

# ENHANCING OWNERSHIP and SUSTAINABILITY

---

## A RESOURCE BOOK ON PARTICIPATION

April 2001



**SEARSOLIN**

**MYRADA**



### Citation:

IFAD, ANGOC and IIRR. 2001. ENHANCING OWNERSHIP and  
SUSTAINABILITY: A RESOURCE BOOK ON PARTICIPATION.  
International Fund for Agricultural Development (IFAD), Asian NGO  
Coalition for Agrarian Reform and Rural Development (ANGOC) and  
International Institute of Rural Reconstruction (IIRR). 335 p.

Published 2001

Printed in the Philippines and India  
ISBN 1-930261-004

# Contents

	Acknowledgements	v
	Foreword	vii
	Introduction to the Resource Book	ix
<b>part 1</b>	<b>Poverty and Participation</b>	
	Poverty, Indigenous Peoples and the Upland Poor: Design Issues	3
	Poverty, Reduction Strategies: A Part for the Poor?	9
	Decentralisation and Participation	16
	“Hidden” Costs-Benefits to Participating Communities	21
	Social and Equity Concerns in Participatory Watershed Management in India	29
	Participatory Poverty Assessment	36
	Targeting Poor Communities: An Example from Africa	41
<b>part 2</b>	<b>Participatory Processes</b>	
	Participatory Learning Approaches	51
	Overview of Participatory Rural Appraisal (PRA)	56
	Scaling Up Participatory Rural Appraisal: Lessons from Vietnam	64
	Participatory Monitoring: An Experience from Nepal	70
	Participatory Rural Appraisal (PRA): Some Concerns from the Field	75
	Critical Reflections on PRA and the Project Cycle: Practitioner Perspectives from Nepal	81
	The Appreciative Inquiry Approach	86
	Building Institutional Capacity: The Use of Appreciative Inquiry in Rural Communities	94
	Appreciative Inquiry with Community-Based Organisations: A Sample Module	98
	Stakeholder Analysis: A Process Approach	102
	Participatory Diagnostic Study in Project Formulation and Beyond: A Process Approach	108
	Monitoring and Evaluation of Participatory Research	118
	Training in Participatory Approaches	123
	How to Make Log-Frame Programming More Sensitive to Participatory Concerns	128
	Result-Based Project Planning	138
	Participatory Technology Development and Dissemination: Some Key Principles	141
	Empowering Women and Facilitating their Participation for Better Resource Management	145
	A Participatory Workshop Process to Produce User-Friendly Information Materials	151

part	<b>3</b>	Participatory Project Planning and Implementation	
		Searching for Participatory Approaches in China: Findings of the Yunnan PRA Network	161
		Introducing Participatory Processes among Ethnic Minorities: Challenges in Vietnam	166
		Participatory Process in Institution-Building: Experiences from Northeast India	169
		Stakeholder Involvement in Participatory Practices: An Overview of Bangladesh NGOs	174
		Enhancing the “Assessment” in Participatory Assessments	179
		Participatory Planning in Nepal	185
		Participatory Self-Monitoring System: The Maharashtra Rural Credit Project	191
		REFLECT: An Empowering Approach to Education and Social Change	199
part	<b>4</b>	Monitoring Impact	
		Elements of Participatory Evaluation	207
		Systematisation: Documentation and Sharing of Project Experiences and Lessons	211
		Innovative Experiences in the Use of Participatory Monitoring Tools	217
		An NGO-Designed Participatory Impact Monitoring (PIM) of a Rural Development Project	223
		Using PRA for Participatory Impact Monitoring: An Illustrative Example	230
		Testing Participatory Impact Monitoring: Participatory Resource Management Project in Vietnam	236
		Scaling Up Local Successes	242
		PME Process Practised at the Field Level: Learning from the LIFE Project	248
		Building Participation into Benefit-Cost Analysis	255
part	<b>5</b>	Institutions, Partnerships and Governance	
		Participation, Citizenship and Local Governance	265
		Evaluating Governance Programmes	272
		Building Multi-Stakeholder Partnerships	274
		The Triadic Approach: Some Experiences in Landcare, Philippines	279
		Participatory Approaches in Government Bureaucracies:	
		Facilitating the Process of Institutional Change	285
		Understanding Resistance to Change	291
		Understanding and Dealing with Conflict	295
		Getting around the Limits to Participation	300
		Creating Spaces for Partnerships to Work: NGO Involvement in Multilateral/Bilateral Projects	308
		Mapping of NGO Initiatives: Building from Existing Experiences	312
		Learning Participation from NGO Experiences in Asia	319
Annexes		Participants	327
		Advisory Committee and Workshop Coordinating Team	331
		Production Staff	333

# Acknowledgements

We sincerely acknowledge the generous financial and technical support of our partners and workshop participants.



International Fund for  
Agricultural Development

## And Its Partners



ANGOC

Asian NGO Coalition for  
Agrarian Reform and  
Rural Development

**SEARSOLIN**

South East Asian Rural  
Social Leadership Institute

**MYRADA**



Centre on Integrated  
Rural Development for Asia  
and the Pacific



International Institute  
of Rural Reconstruction

## Advisory Committee and Workshop Coordinating Team

Joy Rivaca-Caminade  
Al Fernandes  
Julian Gonsalves  
Cristina Liamzon  
Nathaniel Don E. Marquez  
Rachel Polestico

Antonio B. Quizon  
Phrang Roy  
Roel Ravanera  
Vidya Ramachandran  
P. Subrahmanyam  
Ganesh Thapa

## Workshop Participants

Vanda Altarelli  
C. N. Anil  
Graham Ashford  
Joy Rivaca-Caminade  
Delia Cresencio-Catacutan  
Jaya Chatterji  
Jagannath Dutta  
Priya Deshingkar  
Julian F. Gonsalves  
A. J. James  
Shyam Khadka  
David Kingsbury

Nathaniel Don E. Marquez  
Vasudha Pangare  
Saleela Patkar  
Rachel V. Polestico  
Antonio B. Quizon  
Vidya Ramachandran  
Phrang Roy  
Mallika Samaranayake  
M. L. Sanyasirao  
Anke Schuermann  
Nani Ram Subedi  
P. Subrahmanyam

Dilip Kumar  
Cristina Liamzon  
Madhusudhan

Ganesh Thapa  
Vu Thi Ngoc Tran

*(full addresses on page 327)*

### **Contributors**

John Gaventa  
Karen McAllister  
Rosemary McGee  
Bardolf Paul

Garet Pratt  
Daniel Selener  
Lu Xing

*(email addresses on page 330)*

### **Editors**

Graham Ashford  
Miguel Braganza  
Amba Jamir

K. Mamata Krishna  
P. N. Mathur  
Sheila Vijayakumar

*(full addresses on page 333)*

### **Artists**

Dipankar Das  
Sudarshan Mallick  
Ashok Ganpat Nirgulkar

A. V. Prasanth  
S. C. Rajashekar

*(full addresses on page 334)*

### **Desktop Publishing Staff**

Celso C. Amutan  
Abdul Gaffar

Evangeline C. Montoya  
Levy L. Ramos

*(full addresses on page 334)*

### **Logistics Support Staff**

Sandra Kale  
N. Anand Balaji

Subramanyam Naidu

*(full addresses on page 335)*

### **MYRADA staff**

Balasubramaniam  
Yasmin Master

Chandra Singh  
Sai Thilakaam

# Foreword

The International Fund for Agricultural Development (IFAD) was established as an international financing institution within the United Nations system with the specific mandate to reach out to the rural poor in general and to women in particular. The powerlessness and the inability of these groups to participate in the decision-making processes that affect their lives has been a major concern of the Fund. Over the past 22 years, there has been a continuing search for participatory approaches that could empower the rural poor to have a greater say in improving their coping strategies. Through these years, we have met many NGOs who share our concern and who are proactively addressing lack of voice of the rural poor.

In 1999, IFAD started a collaboration with a regional institution – the Centre for Integrated Rural Development in Asia and the Pacific (CIRDAP) – and a regional NGO – the Asian NGO Coalition for Agrarian Reform and Rural Development (ANGOC) – to document the experiences with participatory processes in project design, implementation and evaluation of NGOs and IFAD-funded projects. The identified processes were documented and then discussed in Bangalore, India, in a 14-day participatory workshop organised by the International Institute of Rural Reconstruction (IIRR). Papers were presented by staff from non-government organisations (NGOs), research centres and IFAD.

Early in the workshop, the participants also brainstormed ideas for new topics (other than those already prepared) that should be part of the resource book. These new topics were assigned to knowledgeable participants for development and presentation during the workshop.

The inputs of all participants were discussed, re-edited several times, dropped or validated by all the participants. Permanent backstopping was assured by resource persons, editors, artists and experts in desktop publishing.

The result is this resource book which describes a broad range of first-hand experiences with participatory approaches in the context of projects funded by IFAD, NGOs and governments in the Asia and Pacific area.

It also contains details of some of the newer approaches that are being tried in the region.

While working closely with CIRDAP, ANGOC, IIRR, MYRADA, SEARSOLIN and other NGOs, we have come to develop a deeper and broader knowledge of the participatory approaches that are being used in the region. We are grateful to all the partners for their extremely valuable experience.

This resource book was originally intended to be used only by IFAD staff. However, during the Bangalore workshop, we agreed that it shall be made available to all development workers who share our concern about the rural poor.

We hope that this publication will help all of us to help the rural poor to overcome their lack of freedom of choice of action.

**Phrang Roy**

Director, Asia and the Pacific Division  
International Fund for Agricultural Development



# Introduction to the Resource Book

New participatory tools for learning and action are constantly being developed and tested in the field. These experiences yield valuable lessons for improving project delivery and effectiveness and for increasing sensitivity to local indigenous participatory processes and gender concerns.

There has been a growing recognition worldwide on the need for more civil society participation - especially of beneficiary groups - in the formulation, implementation and evaluation of development projects. In Asia, non-government organizations (NGOs) and people's organizations (POs) have emphasised various participatory approaches in their work. Participation is seen not just as a means to improve project delivery but more so as a measure to ensure that benefits accrue to the intended target groups and that capacities of local people, groups and communities are built. More importantly, participation motivates communities to assert their collective ownership over projects, thus ensuring that development impacts are sustained in the long run.

The International Fund for Agricultural Development (IFAD) has always been searching for ways to integrate participatory approaches in various phases of its project cycle. In 1998, IFAD defined its two most important objectives for its work programme as (a) emphasis on beneficiary-driven projects; and (b) development of systems for periodic impact assessments.

It is within this context that IFAD provided a grant to Centre on Integrated Rural Development for Asia and the Pacific (CIRDAP) and Asian NGO Coalition for Agrarian Reform and Rural Development (ANGOC) to carry out a project on "Participatory Processes: Learning from NGO Experiences in Asia and the Pacific", to document the experiences of NGOs in promoting participation at various stages of the project cycle. As a complementary activity to this initiative, IFAD asked ANGOC and the International Institute of Rural Reconstruction (IIRR) to organise an effort to compile a sourcebook of ideas, drawing upon field-tested experiences in a few Asian countries: Philippines, India, Vietnam, Nepal and Bangladesh. The effort involved the use of a participatory approach to produce educational materials in a "writeshop" environment. Institutions like MYRADA, CIRDAP and Southeast Asia Rural Social Leadership Institute (SEARSOLIN) were

invited to join in as partners in organising and conducting the workshop, which took place in Bangalore, India on July 3-14, 2000. Key staff from IFAD were present. A total of 61 papers were presented. Artists, editors and desktop publishing specialists helped revise materials during the workshop itself. The result is this “resource book” for development managers and trainers involved in project management.

The publication focuses on participatory processes and their management, and presents a broad range of concrete experience with different tools. It is assumed that the reader is already familiar with the use of tools like PRA/PLA/PME and is now interested in second generation issues related to project design, training and measurement of impact associated with the use of participatory processes. Each article reflects a specific experience. As such, it has its own validity.

This compilation was originally designed for use in IFAD-supported initiatives, but the range and nature of the topics would make it useful to local government units, NGOs and networks of community-based institutions. This effort to document ongoing experiences with specific participatory approaches and interventions, drawn primarily from among Asian NGOs, has a strong potential for replication in the region. IFAD’s future project design and implementation will benefit from this compilation of field-tested practices and the lessons derived therefrom.

The participatory workshop process which was pioneered by IIRR involved key presentors of field experiences as well as editors, artists and desktop publishing specialists. In the course of the workshop, illustrations were added and repeated draft versions were produced - typically two or three drafts per paper. These papers were greatly enriched, thanks to peer-review of each version undertaken during the workshop. Key staff from IFAD, ANGOC, CIRDAP, SEARSOLIN and IIRR guided the process, from the original planning to the production of the finished versions. The resource book benefited greatly from post workshop reviews by Phrang Roy and Bernadette Trottier of IFAD, Tony Quizon and Don Marquez of ANGOC, Vidya Ramachandran of MYRADA, Rachel Polestico from SEARSOLIN, P. Subrahmanyam from CIRDAP and Julian Gonsalves and Joy Caminade of IIRR. Special thanks is given to Jel Montoya who coordinated the final publishing of the manuscript and brought the manuscript to print, under the overall guidance of Phrang Roy, Ganesh Thapa, Tony Quizon, Joy Caminade and Julian Gonsalves.

This resource book is copyright free and readers are encouraged to use material extensively, with no restrictions on photocopies, lending, or other uses - provided that the authors and source are duly acknowledged.

Source FAO, ICLARM & IIRR.2001. Integrated agriculture-aquaculture: a primer, FAO Fisheries Technical Paper No.407, Rome. 7. Farm ponds for water, sh and livelihoods. The contribution of sh and other aquatic organisms to livelihoods. Raising fish is an obvious use for a farm pond; fish adds value to the water. From a farming systems standpoint, fish converts otherwise agricultural and household waste into food when used as feed. IIRR 2001. Enhancing ownership and sustainability: a. resource book on participation. Philippines: IFAD; ANGOC; IIRR. 2001. Kensing, F. and Blomberg, J. Participatory Design: Issues. and Concerns, JCSCW 7, 167-185, 1998.