htm#rra%20definition
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http://www.iisd.org/casl/CASLGuide/RapidRuralAppraisal.htm
http://www.scn.org/cmp/modules/par-tech.htm

Social Analysis
http://www.worldbank.org/socialanalysissourcebook/socialanalysis.htm

Social Assessment
http://www.worldbank.org/socialanalysissourcebook/socialassess3.htm
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http://en.wikipedia.org/wiki/Social_impact_assessment

Gender Analysis
http://www.livelihoods.org/info/tools/pas-GENDER.rtf
www.livelihoods.org
http://www.genie.ids.ac.uk/gem/index_sectors/infrastructure/in_tools1.htm
http://www.swc-cfc.gc.ca/pubs/gbaguide/gbaguide_e.html#1_2

Suggested Sites for additional information

Workshop Based Methods

http://www.worldbank.org/wbi/sourcebook/sba1.htm

AIC
http://www.odii.com/aic-process.html
http://www.worldbank.org/wbi/sourcebook/sba100.htm
http://worldbank.org/wbi/sourcebook/sba101.htm
http://www.odii.com/WES-resume.html

ZOPP
http://worldbank.org/wbi/sourcebook/sba102.htm

EIA
http://www.scn.org/cmp/modules/par-tech.htm

End Notes

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[4] http://www.sil.org/lingualinks/literacy/referencematerials/GlossaryOfLiteracyTerms/WhatIsTheParticipatoryRuralApp.htm

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[7] Borana is a pastoralist community in Southern Ethiopia.

[8] http://www.iisd.org/casl/CASLGuide/RepRel.htm

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[16] http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873467-1111741676294/20502175/sdp10.pdf

[17] Participatory Poverty Assessment is an instrument to include poor people's views in the analysis of poverty, in developing interventions for poverty reduction, in evaluating the effect of projects and policies and in the formulation of strategies to reduce poverty through public policy. The World Bank; The UK Overseas Development Institute; The International Monetary Fund

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[19] http://en.wikipedia.org/wiki/Social_impact_assessment

[20] http://www.trinity.edu/mkearl/gender.html

[21] http://www.conservative-resources.com/definition-of-bias.html

[22] http://en.wikipedia.org/wiki/Community_Development

[23] http://dictionary.reference.com/browse/Equitable

[24] http://en.wikipedia.org/wiki/Ideology

[25] http://www.fao.org/docrep/w7483e/w7483e03.htm

[26] http://www.answers.com/topic/patriarchy

[27] http://www.republicart.net/disc/aeas/mies01_en.htm

Notes

Centre for Environment Education (CEE)

The Centre for Environment Education (CEE) was established in August 1984 as a Centre of Excellence supported by the Ministry of Environment and Forests, Government of India, and affiliated to the Nehru Foundation for Development (NFD). CEE's primary objective is to improve public awareness and understanding of environmental issues with a view to promote the conservation and wise use of nature and natural resources. To this end, CEE not only creates expertise in the field of environmental education, but also develops innovative programmes and educational materials, testing them for validity and effectiveness. These programmes and materials are designed flexibly to permit suitable adaptation for use across the country.

South Asia Youth Environment Network (SAYEN)

South Asia Youth Environment Network (SAYEN – www.sayen.org) was set up in July 2002. Supported by the UNEP Asia and the Pacific, SAYEN is linked to TUNZA, UNEP's strategy for children and youth. CEE hosts the Secretariat of SAYEN, which has membership from all the SAARC countries. One-two organizations in each of the SAARC countries have been identified as the National Focal Points (NFPs) for the network. The number of SAYEN members in each country ranges from 20 to 100 with over 1500 youth organizations, individual, national and international agencies including Government in the region associated with SAYEN. NFPs facilitate SAYEN activities in their respective countries.

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