Appendix I
Methods and Tool s

Development practitioners use a wide variety of different methods, tailored to different tasks and situations, to support participatory development. This Appendix, set up as a reference guide, introduces the reader to ten methods that have been used in different development situations to achieve various objectives. These include: workshop-based and community-based methods for collaborative decisionmaking, methods for stakeholder consultation, and methods for incorporating participation and social analysis into project design.

The methods are first introduced in a matrix; then each is briefly described, including background, a step-by-step description, suggested further readings, and an example. Each method is compared and contrasted with the others and their advantages and disadvantages noted to help Task Managers choose those most useful to them. A glossary of available tools, many of which are components of the methods, follows the summaries. More details on both the methods and the tools can be found in the forthcoming Environment Department Paper *Methods and Tools for Social Assessment and Participation.*

Reading about participatory techniques will familiarize Bank staff and others with terminology and context, but learning from one's colleagues who have experience with these methods and tools is also helpful. Readers can call the Environment Department's Social Policy Division (ENVSP) to obtain an up-to-date list of Bank staff and consultants who are well versed in these methods and tools.

Types of Methods

Workshop-Based Methods

Collaborative decisionmaking often takes place in the context of stakeholder workshops. Sometimes called "action-planning workshops," they are used to bring stakeholders together to design development projects. The purpose of such workshops is to begin and sustain stakeholder collaboration and foster a "learning-by-doing" atmosphere. A trained facilitator guides stakeholders, who have diverse knowledge and interests, through a series of activities to build consensus. Appreciation-Influence-Control (AIC), Objectives-Oriented Project Planning (ZOPP), and TeamUp are three such methods.

Community-Based Methods

In many projects, Task Managers and project staff leave government centers and board rooms to undertake participatory work with local communities. Task Managers work with trained facilitators to draw on local knowledge and begin collaborative decisionmaking. In such settings, local people are the experts, whereas outsiders are facilitators of the techniques and are there to learn. The techniques energize people, tap local knowledge, and lead to clear priorities or action plans. Two such techniques (see Appendix I), participatory rural appraisal and SARAR (an acronym based on five attributes the approach seeks to build: self-esteem, associative strength, resourceful-

ness, action planning, and responsibility) use local materials and visual tools to bridge literacy, status, and cultural gaps.

Methods For Stakeholder Consultation

Beneficiary Assessment (BA) and Systematic Client Consultation (SCC) are techniques that focus on listening and consultation among a range of stakeholder groups. BA has been used throughout World Bank regions, in both projects and participatory poverty assessments (PPAs). SCC, which is used primarily by the Bank's Africa Region, is a set of related techniques intended to obtain client feedback and to make development interventions more responsive to demand. Both methods intend to serve clients better by making donors and service providers aware of client priorities, preferences, and feedback.

Methods for Social Analysis

Social factors and social impacts, including gender issues, should be a central part of all development planning and action, rather than "add-ons" that fit awkwardly with the universe of data to be considered. Social Assessment (SA) and Gender Analysis (GA) are methods that incorporate participation and social analysis into the project design process. These methods are also carried out in country economic and sector work to establish a broad framework for participation and identify priority areas for social analysis. Such methods evolved to meet the need to pay systematic attention to certain issues that traditionally had been overlooked by development planners. The SA methodology, which is described in this Appendix, has been designed specifically to assist Bank staff and reflects Bank procedures.

Using the Methods Well

It would be misleading to claim that any tools or methods are inherently participatory or that they spontaneously encourage ownership and innovation among stakeholders. The participants in development planning and action—the users of these methods and tools—must be the ones who encourage and enable participation. The tools themselves facilitate learning, preparation, and creative application of knowledge. They make it easier for Task Managers and borrowers who are committed to participation to collaborate with a broad range of stakeholders in the selection, design, and implementation of development projects. These same methods, however, can also be implemented in a "top-down" manner, which merely pays lip service to participation. The ultimate responsibility for using these methods well, therefore, rests with the users and facilitators.

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Table A1.1.   Participatory Methods and Tools

Description	Comments

Collaborative Decisionmaking: Workshop-Based Methods

Appreciation-Influence-Control (AIC)

AIC is a workshop-based technique that encourages stakeholders to consider the social, political, and cultural factors along with technical and economic aspects that influence a given project or policy. AIC helps workshop participants identify a common purpose, encourages to recognize the range of stakeholders relevant to that purpose, and creates an enabling forum for stakeholders to pursue that purpose collaboratively. Activities focus on building appreciation through listening, influence through dialogue, and control through action.

Objectives-Oriented Project Planning (ZOPP)

ZOPP is a project planning technique that brings stakeholders to workshops to set priorities and plan for implementation and monitoring. The main output of ZOPP workshops is a project planning matrix. The purpose of ZOPP is to undertake participatory, objectives-oriented planning that spans the life of project or policy work, while building stakeholder team commitment and capacity with a series of workshops.

TeamUp

TeamUp builds on ZOPP but emphasizes team building. TeamUP uses a computer software package (PC/TeamUP) that guides stakeholders through team-oriented research, project design, planning, implementation, and evaluation. It enables teams to undertake participatory, objectives-oriented planning and action, while fostering a "learning-by-doing" atmosphere.

Strengths
- Encourages "social learning"
- Promotes ownership
- Produces a visual matrix of project plan
- Stakeholders establish rules of the game
- Stakeholders establish working relationships

Avoiding Potential Pitfalls
- Completed matrices should not be considered unchangeable.
- Workshops should be part of a plan that involves all stakeholders.
- Not all stakeholders are comfortable in workshop settings.
- Measures should be taken to give voice to less experienced public speakers.
- Choice of workshop location should be accessible to local stakeholders.

Collaborative Decisionmaking: Community-Based Methods

Participatory Rural Appraisal (PRA)

PRA is a label given to a growing family of participatory approaches and methods that emphasize local knowledge and enable local people to do their own appraisal, analysis, and planning. PRA uses group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. Although originally developed for use in rural areas, PRA has been employed successfully in a variety of settings. The use of PRA enables development practitioners, government officials, and local people to work together on context-appropriate programs.

SARAR

This participatory approach, 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. The five attributes promoted by SARAR are: self-esteem, associative strengths, resourcefulness, action planning, and responsibility. SARAR's purpose is to (a) provide a multisectoral, multilevel approach to team building through training, (b) encourage participants to learn from local experience rather than from external experts, and (c) empower people at the community and agency levels to initiate action.

Strengths
- Based on interactive, often visual tools that enable participation regardless of literacy level
- Demystifies research and planning processes by drawing on everyday experience
- Participants feel empowered by their participation and the sense that their contributions are valued.

Avoiding Potential Pitfalls
- PRA or training alone does not provide local communities with decisionmaking authority or input into project management. These features must be built into the project.
- These techniques generate positive energy, which will quickly subside if it is not channeled into actual tasks and programs.
- Trained facilitators are necessary to guide and synthesize these exercises.

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Table A1.1. (continued)

Description	Comments

Methods for Stakeholder Consultation

Beneficiary Assessment (BA)

BA is a systematic investigation of the perceptions of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into project and policy formulation. BA's general purposes are to (a) undertake systematic listening to "give voice" to poor and other hard-to-reach beneficiaries, thereby highlighting constraints to beneficiary participation and (b) obtain feedback on development interventions.

Systematic Client Consultation (SCC)

SCC refers to a group of methods used to improve communication among Bank staff, direct and indirect beneficiaries and stakeholders of Bank-financed projects, government agencies, and service providers so projects and policies are more demand-driven. SCC intends to (a) undertake systematic listening to clients' attitudes and preferences, (b) devise a process for continuous communication, and (c) act on the findings by incorporating client feedback into project design and procedures.

Strengths
- Systematic listening and consultation requires lengthier, repeated, and more meaningful interactions among stakeholders.
- BA and SCC are field-based, requiring project or program managers or their representatives to travel to communities and to become more aware of the realities of the field.

Avoiding Potential Pitfalls
- Listening and consultation alone do not lead to increased capacity or facilitation of client participation in decisionmaking or action.
- The effectiveness of these techniques often rests with the ability of the managers and their representatives to "translate" client needs and demands into operationally meaningful terms and activities.

Methods for Social Analysis

Social Assessment (SA)

SA is the systematic investigation of the social processes and factors that affect development impacts and results. Objectives of SA are to (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, and (d) minimize or mitigate adverse impacts.

Gender Analysis (GA)

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.

Strengths
- These methods provide a process for building information into plans and plans into action.
- Systematic social analysis identifies what communities think they need and sets up ways to communicate this back to implementing agencies.
- Flexible framework of GA and SA allows design to be consistent with project or policy components and goals.

Avoiding Potential Pitfalls
- Data collection and analysis must be focused on priority issues, rather than being general data collection exercises that are not necessarily tied to project or policy concerns.
- Involving experienced local consultants from a variety of disciplines builds in-country capacity for actionable social analysis.

Appreciation-Influence-Control

Collaborative Decisionmaking: Workshop-Based Method

"Appreciation-Influence-Control" (AIC) is both a philosophy and a model for action. The philosophy, anchored by the principle that power relationships are central to the process of organizing, was translated into a model for organizing development work by William E. Smith in the late 1970s and early 1980s. AIC is a workshop-based technique that encourages stakeholders to consider social, political, and cultural factors along with technical and economic aspects that influence a given project or policy. AIC (a) *helps workshop participants identify a common purpose,* (b) *encourages participants to recognize the range of stakeholders relevant to that purpose, and* (c) *creates an enabling forum for stakeholders to pursue that purpose collaboratively. Activities focus on building appreciation through listening, influence through dialogue, and control through action.*

AIC is a process that recognizes the centrality of power relationships in development projects and policies. Conferences that are part of the AIC process encourage stakeholders to consider social, political, and cultural factors in addition to technical and economic factors that influence the project or policy with which they are concerned. In other words, AIC facilitates recognition of "the big picture." This process has been implemented in a variety of sectors and settings, including local, regional, and national.

The AIC Process

In the development context, AIC proceeds along the following course: identifying the purpose to be served by a particular plan or intervention, recognizing the range of stakeholders whose needs are addressed by that purpose, and, through the AIC process, facilitating creation of a forum that empowers stakeholders to pursue that purpose collaboratively.

Through the AIC process of meetings, workshops, and activities (collectively referred to as the "conference" in AIC terms), stakeholders are encouraged to do the following:

- *Appreciate through listening.* Appreciate the realities and possibilities of the situation by taking a step back to gain perspective on the stakeholders and situation.
- *Influence through dialogue.* Explore the logical and strategic options for action as well as the subjective feelings and values that influence selection of strategies.
- *Control through action.* Enable the stakeholders to take responsibility for choosing a course of action freely, based on information brought to light in workshops, meetings, and activities.

AIC Philosophy in Practice

AIC was designed to break the patterns of "top-down" planning by stressing the following:

- *The value of small, heterogeneous groups.* Initially, when stakeholders are meeting, perhaps for the first time, heterogeneous, small groups allow for interaction and learning among people who tend not to interact in daily life. The objectives of these small groups is to interrupt the normal mood, thus opening participants to new ideas and different perspectives.
- *The value of homogenous groups.* Later on, when a strategy is generated for realizing the vision created during the appreciation phase, the power of homogenous groups of stakeholders, who share a common language, is harnessed for action. The objective of these groups is to consolidate the expertise of like stakeholders, each of whom has recently learned the perspectives of the other stakeholders at the conference.
- *The value of symbols.* Language and literacy differences can be a stumbling block, particularly at the beginning of a conference when participants are becoming familiar with each other's objectives. Participants often begin by creating nonverbal representations of their experience and understanding—drawings and pictures—to ease communication and to elicit creative thinking.
- *The value of the written word.* Agreements reached during sessions are promptly written up after the first workshop to clarify and create a common understanding of the elements of the plan. Seeing the groups' progress in writing helps participants to understand their individual responsibilities in context and to move forward on their commitments.
- *The importance of a strong facilitator.* The type of listening encouraged by AIC can be stressful for people who are used to taking immediate, decisive action. Similarly, certain stakeholders might not be accustomed to voicing their opinions. A skilled facilitator is trained in navigating around tough spots, guiding the entire group through new experiences, and stimulating open discussions and negotiation. The facilitator is a critical catalyst for setting the AIC conference in motion and for steering participants toward a conference closure that leads to action.

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Box A1.1. AIC Conference in Colombia Leads to Commitments and Action in the Energy Sector

Key stakeholders gathered for a three-day AIC conference in Santa Marta, Colombia. The AIC consultant, the Task Manager, and a third facilitator joined ministers, heads of utilities and their suppliers, mayors, congresspeople, opposition party members, interest groups, and others to design a plan to resuscitate the energy sector and to make commitments to carry out the plan. During the first day and a half of the conference, the "appreciative" phase, participants shared information, examined realities of the energy sector, and created group rapport that carried them through the conference. The AIC process encouraged participants to envision clear outcomes, make recommendations, and make commitments that would transform their conference plan into actions. Among the outcomes of the conference were:

- Collaboration between the task force and ministry to implement commitments
- Creation of an interim coordinating body and passage of legislation to support it
- Integration of the electricity and energy sectors
- Further Bank, Inter-American Development Bank, and Japanese Export-Import Bank support for an effort in which Colombian counterparts had shown their initiative to propose and commitment to meet various conditions.

The cost of this three-day AIC conference of approximately $30,000 was paid for in large part by the Colombians ($25,000). The Bank contributed the remaining $5,000.

Objectives-Oriented Project Planning (ZOPP) Collaborative

Decisionmaking: Workshop-Based Method

ZOPP, from the German term "Zielorientierte Projektplanung," translates in English to "Objectives-Oriented Project Planning." ZOPP is a project planning and management method that encourages participatory planning and analysis throughout the project cycle with a series of stakeholder workshops. The technique requires stakeholders to come together in a series of workshops to set priorities and plan for implementation and monitoring. The main output of a ZOPP session is a project planning matrix, which stakeholders build together. The purpose of ZOPP is to undertake participatory, objectives-oriented planning that spans the life of project or policy work to build stakeholder team commitment and capacity with a series of workshops.

ZOPP is a process that relies heavily on two particular techniques—matrix building and stakeholder workshops—to encourage participatory planning and management of development work. ZOPP helps a project team create a project planning matrix (PPM), similar to a Logical Framework or LogFRAME, to provide in-depth analysis of project objectives, outputs, and activities. The PPM results from stakeholder workshops that are scheduled through the life of a project to encourage brainstorming, strategizing, information gathering, and consensus building among stakeholders.

The PPM: Process and Product

The PPM is central to ZOPP-based project work because the process of building it relies on repeated, collaborative stakeholder input. In the stakeholder workshops in which the matrix is developed systematic attention is paid to five important issues:

- *Participation analysis.* Taking stock of the range of stakeholder identities, interests, biases, expectations, and concerns.
- *Problems.* Often made visually clear through a "problem tree," through which key problems the project is meant to address are identified, grouped, and prioritized and their causes and effects brought to light.
- *Objectives.* In a corresponding objectives tree, the desired solutions are articulated, clustered and prioritized.

- *Alternatives.* A project strategy is created by understanding the range of means for meeting objectives.
- *Assumptions.* These conditions are necessary for successful transformation of problems into secured objectives. Assumptions are systematically examined and arranged in the PPM.

Participants first review the variety of means available to achieve the project objective. The project planning matrix shows activities and results as well as the conditions necessary for achieving both. These conditions are important assumptions on which rest decisions about activities, location, timing, procurement, and so on. The information is organized along two axes that show *(a)* why the project is being undertaken and *(b)* what the project outputs are that signal success. The PPM thus systematically answers the following questions:

- Why does the project aim for this overall goal?
- What is the project purpose?
- What results/outputs will the project achieve?
- How will the project achieve these results/outputs?
- What external factors (assumptions) are important?
- How can achievement of the objectives be measured?
- Where are the means/sources of necessary data?
- What will the project cost?

Iterative Workshops

ZOPP is not a one-shot exercise; the designers of the planning method envisioned strategic planning "phases," each of which requires a workshop that focuses on a fixed goal. In the workshops, participants analyze key issues throughout the project cycle. No set formula exists for a successful stakeholder workshop. In fact, each one is truly unique because it brings together a blend of people who have never before worked as a group and who need to create a common language to understand one another's widely divergent concerns. As described by its creators at GTZ, five distinct ZOPP phases, which run alongside the project cycle, can lead to a sound strategic project plan.

In the traditional conception of ZOPP, the first three of the five phases take place during project planning. The theory here is that extensive, earnest efforts to plan collaboratively prior to implementation increase the likelihood of smooth implementation and the degree of stakeholder ownership and readiness to work toward sustainability.

Collaboration is not "automatically" part of the ZOPP process. The project team, borrower, and stakeholders must commit to adopting a participatory stance for the

overall project; otherwise, the ZOPP process is merely an organizing tool. During each planning phase of the ZOPP process, participants reinforce their commitment to include the diverse expertise and concerns of a variety of stakeholders.

Applications in Bank Work

Objectives-oriented planning assumes that joint analysis and planning is necessary throughout the project cycle. If instituted early in the life of a project, ZOPP can provide a ready forum for extensive participation of diverse stakeholders. ZOPP is also a helpful approach to jump starting stalled project initiatives.

For a variety of reasons, promising projects have been known to falter unexpectedly in midstream. In these cases, ZOPP can be a powerful tool for reorganizing if stake-holders' resolve to "save" the project is grounded in a broader commitment to collaboration.

In its initial form, ZOPP was created to be closely tied to the project cycle; hence, it has mostly been used in a variety of sector and country settings for project work. The two main component tools of ZOPP—the stakeholder workshop and the PPM—can also be used for the participatory planning of policy and economic sector work.

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Box A1.2. Creating a Forum for Stakeholder Communication and Innovation

The Task Manager for an Industrial Efficiency and Pollution Control project for the Philippines took the initiative to create communication linkages among government, the Bank, industry, and nongovernmental organizations (NGOs) to establish a common Bank-borrower team approach to the project preparation process.

Through the local counterpart agency, the Task Manager organized a series of stakeholder meetings to further refine problem formulations and define the objectives for a project that had yet to be identified.

A ZOPP-based approach was used to bring together stakeholders who initially felt that their conflicting priorities would prevent them from reaching consensus on project objectives.

Not only did stakeholders achieve consensus on objectives and prioritization, but the communication linkages begun in the two-day workshop began a dialogue on systematically focusing on community-level demands to encourage participation and ownership at the local level.

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TeamUP

Collaborative Decisionmaking: Workshop-Based Method

TeamUP is a flexible, team-based method for improving both the substance and process of project cycle management. It was developed to expand the benefits of ZOPP and to make it more accessible for institutionwide use. PC/TeamUP, a software package, automates the basic step-by-step methodology and guides stakeholders through team-oriented research, project design, planning, implementation, and evaluation.

The TeamUP method is an organized process for building high performance teams. It has two dimensions, *(a)* task functions, which assist stakeholders in planning, decisionmaking, and acting and *(b)* team building, which encourages stakeholders to collaborate as an effective work group.

The TeamUP method is a series of steps or modules designed to enable a group of individuals to perform essential management functions collaboratively. Typically, the team meets for a two-and-a-half- or five-day workshop. Software (PC/TeamUP) is available to facilitate the process. The software accommodates input from a broad range of stakeholders who stand to benefit or otherwise be affected by design or implementation decisions and adjusts as the range of stakeholders changes through the planning and implementation process.

TeamUP and ZOPP

TeamUP—developed in the late 1980s by the World Bank's Economic Development Institute and Team Technologies, Inc.—uses the basic ZOPP method and then expands it. TeamUP assumes that the past and future are two different sources on which to draw when designing and implementing project-related events. ZOPP, mainly concerned with anticipating and avoiding problem situations, looks to the past to understand the present. TeamUP, concerned with both problems and opportunities, looks to the past and the future to understand the possibilities that offer themselves to the present.

Furthermore, TeamUP adds depth to basic problem identification and design features by encouraging teams to anticipate implementation arrangements and inform the quality of their designs with these realities.

Twelve Basic Steps

TeamUP's twelve core steps are arranged so that earlier steps help a team build identity and later steps help them take action.

- *Opening round.* In the opening round, stakeholders discuss their expectations for the team during the TeamUP workshop and beyond. What does each stakeholder hope to accomplish in the workshop?
- *Clarify representation.* Stakeholders define the interests each represents and set out roles that each will play. Who will act as the team manager? Who will be responsible for what?
- *Set norms.* "Rules of the game" are set out so that all team members have common expectations of how they can most effectively work together. How will consensus be measured? What will the protocol be during discussions? How will conflicts be resolved?
- *Identify client.* In this first action-oriented module, stakeholders establish who will benefit most if the objectives of the project are achieved. What is the total range of potential beneficiaries and negatively impacted groups?
- *Review history.* This is a team-building and action-oriented exercise to ensure that everyone at the meeting has equal footing. Is this a brand new project with no prior history? Are there applicable lessons from elsewhere? Have some team members worked together before?
- *Define mission.* What is the team's mission in the workshop? To prepare a project or a program? To develop a strategy for wider client participation? Furthermore, what is the mission of the project or program itself?
- *Define deliverables and assumptions.* In this module, the LogFRAME (see the glossary of tools at the end of this Appendix) is used to map out end products and necessary conditions in relationship to overall impact. What changes in behavior and environment will the project outcome inspire? Who will change and how? What are the assumptions on which these outcomes rest? Are these assumptions biased in any way? What if these assumptions do not prove to be true?
- *Clarify work plan.* Through the LogFRAME, team members define steps to move the project from idea to action. How will the intended deliverables become reality? In what order and with whose help? What tools and further plans are needed, and whose support is critical?
- *Define roles and responsibilities.* This module is designed to prepare the team to take action beyond the workshop by firming up how the work is broken down. Who will manage what aspects of fulfilling the objectives? Tools used in this module encourage people to identify specific tasks and take responsibility for following through with those tasks.

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- *Define learning system.* The team establishes a process to review what they have done and how the team has worked together. What have they learned from this experience? How will they carry what they have learned into the future of this project or program?
- *Establish budget.* Using performance budget planning tools, the team reviews the work plan and systematically attaches cost to each activity in the plan. Will this project or plan be feasible? Where should the team turn to secure financing? What are the possible sources of funding? Do budget estimates meet operational requirements? What further information is needed?
- *Implement and improve.* The conviction and wisdom of the team's plan is put to a series of tests. For example, the workshop facilitator will take on the role of devil's advocate to introduce obstacles that the plan might face. What if certain assumptions turn out to be untrue? What if certain unforeseen events take place? Are contingency plans possible? Finally, a plan for future team workshops is set out.

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Box A1.3. Uganda, Private Sector Development Workshop

The World Bank provided assistance to the Uganda Manufacturers' Association and the Ministry of Finance and Economic Planning to organize a workshop, whose purpose was to (a) review survey results on 105 businesses and 265 private investors, (b) introduce a private sector development strategy to a broad constituency of private sector, government, and donor participants, (c) achieve agreement on fundamental elements, and (d) identify a private sector task force to begin preparation of a possible International Development Association-funded operation in this area.

The workshop design, based on the TeamUP approach, used public involvement methods for involving large numbers of stakeholders in building agreements about policy, strategy, and execution. The method integrated more than seventy participants in a series of small group discussions designed to identify issues, surface and resolve conflicts, and build understanding and initial agreement about a proposed project design. Summary responses from participants indicated they believed the workshop demonstrated the government's and Bank's commitment to a collaborative, demand-driven process.

Participatory Rural Appraisal

Collaborative Decisionmaking: Community-Based Method

Participatory rural appraisal (PRA) is a label given to a growing family of participatory approaches and methods that emphasize local knowledge and enable local people to make their own appraisal, analysis, and plans. PRA uses group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. Although originally developed for use in rural areas, PRA has been employed successfully in a variety of settings. The purpose of PRA is to enable development practitioners, government officials, and local people to work together to plan context-appropriate programs.

Participatory rural appraisal evolved from rapid rural appraisal—a set of informal techniques used by development practitioners in rural areas to collect and analyze data. Rapid rural appraisal developed in the 1970s and 1980s in response to the perceived problems of outsiders missing or miscommunicating with local people in the context of development work. In PRA, data collection and analysis are undertaken by local people, with outsiders facilitating rather than controlling. PRA is an approach for shared learning between local people and outsiders, but the term is somewhat misleading. PRA techniques are equally applicable in urban settings and are not limited to assessment only. The same approach can be employed at every stage of the project cycle and in country economic and sector work.

Key Tenets of PRA

- *Participation.* 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.
- *Teamwork.* To the extent that the validity of PRA data relies on informal interaction and brainstorming among those involved, it is best done by a team that includes local people with perspective and knowledge of the area's conditions, traditions, and social structure and either nationals or expatriates with a complementary mix of disciplinary backgrounds and experience. A well-balanced team will represent the diversity of socioeconomic, cultural, gender, and generational perspectives.
- *Flexibility.* PRA does not provide blueprints for its practitioners. 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.
- *Optimal ignorance.* 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.
- *Triangulation.* 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 or techniques must be used to investigate the same topics.

PRA Tools

PRA is an exercise in communication and transfer of knowledge. Regardless of whether it is carried out as part of project identification or appraisal or as part of country economic and sector work, the learning-by-doing and teamwork spirit of PRA requires transparent procedures. For that reason, a series of open meetings (an initial open meeting, final meeting, and follow-up meeting) generally frame the sequence of PRA activities. Other tools common in PRA are:

- Semistructured interviewing
- Focus group discussions
- Preference ranking
- Mapping and modeling
- Seasonal and historical diagramming.

Organizing PRA

A typical PRA activity involves a team of people working for two to three weeks on workshop discussions, analyses, and fieldwork. Several organizational aspects should be considered:

- Logistical arrangements should consider 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.
- Training of team members may be required, particularly if the PRA has the second objective of training in addition to data collection.
- PRA results are influenced by the length of time allowed to conduct the exercise, scheduling and assignment of report writing, and critical analysis of all data, conclusions, and recommendations.

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- A PRA covering relatively few topics in a small area (perhaps two to four communities) should take between ten days and four weeks, but a PRA with a wider scope over a larger area can take several months. Allow five days for an introductory workshop if training is involved.

- Reports are best written immediately after the fieldwork period, based on notes from PRA team members. A preliminary report should be available within a week or so of the fieldwork, and the final report should be made available to all participants and the local institutions that were involved.

Sequence of Techniques

PRA techniques can be combined in a number of different ways, depending on the topic under investigation. Some general rules of thumb, however, are useful. Mapping and modeling are good techniques to start with because they involve several people, stimulate much discussion and enthusiasm, provide the PRA team with an overview of the area, and deal with noncontroversial information. Maps and models may lead to transect walks, perhaps accompanied by some of the people who have constructed the map. Wealth ranking is best done later in a PRA, once a degree of rap-

port has been established, given the relative sensitivity of this information.

The current situation can be shown using maps and models, but subsequent seasonal and historical diagramming exercises can reveal changes and trends, throughout a single year or over several years. Preference ranking is a good icebreaker at the beginning of a group interview and helps focus the discussion. Later, individual interviews can follow up on the different preferences among the group members and the reasons for these differences.

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Box A1.4. Natural Resource Management in Burkina Faso

Prior to appraisal of this environmental management project, twenty pilot operations tested the PRA approach to determine which techniques suited the project's resources, topic, and location. Best practices were distilled without blueprint designs.

The result is a project based on a multitiered process in which communities design management plans with the help of multidisciplinary teams of technicians. This approach starts with awareness raising and trust building and proceeds to collaborative diagnosis, community organization, and plan design. Local government agreement, implementation, and participatory monitoring and evaluation follow.

Central and regional governments have come on board with this approach, endorsing administrative decentralization and reorganization and working for revisions of ambiguous land tenure laws. Both of these steps encourage local solutions to local problems and work for empowering people to manage natural resources in a sustainable way.

Source: The World Bank, Agriculture Technology and Services Division (AGRTN). October 1994. Agriculture Technology Notes. No. 6. Washington, D.C

SARAR

Collaborative Decisionmaking: Community-Based Method

SARAR is a participatory approach to training that builds on local knowledge and strengthens local ability to assess, prioritize, plan, create, organize, and evaluate. SARAR's purpose is to (a) *provide a multisectoral, multilevel approach to team building through training,* (b) *encourage participants to learn from local experience rather than from external experts, and* (c) *empower people at the community and agency levels to initiate action. SARAR is a philosophy and practical approach to adult education that seeks to optimize people's ability to assess, prioritize, plan, self-organize, take initiatives, and shoulder management responsibilities. The acronym SARAR stands for five attributes or abilities that are critically important for achieving full and committed participation in development: self-esteem, associative strength, resourcefulness, action planning and responsibility for follow-through. SARAR is a highly experiential methodology that deliberately differs in style from conventional "top-down" methods. Its central strategy is group process; it begins with creating a relaxed and congenial atmosphere in which hierarchical differences are set aside.*

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.

SARAR's approach to group process combines generation of data with strengthening of group abilities to assess needs, identify priorities, establish goals, and design action plans to be implemented and monitored.

Generation of Data

The nuts and bolts of SARAR are a series of carefully developed, flexible activities. The activities are designed to draw out participants' own life experiences and bring to light local perspectives, feelings, values, and socially sensitive data. This data can be extremely valuable to project managers in establishing a partnership relationship with communities; thus, it is qualitatively different from data obtainable through conventional tools such as questionnaires.

The data-generating aspect of SARAR, however, is neither its main aim nor a discreet function to be used for extractive research purposes. The data-generating process is designed to set in motion a process of reflection, self-enhancement of positive values, and motivation to act. Data that grows out of the group activities becomes more meaningful when put at the service of decisions that underlie a plan of action. If activities are treated simply as a battery of data collection instruments to support management decisions, their use out of context can leave people confused, distrustful, and frustrated.

Activities to Strengthen Group Abilities

SARAR activities fall into five categories:

- *Investigative.* Demystifying research by involving participants in data gathering and processing so they "own" the outputs and are committed to using them.
- *Creative.* Promoting fresh viewpoints and imaginative new solutions, liberating expressiveness and openness to change.
- *Analytic.* Engaging the mind in critical assessment of problems, identifying their causes and effects, categorizing and prioritizing them, and arriving at sound choices.
- *Planning.* Expanding the vision of what is possible; developing skills in goal setting and marshaling resources to achieve them; and managing, monitoring, and evaluating the outputs.
- *Informative.* Accessing the required information in an enjoyable way and using it for better decisionmaking 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 multisensory so that they affect behavior in multiple ways. The intention is to

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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.

References

Narayan, Deepa and Lyra Srinivasan. 1994. *Participatory Development Tool Kit*. Washington, D.C.: The World Bank.

Narayan, Deepa. 1993. *Participatory Evaluation.* World Bank Technical Paper Number 207. Washington, D.C.: The World Bank.

Srinivasan, Lyra. 1990. *Tools for Community Participation*. New York: PROWWESS, United Nations Development Programme.

Box A1.5. Stakeholders Identify Institutional Requirements of a Community-Management Approach in Indonesia

As part of preappraisal for the Water and Sanitation Project for Low-Income Communities, sixty senior government personnel from the provinces and the capital joined consultants and World Bank staff for a two-day workshop.

Using the SARAR approach, brief presentations were intermixed with hands-on activities; most work was done in small groups. Participants drew their personal visions of community management on large sheets of paper and presented and discussed them with one another. Participants then examined the roles and responsibilities that would be required to fulfill each vision. Using cards that list decisions that all water projects require and five levels of decisionmakers who might address them, participants discussed the decisions, procedures, and responsible actors needed to support each vision. Finally, participants explored the extent of capacity necessary at each level for community management.

The long, often heated discussions resulted in concurrence that the simpler the technology used—such as spring captures and improved wells—the more likely participants were to offer control and authority to community groups. A common vision about skills and training resulted in the decision to earmark 15 to 20 percent of project costs for capacity building in community management of water projects among decisionmakers at the community, subdistrict, district, and provincial levels as well as at the level of central government.

Source: Deepa Narayan. November 1995. Toward Participatory Research. World Bank Technical Paper No. 307. Washington, D.C.: The World Bank

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Beneficiary Assessment

Method for Stakeholder Consultation

Beneficiary assessment (BA) involves systematic consultation with project beneficiaries and other stakeholders to help them identify and design development activities, signal any potential constraints to their participation, and obtain feedback on reactions to an intervention during implementation. BA is an investigation of the perceptions of a systematic sample of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into project and policy formulation. The general purposes of a BA are to (a) *undertake systematic listening, which "gives voice" to poor and other hard-to-reach beneficiaries, highlighting constraints to beneficiary participation, and* (b) *obtain feedback on interventions.*

BA is a qualitative method of investigation and evaluation that relies primarily on three data collection techniques:

- In-depth conversational interviewing around key themes or topics
- Focus group discussions
- Direct observation and participant observation (in which the investigator lives in the community for a short time).

Interviewing and observation can be carried out with individual beneficiaries or with groups; BA work can take place in urban or rural settings. Focus groups are commonly used as a forum for interviewing a number of beneficiaries and for conducting institutional assessment done within a BA.

The BA approach is not meant to supplant quantitative surveys and other traditional methods for data gathering; rather it complements these methods with reliable and useful information on the sociocultural context and perceptions of a client population that will inform Task Managers and policymakers. BAs are approaches in which the participatory process can begin with systematic and continuous tracking of client attitudes from identification through preparation to implementation of a project.

Ordinarily, BAs are carried out by local people under the direction of a trained team leader or social scientist. The skill mix and number of staff varies according to the tools used and demographic characteristics of the beneficiary population; BAs often require an experienced focus group facilitator and participant-observer. From initial desk reviews of available information through field research to writing of the BA report, the entire BA process typically takes from four to six months. Ideally, this process is repeated in an iterative fashion throughout the life of the project. Recent BAs conducted by the Bank have cost between $50,000 and $100,000.

The Uses of BA

- *Project Work.* BA helps to define problems from the point of view of the people who are affected by projects. Such knowledge improves project preparation and the monitoring of implementation. BAs can also help lay the foundation for participatory development work. With evidence that their ideas are being heard and respected, beneficiary populations are more likely to participate in development projects and take steps to improve their access to resources. BA is best used iteratively throughout the project cycle as a monitoring or supervision tool for evaluations. For example, three BAs were used for the mid-program evaluation of the Zambia Social Recovery Project to assess the success of the component funding microprojects in education and health. The BA approach has been instituted in some country work programs in Africa and South Asia as a management tool to improve quality.
- *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 a poverty assessment known as the participatory poverty assessment (PPA). When incorporated into poverty assessments, BA helps to ensure that poverty reduction strategies take into account the experience and concerns of the poor.

Steps in Beneficiary Assessment

- *Familiarization.* Technical specialists are selected to guide the BA project. Important problem areas are identified and reviewed using available information including interviews with key stakeholders such as donors, government, and local people. A guide for semistructured interviews is developed to cover key themes.
- *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

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research group and team leader should also be designated.

- *Selection and orientation of local interviewers.* 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.
- *Study.* BA work commonly includes interviews, focus group discussions, participant observation, and institutional analysis.
- *Preparation of the BA report.* The BA report includes recommendations that incorporate assessment findings into project design or sector work. The report should be reviewed by the interviewees to cross-check for accuracy.

Bank Experience with BA

Between 1983-95, the BA approach has been used in forty-seven Bank-supported projects in twenty-seven countries and across six sectors. A 1993 review undertaken to assess the use of BA in Bank-supported projects found that BAs:

- Influenced policy and led to changes in project design through improved targeting, efficiency, and effectiveness of programs
- Informed policy with otherwise unavailable and/or new information
- Increased sustainability by providing operationally oriented feedback from the client population
- Gave voice to the poor by indicating what the poor see as problems and possible solutions
- Promoted dialogue, ownership, and commitment by involving all stakeholders in listening and consultation.

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Salmen, Lawrence F. 1992. *Beneficiary Assessment: An Approach Described.* Working Paper No. 1. Technical Department. Africa Region. Washington, D.C.: The World Bank.

The World Bank, Africa Region, Southern Africa Department. September 1994. *Systematic Client Consultation.* Mimeo. Washington, D.C.

Box A1.6. Mali: Beneficiary Assessment in an Education Sector Project

A BA was done in Mali as part of an education project to try to understand why parents in rural areas did not send their children to school. Attendance for girls was especially low. The BA found that the costs of transportation and feeding the child at school plus the opportunity costs of losing the children's labor at home outweighed the benefits of a poor quality education with few prospects for finding a job.

These findings led to reformulation of policy to (a) reduce costs to beneficiaries by building schools in closer proximity, (b) increase attendance by designing a girl's component, and (c) train teachers to improve the relationship between parents and the school system.

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Systematic Cl ient Consul tation

Method f or Stakehol der Consul tation

Systematic Client Consultation (SCC) refers to a group of methods used to improve communication among Bank staff, direct and indirect beneficiaries and stakeholders of Bank-financed projects, government agencies, and service providers so projects and policies are more demand driven. SCC endeavours to (a) *undertake systematic listening to clients' attitudes and preferences,* (b) *devise a process for continuous communication, and* (c) *act on the findings by incorporating client feedback into project design and procedures.*

SCC has been developed in the World Bank's Africa Region as a means for improving the sustainable development impact of their operations in the field. This approach emerged from the region's quality management strategy, which includes strengthening stakeholder commitment and systematic listening to beneficiaries. SCC emphasizes continuity in the process of learning and readjustment that is intended to make Bank-sponsored policies and projects more responsive to the needs and wishes of the countries they serve. It is a system for keeping a finger on the pulse of client reactions in the field so that Bank interventions are kept on target, even in contexts in which circumstances are subject to frequent change.

SCC recognizes that social research incorporates many dimensions and that the issues to be addressed determine which method is needed. Among the techniques used to carry out SCC are: firm surveys, sentinel community surveillance, beneficiary assessment, and participatory rural appraisal.

The SCC Theory

SCC is premised on the belief that information gathered must be analyzed, acted on, and reassessed; thus, SCC is based on:

- *Consultation.* Obtaining regular feedback from those involved with and affected by Bank-supported projects regarding the continuing validity of a project's goals and its effectiveness in meeting them.
- *Action.* Revising project designs and procedures on the basis of information gathered from clients.
- *Follow-up.* Assessing the impact of revisions and taking further action wherever necessary to make sure that client concerns are being addressed.

SCC in Practice: Ten Steps

- *Laying the groundwork.* Before consulting with clients, staff must familiarize themselves with existing information, select information goals, and determine information needs in light of the overall project, sectoral, and country strategy.
- *Who does what.* SCC requires staff time throughout the life of the program, a local institution to carry out the consultations, an advisory committee (program managers, interviewers, government representatives, relevant civic associations, and other program partners), and institutional support from headquarters and the resident mission.
- *Establishing a budget.* In preparing a budget for SCCs, managers must consider the number of clients (individuals, households, businesses, focus groups, and so on) to be surveyed; the time period covered (usually the life of the project) and time required for preparation, fieldwork, and reporting; the number and periodicity of surveys (one consultation a year, three consultations with selected groups each year for five years, and so on); personnel requirements (interviewers, facilitators for focus groups, and participant-observers); training for interviewers; output (oral and written reports); and dissemination of findings.
- *Designing an information-tracking plan.* A project information-tracking plan should sequence a series of client polls at specific intervals throughout the life of the program; include mechanisms for information gathering, analysis, dissemination, responsive action, and evaluation; and be adjusted as the program progresses (sometimes targeting highly affected segments or other selected groups within the client population).
- *Identifying the target group.* In selecting the client target group, managers must identify those decisionmakers and officials whose assessment of the program is vital to its success; divide large client groups into smaller categories whose relation to the program can be more specifically defined; and identify clients who have current, factual information about project performance.
- *Designing data collection instruments.* In consulting with clients, field interviewers should be trained; interview guides and questionnaires should be pretested (questions should be as specific as possible and be largely confined to the clients' actual experience); clients should be asked to rate their concerns in order of priority and program services in order of importance and effectiveness; and clients should assess the effectiveness of any new measures taken.

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- *Putting client information to use.* Data supplied by clients can be used to help define economic strategies; set standards of program performance; adjust performance standards to accord with evolving public opinion; and direct resources and efforts to deal with issues the client community deems important.
- *Disseminating results.* To disseminate client feedback, the program must provide focused information on client perspectives; establish communication channels to stakeholders that will not require excessive staff time; and use brief, simple formats that make data easy to record and read.
- *Acting on client information.* In response to information gathered from client consultations, managers should establish mechanisms for relaying client comments to those who can affect policy changes; check the program's operational systems and procedures against clients' comments; ensure that the program is oriented to deliver products and services with the characteristics that clients value; establish a mechanism for adjusting the program in response to client criticisms; and use client concerns as the basis for benchmarks for monitoring.
- *Follow-up.* This step repeats the actions in step 1, but this time asks clients about the efficacy of changes made to deal with issues identified during the last round of consultations.

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The World Bank, Africa Region. Southern Africa Department. September 1994. *Systematic Client Consultation*. Mimeo. Washington, D.C.

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Box A1.7. Zambia: Outlook from the Field

In 1992 the Zambia Social Recovery Project launched a comprehensive client consultation program to find out what the intended beneficiaries thought of the project. The main technique used was beneficiary assessment. Local interviewers undertook three phases of consultations with community members, service providers, and key informants, individually or in focus groups.

In phase I of the SCC, beneficiaries rated local institutions that carried out welfare microprojects in the community. In phase II, beneficiaries assessed the community's role in these projects and its contribution in other social areas. In phase III, beneficiaries considered the project's and intermediary institution's overall impact on the community and ranked community problems and priorities.

The three phases of interviews provided information on community concerns and relative strengths and weaknesses of local institutions and committees. Specific problems with accountability, workmanship, and local government were identified and managers made recommendations for actions to address problems. In addition, the process enhanced local ability to undertake social research.

Source: The World Bank, Africa Region. September 1994. *A Systematic Approach to Client Consultation.* Washington, D.C.

Social Assessment

Method for Social Analysis

Social Assessment (SA), a method developed by World Bank staff, provides an integrated framework for incorporating participation and social analysis into the Bank's operational and analytical work. Because there are many social variables that could potentially affect project impacts and success, SAs must be selective and strategic and focus on issues of operational relevance. Deciding what issues are critical and how they can be addressed requires consultation with stakeholders and other forms of data collection and analysis.

Gender, ethnicity, social impacts, and institutional capacity are among the social factors that need to be taken into account in development operations. In the past these factors have been analyzed separately with the result that some issues received attention whereas others were overlooked. Social assessment was developed by the Bank's Social Policy Thematic Team to provide a comprehensive, participatory framework for deciding what issues have priority for attention and how operationally useful information can be gathered and used. Because this method was developed by Bank staff, the steps in SA are consistent with Bank procedures and existing operational directives.

Social assessments are carried out in a project context to do the following:

- Identify key stakeholders and establish an appropriate framework for their participation in the project selection, design, and implementation.
- Ensure that project objectives and incentives for change are acceptable to the range of people intended to benefit and that gender and other social differences are reflected in project design.
- Assess the social impact of investment projects and, where adverse impacts are identified, determine how they can be overcome or at least substantially mitigated.
- Develop ability at the appropriate level to enable participation, resolve conflict, permit service delivery, and carry out mitigation measures as required.

Assessment Design

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.

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.

The degree of stakeholder involvement needed also influences assessment design. 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 in Bank-supported projects includes those negatively or positively affected by the outcome or those who can affect the outcome of a proposed intervention, including the following:

- *Government.* The Bank's most immediate client, the borrower, is the government, including the agencies responsible for project implementation.
- *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.

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.

Common Questions in SA

- Who are the stakeholders? Are the objectives of the project consistent with their needs, interests, and capacities?

- What social and cultural factors affect the ability of stakeholders to participate or benefit from the operations proposed?
- What is the impact of the project or program on the various stakeholders, particularly on women and vulnerable groups? What are the social risks (lack of commitment or capacity and incompatibility with existing conditions) that might affect the success of the project or program?

- What institutional arrangements are needed for participation and project delivery? Are there adequate plans for building the capacity required for each?

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The World Bank. May 10, 1994. *Social Assessment: Incorporating Participation and Social Analysis into the Bank's Operational Work.* Mimeo. Washington, D.C.

The World Bank. 1994. *Incorporating Social Assessment and Participation into Biodiversity Conservation Projects.* Mimeo. Washington, D.C.

Box A1.8. Morocco: Fez Medina Rehabilitation Project

This proposed project to rehabilitate the old city—called the medina—of Fez in Morocco includes components to upgrade infrastructure, open access roads, mitigate pollution from craft industries and workshops, and renovate residences and monument buildings to be consistent with the past but also to serve the present.

Early in project preparation, social scientists were recruited from universities in Fez to undertake a participatory and social assessment, which began with data collection on and consulting with a wide array of stakeholders. Government, religious and civic leaders, merchants, artisans, householders, renters, and many other ordinary citizens contributed ideas for possible elaboration into project components, worked toward consensus on interventions and strategy, and described the social dynamics of the city to assure a match among plans, aspirations, and local capacities.

The assessment process, which lasted four months and cost approximately $140,000, included stakeholder workshops, sample surveys, informal interviews, and focus group meetings. Three sets of workshops with fieldwork in between produced analyses and proposals that had been widely discussed by the time the assessment was complete.

The assessment produced ideas that had not been considered previously. Among them are: using the sites of buildings in ruins to provide social service centers, regulating encroachment by merchants into residential areas, disaggregating rehabilitation plans by neighborhood, allowing those displaced by access road construction to be rehoused in adjacent areas, and supporting craft associations in the medina and upgrading craft associations either in their present locations or, if necessary, by moving them in groups. By including residents in the decisionmaking process, the assessment also raised local interest in upgrading and maintenance of the medina.

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Gender Analysis

Method for Social Analysis

Gender analysis focuses on understanding and documenting the differences in gender roles, activities, needs, and opportunities in a given context. Gender analysis involves the disaggregation of quantitative data by gender. It highlights the different roles and learned behavior of men and women based on gender attributes. These vary across cultures, class, ethnicity, income, education, and time; thus, gender analysis does not treat women as a homogeneous group or gender attributes as immutable.

The concept of gender analysis arose from the need to mainstream women's interests while at the same time acknowledging that women could not be treated as a homogeneous group. It was realized that women's needs were better understood when viewed in relation to men's needs and roles and to their social, cultural, political, and economic context. Gender analysis thus takes into account women's roles in production, reproduction, and management of community and other activities. Changes in one may produce beneficial or detrimental effects in others.

Gender analysis is important in the formulation of country economic memoranda, country sector strategies, structural adjustment, country portfolio management, poverty assessments, environmental assessment, and in sector-specific project planning, monitoring, and evaluation; thus, many variants of policy and sector-specific gender analysis tools are available.

Purpose

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.

Key Concepts

- *Practical gender needs.* These relate to women's traditional gender roles and responsibilities and are derived from their concrete life experiences. For example, when asked what they need, women usually focus on immediate practical needs for food, water, shelter, health, and so on.
- *Strategic gender needs.* These generally address issues of equity and empowerment of women. The focus is on systemic factors that discriminate against women. This includes measuring the access of women, as a group compared with men, to resources and benefits, including laws and policies (such as owning property). Strategic gender needs are less easily identified than practical gender needs, but addressing these needs can be instrumental in moving toward equity and empowerment.
- *Intrahousehold dynamics.* The household is a system of resource allocation. All members of a household—men, women, and children—have different roles, skills, interests, needs, priorities, access, and control over resources. Any development intervention that affects one member of the household will positively or negatively affect all others; hence, it is important to understand these interdependent relationships, the rights, responsibilities, obligations, and patterns of interaction among household members.
- *Interhousehold relations.* Individuals and households belong to larger groupings (such as professional or religious groups or extended families) with whom they are involved in labor exchanges, flows of goods, and other alliances for survival. It is important to understand the social organization of these larger networks and the gender differences in roles, functions, and access.

Key Principles

Because gender planning is part of the overall planning process, the composition of the planning team, timing of data collection, tabling of issues, and integration of gender concerns into overall objectives is critical early in policy and project formulation.

- *Planning as a process.* Programs that intend to be gender responsive depend on flexible planning processes that are interactive, adjust objectives based on feedback, and enable beneficiaries to be active participants in the planning process.
- *Gender diagnosis.* Data collected should be organized to highlight key gender problems, underlying causes of problems for men and women, and the relationship between problems and causes.
- *Gender objectives.* Objectives clarify what gender problems will be addressed and what the practical and strategic goals are. It is important to negotiate

consensus on objectives at policy, managerial, and working levels.

- *Gender strategy.* Clear operational strategies, which will be used to achieve stated objectives, must identify the incentives, budget, staff, training, and organizational strategies to achieve stated objectives.
- *Gender monitoring and evaluation.* Flexible planning requires gender monitoring and evaluation to enable adjustment to experience and to establish accountability of commitment to achieve gender-specific priorities.

Gender Analysis Framework

Five major categories of information comprise gender analysis:

- Needs assessment
- Activities profile
- Resources, access, and control profile
- Benefits and incentives analysis
- Institutional constraints and opportunities.

The extent to which information is collected on particular issues depends on the nature of the problems being addressed and the quality and depth of information already available.

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Wakeman, Wendy. 1995. *Gender Issues Sourcebook for Water and Sanitation.* UNDP-World Bank Water and Sanitation Program/PROWWESS. Washington, D.C.: The World Bank.

Box A1.9. Analyzing Gender Issues in the World Bank's Country Economic Memoranda: An Example from Uganda

This poverty profile illustrated the relevance of gender in assessing poverty and stressing the importance of incorporating gender concerns into the formulation and design of strategies for reducing poverty and promoting economic growth. The most pressing issues with respect to women's multiple roles, in relation to those of men are identified as the basis for the Bank's recommendations for raising the status and productivity of women. Among the problems cited are (a) women's lack of technology, inputs, and finance to carry out their agricultural tasks, (b) multiple household responsibilities without labor-saving technology, (c) low health and nutritional status, (c) low levels of literacy, and (d) laws and customs that impede women's access to credit, education, training, information, and medical care.

In response to these problems, the Ugandan government has adopted gender-responsive actions that will be undertaken as an interconnected package of mutually reinforcing measures.

Source: The World Bank. 1994. *Enhancing Women's Participation in Economic Development.* World Bank Policy Paper. Washington, D.C.

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Gl ossary of Tool s

Each of the methods described above is a combination of tools, held together by a guiding principle. Dozens of exercises exist to cultivate collaborative development planning and action. These are the tools with which social scientists and other development practitioners encourage and enable stakeholder participation. Some tools are designed to inspire creative solutions, others are used for investigative or analytic purposes. One tool might be useful for sharing or collecting information, whereas another is an activity for transferring that information into plans or actions. These brief descriptions are intended to provide the reader with a glossary of terminology that practitioners of participatory development use to describe the tools of their trade.

- *Access to resources.* A series of participatory exercises that allows development practitioners to collect information and raises awareness among beneficiaries about the ways in which access to resources varies according to gender and other important social variables. This user-friendly tool draws on the everyday experience of participants and is useful to men, women, trainers, project staff, and field-workers.
- *Analysis of tasks.* A gender analysis tool that raises community awareness about the distribution of domestic, market, and community activities according to gender and familiarizes planners with the degree of role flexibility that is associated with different tasks. Such information and awareness is necessary to prepare and execute development interventions that will benefit both men and women.
- *Focus group meetings.* Relatively low-cost, semistructured, small group (four to twelve participants plus a facilitator) consultations used to explore peoples' attitudes, feelings, or preferences, and to build consensus. Focus group work is a compromise between participant-observation, which is less controlled, lengthier, and more in-depth, and preset interviews, which are not likely to attend to participants' own concerns.
- *Force field analysis.* A tool similar to one called "Story With a Gap," which engages people to define and classify goals and to make sustainable plans by working on thorough "before and after" scenarios. Participants review the causes of problematic situations, consider the factors that influence the situation, think about solutions, and create alternative plans to achieve solutions. The tools are based on

diagrams or pictures, which minimize language and literacy differences and encourage creative thinking.
- *Health-seeking behavior.* A culturally sensitive tool for generation of data about health care and health-related activities. It produces qualitative data about the reasons behind certain practices as well as quantifiable information about beliefs and practices. This visual tool uses pictures to minimize language and literacy differences.
- *Logical Framework* or *LogFRAME*. A matrix that illustrates a summary of project design, emphasizing the results that are expected when a project is successfully completed. These results or outputs are presented in terms of objectively verifiable indicators. The Logical Framework approach to project planning, developed under that name by the U.S. Agency for International Development, has been adapted for use in participatory methods such as ZOPP (in which the tool is called a *project planning matrix*) and TeamUP.
- *Mapping.* A generic term for gathering in pictorial form baseline data on a variety of indicators. This is an excellent starting point for participatory work because it gets people involved in creating a visual output that can be used immediately to bridge verbal communication gaps and to generate lively discussion. Maps are useful as verification of secondary source information, as training and awareness-raising tools, for comparison, and for monitoring of change. Common types of maps include *health maps, institutional maps (Venn diagrams),* and *resource maps.*
- *Needs assessment.* A tool that draws out information about people's varied needs, raises participants' awareness of related issues, and provides a framework for prioritizing needs. This sort of tool is an integral part of gender analysis to develop an understanding of the particular needs of both men and women and to do comparative analysis.
- *Participant observation* is a fieldwork technique used by anthropologists and sociologists to collect qualitative and quantitative data that leads to an in-depth understanding of peoples' practices, motivations, and attitudes. Participant observation entails investigating the project background, studying the general characteristics of a beneficiary population, and living for an extended period among beneficiaries, during which interviews, observations, and analyses are recorded and discussed.
- *Pocket charts.* Investigative tools that use pictures as stimuli to encourage people to assess and analyze a given situation. Through a "voting' process, participants use the chart to draw attention to the complex elements of a

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development issue in an uncomplicated way. A major advantage of this tool is that it can be put together with whatever local materials are available.

- *Preference ranking*. Also called direct matrix ranking, an exercise in which people identify what they do and do not value about a class of objects (for example, tree species or cooking fuel types). Ranking allows participants to understand the reasons for local preferences and to see how values differ among local groups. Understanding preferences is critical for choosing appropriate and effective interventions.

- *Role playing.* Enables people to creatively remove themselves from their usual roles and perspectives to allow them to understand choices and decisions made by other people with other responsibilities. Ranging from a simple story with only a few characters to an elaborate street theater production, this tool can be used to acclimate a research team to a project setting, train trainers, and encourage community discussions about a particular development intervention.

- *Seasonal diagrams* or *seasonal calendars*. Show the major changes that affect a household, community, or region within a year, such as those associated with climate, crops, labor availability and demand, livestock, prices, and so on. Such diagrams highlight the times of constraints and opportunity, which can be critical information for planning and implementation.

- *Secondary data review.* Also called desk review, an inexpensive, initial inquiry that provides necessary contextual background. Sources include academic theses and dissertations, annual reports, archival materials, census data, life histories, maps, project documents, and so on.

- *Semistructured interviews.* Also called *conversational interviews,* interviews that are partially structured by a flexible interview guide with a limited number of preset questions. This kind of guide ensures that the interview remains focused on the development issue at hand while allowing enough conversation so that participants can introduce and discuss topics that are relevant to them. These tools are a deliberate departure from survey-type interviews with lengthy, predetermined questionnaires.

- *Sociocultural profiles.* Detailed descriptions of the social and cultural dimensions that in combination with technical, economic, and environmental dimensions serve as a basis for design and preparation of policy and project work. Profiles include data about the type of communities, demographic characteristics, economy and livelihood, land tenure and natural resource control, social organization, factors affecting access to power and resources, conflict resolution mechanisms, and values and perceptions. Together with a participa-

tion plan, the sociocultural profile helps ensure that proposed projects and policies are culturally and socially appropriate and potentially sustainable.

- *Surveys.* A sequence of focused, predetermined questions in a fixed order, often with predetermined, limited options for responses. Surveys can add value when they are used to identify development problems or objectives, narrow the focus or clarify the objectives of a project or policy, plan strategies for implementation, and monitor or evaluate participation. Among the survey instruments used in Bank work are *firm surveys*, *sentinel community surveillance*, *contingent valuation,* and *priority surveys*.

- *Tree diagrams.* Multipurpose, visual tools for narrowing and prioritizing problems, objectives, or decisions. Information is organized into a tree-like diagram that includes information on the main issue, relevant factors, and influences and outcomes of these factors. Tree diagrams are used to guide design and evaluation systems, to uncover and analyze the underlying causes of a particular problem, or to rank and measure objectives in relation to one another.

- *Village meetings.* Meetings with many uses in participatory development, including information sharing and group consultation, consensus building, prioritization and sequencing of interventions, and collaborative monitoring and evaluation. When multiple tools such as resource mapping, ranking, and focus groups have been used, village meetings are important venues for launching activities, evaluating progress, and gaining feedback on analysis.

- *Wealth ranking.* Also known as well-being ranking or vulnerability analysis, a technique for the rapid collection and analysis of specific data on social stratification at the community level. This visual tool minimizes literacy and language differences of participants as they consider factors such as ownership of or use rights to productive assets, life-cycle stage of members of the productive unit, relationship of the productive unit to locally powerful people, availability of labor, and indebtedness.

- *Workshops.* Structured group meetings at which a variety of key stakeholder groups, whose activities or influence affect a development issue or project, share knowledge and work toward a common vision. With the help of a workshop facilitator, participants undertake a series of activities designed to help them progress toward the development objective (consensus building, information sharing, prioritization of objectives, team building, and so on). In project as well as policy work, from preplanning to evaluation stages, stakeholder workshops are used to initiate, establish, and sustain collaboration.