

KHANYA

**Guidelines for Undertaking a
Regional/National Sustainable
Rural Livelihoods Study**

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Department for International Development

Khanya – managing rural change cc

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We hope that this methodology will help others to integrate the use of the sustainable livelihoods approach in their work.

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The report is available from www.khanya-mrc.co.za

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GLOSSARY

CBO	Community-based organisation
DFID	Department for International Development of the British government
NGO	Non-government organisation
SL	Sustainable Livelihoods
SLA	Sustainable Livelihoods Approach
SRL	Sustainable Rural Livelihoods
PLA	Participatory learning for action
PRA	Participatory rural appraisal

GUIDELINES ON UNDERTAKING A REGIONAL/NATIONAL SUSTAINABLE LIVELIHOODS STUDY

A BACKGROUND

A.1 Introduction

These guidelines are intended to assist people who wish to develop a poverty eradication strategy using a sustainable livelihoods (SL) approach¹. This could be for a region, or country, but it is assumed these would be based on the SL principles (see A.3).

This work is based on the experience of 4 regional assessments carried out in Zambia, Zimbabwe and South Africa during 1998/9², which explored how the approach could be undertaken, with different partners, and different emphases. That work was funded by the UK's Department for International Development (DFID), under the Rural Livelihoods and Environment Department's research programme. The writing up of these guidelines has been commissioned by DFID, through the Sustainable Livelihoods Support Office³. The work has also involved strengthening components of the work previously conducted notably in relation to gender, the environment, and from a macro-economic perspective.

The **purpose** of these guidelines is for partners to be able to develop effective proposals for transforming policies and institutions to eradicate rural poverty in a sustainable way.

¹ The SL approach can equally be applied to urban livelihoods. However the work on which these guidelines are derived focused on rural livelihoods (including peri-urban), and some rethinking would be needed to see how these guidelines might need to be adapted for urban areas.

² These are available at www.khanya-mrc.co.za

³ Contactable at livelihoods@dfid.gov.uk

This is based on an initial study to assess what is required, and subsequently developing a strategy for implementation. These guidelines look at the overall process, but address in detail how to implement a study which could assist with developing a poverty eradication strategy.

The methodology is based on analysing the situation at micro (community) level, at meso level (service delivery and support), and at macro (policy) levels, and using this understanding of the reality of rural people's lives to understand what changes are needed. The methodology is discussed in more detail in Section B.

The **clients** for this methodology are development agents at macro and meso levels, donors supporting poverty eradication, and poor people themselves.

A.2 Introduction to the SL approach

Understanding the SL approach (SLA)

Sustainable livelihood approaches are being used as one of the human development approaches to addressing poverty. The approach is not in itself new, and builds on much best practice being used by many agencies around the world. However the bringing together of the different elements into an approach for poverty eradication is new. This means that the approach is inclusive, building on work such as on participatory approaches, governance, decentralisation, and sustainability.

The version used by DFID is outlined in Carney (1998). A livelihood is defined as:

“ the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base”.

The different elements in the framework can be summarised as the Context - - in which

exist - - assets - - access to which is critically influenced by - - policies and institutions - - which also serve to influence the - - strategies - - which people adopt in pursuit of livelihoods and eventual - - poverty elimination. These elements make up what is sometimes referred to as the **SL Framework**. The Khanya version of the Framework is shown in Figure 1. The other key thing to understand are the **Principles** behind the SLA which are shown in Box A2.

The SL Framework

There are certain terms which are commonly used as part of the framework. Khanya's use of the framework and approach is described in Khanya (2000)⁴ and is summarised below.

Using the concept of assets and vulnerabilities

Rural people not only have needs but also resources or assets. Recognising this provides a much more respectful and positive framework for dealing with rural people. The five types of assets in this model are natural, social capital, human, physical and financial.

Rural people are vulnerable to a range of challenges and reducing vulnerability may be a higher priority than increasing production (or the quantity of their assets). Therefore when looking at the situation in a community it is very important to consider the priority attached to reducing vulnerability, which may well force trade-offs in other objectives (such as maximising production).

Livelihood outcomes

Rural people have their own view about what they aspire to. It is important that government or programmes do not impose outcomes, but negotiate with communities to find out what their aspirations are, and what may be achievable outcomes, bearing in mind the external resources that government and other agencies may be able to provide. Participatory appraisals can provide tools for finding out what people's desired outcomes are, in terms of increased assets, or reduced vulnerability,

or such higher order concerns such as self-esteem, happiness, etc.

Institutional structures and processes

A variety of organisations provide services to rural people, and both people and organisations operate within a set of laws and policies or processes. These define the options which are available. Depending on this institutional environment, the outcomes desired and the vulnerabilities people then select livelihood strategies.

Livelihood strategies

Based on their awareness of the above, rural people adopt a strategy or strategies to cope with their lives. One of the most important things development can do is increase the options and choices people have, which increases the power they have over their lives. The key strategies in rural areas can be categorised as on-farm, off-farm or migration.

Applying the framework

Some of the issues Khanya looked at are:

- **Assets** – do we understand the resources, not just needs, that different rural people have, and how is this information gathered in terms of a planning system, rather than ad-hoc PRAs? How can we understand the holistic nature of people's lives?
- **Outcomes** - how do different people's priorities vary? How should these be ascertained, once again in a systematic way?
- **Livelihood strategies** – in the light of the previous two, what are appropriate livelihood strategies that are likely to achieve the outcomes that rural people desire? What does this mean for services, policies and programmes?
- **Institutions and processes** – what institutional structures are appropriate to creating this holistic people-centred approach?

Principles behind the SLA

⁴ Institutional Support for SRLs In Southern Africa: Final Report

The principles behind the SLA are more important than the framework. Most people involved in poverty eradication can agree to the principles, but they do have significant implications in how development is conducted. These are shown in Box A2.

A3. How to use these guidelines

These guidelines are based on the premise that practitioners would use the SL Framework as an analytical tool to understand complex development environments, to move towards action on eradication of poverty.

They are the result of work that Khanya has been involved in is based on our experience and “best practice” at this stage of our work. It is intended as a guide and is not a recipe for success.

A number of assumptions about the users of this guide have been made in its compilation, including that the users are:

- Well versed in the theory of the SL framework and its underlying principles and assumptions as outlined above
- Experienced PRA/PLA practitioners; and
- Are able to communicate and work at the micro-, meso- and macro-levels and are able to recognise the necessary linkages.

Part A of the guidelines have been this background.

Part B covers the methodology, including the initial stimulation of interest among major stakeholders, the research process, and what an eventual strategy and implementation plan may contain.

Part C covers the contents of an initial study which would develop the understanding of issues and recommendations affecting rural poverty. Each section of the study is discussed with what it would contain.

Part D shows what the strategy might contain and gives a contents.

Part E looks at specific methodological elements, including the environment, and PRA.

Box A2 Core SL principles

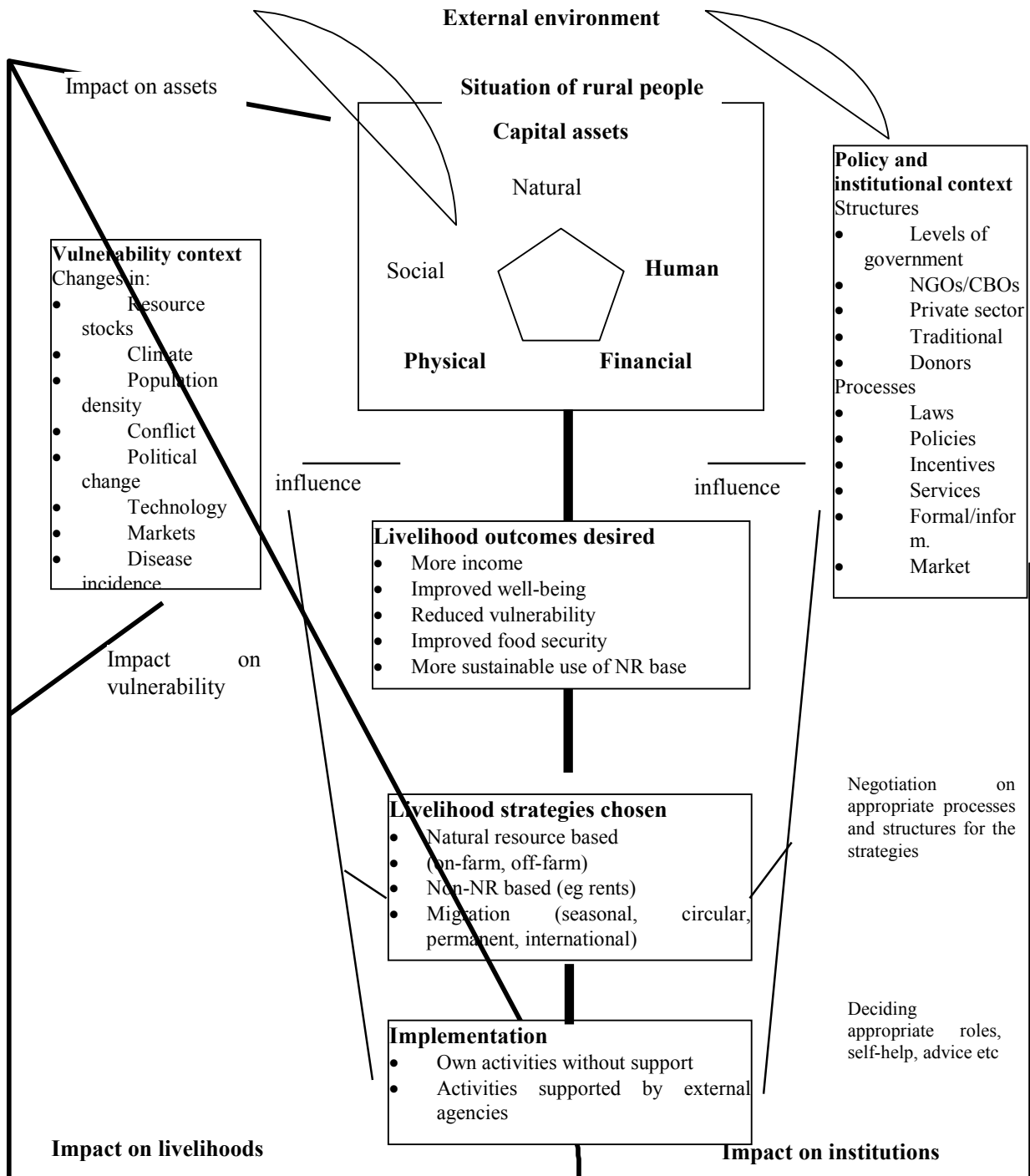
(adapted from Ashley and Carney, (1999) “Sustainable livelihoods: Lessons from Early Experience” and Khanya, ^{es} 2000)

Poverty-focused development activity should be:

- **People-centred:** sustainable poverty elimination will be achieved only if external support understands the differences between various groups of people and works with them in a way that is congruent with their current livelihood strategies, social environments and ability to adapt.
- **Build on positives** – a respectful approach to rural people as people with strengths (assets) and opportunities and not just needs. It is important also in working with institutions to build on positives/strengths.
- **Multi-level and the need to link micro and macro:** the scale of the challenge of poverty elimination is enormous, and can only be achieved by working at multiple levels, ensuring that micro level activity informs the development of policy and an effective enabling environment and that macro and meso level structures and processes support people to build upon their own strengths.
- **Holistic:** It recognises the **holistic** nature of people’s lives, their use of multiple livelihood strategies, and so the need for holistic responses, rather than organisation-driven sectoral approaches
- **Conducted in partnership:** with both the public and the private sector.
- **Sustainable:** there are four key dimensions to sustainability – economic, institutional, social and environmental sustainability. All are important – a balance must be found between them.
- **Dynamic:** external support must recognise the dynamic nature of livelihood strategies, respond flexibly to changes in people’s situation, and develop longer-term commitments of support

¹Note the term micro is used for community level, meso for the level of service delivery (lower meso) or support and supervision of those services (upper meso), with macro level that of central policy-making. See Goldman (2000) for discussion of linking micro and macro.

Figure 1 SUSTAINABLE RURAL LIVELIHOOD FRAMEWORK



B. Methodology

B.1 Overall methodology

The different stages

There are several phases in such a process of developing a poverty eradication strategy using the SLA:

- (1) Developing an interest and commitment to such a strategy
- (2) Organising for a detailed study
- (3) Conducting and writing up the study
- (4) Developing the strategy
- (5) Implementation of the strategy

The process should be such that a move to implementation is foreseen, with the study developing the detailed understanding of the elements required for a strategy.

These guidelines concentrate on providing detailed guidance for stages 1-3, with some guidance on moving towards 4 and 5.

It is based on the following **world-view or values**, which relate closely to the SL approach.

- Focus is on people – people’s participation, and the human development approach to poverty eradication
- The approach presumes linking macro & micro issues to understand and to change policies and processes
- This should be part of a learning process for action and not just an academic exercise
- The approach used builds from what we see (and don’t see) in the reality of rural people’s lives – so the focus of the study is on learning from people on the ground, the micro level, understanding what impacts on their lives from that level, and how successive levels above support (or don’t) the operation at micro level

- Cross-cutting issues such as gender and the environment must be integrated into all other aspects and not seen as separate issues

Approach and methodology

The methodology being advocated in these guidelines uses the SLA itself to guide how the strategy should be developed and information obtained.

Table B1.1 takes the issues developed from the SL principles by Khanya, and shows the key impacts in terms of level of operation, type of organisation, policies and process. These different factors need to be looked at when conducting the SL study.

The practical implications are therefore:

- There needs to be significant commitment from the organisation leading on the work to a poverty focus (not necessarily exclusively), to taking an integrated approach, and a willingness to rethink processes to deliver value (see B.2)
- The partner needs to allocate significant human resources to participate in the study, people with the status to be able to have an impact on the organisation (see B.2)
- An intensive study will be needed of approximately 6-8 weeks (including writing), involving a multidisciplinary team, including people who understand the SLA
- Some consultants experienced in the SLA, programme design/strategy formulation will probably be required to assist with the process
- Sites for the participatory research should ideally be ones where there will be follow-up action so that the community benefit from the results of the research
- Processes need to be set in place for reporting in a multi-sectoral way, as the results will affect many stakeholders and departments. This should include a feedback meeting to validate findings at the end of the field research period

Table B.1 SL related issues and their implications for a poverty eradication strategy/study (adapted from Khanya, 2000)

SL related issue	Implications particularly for			
	Level	Type of organisation	Key policies	Process
Starts with poor people as the focus	Critical level is the village and how served – this needs to be the focus of the strategy/study	Applies to all who impact on poor people	Decentralisation Approach to public sector reform Local economic development Poverty policies	Need to build in bottom-up processes Start with information on clients
Recognises holistic nature of people's lives	Coordination and integrated approaches required at all levels	Applies to all	Decentralisation Coordination Approach to public sector reform	In undertaking the study use holistic livelihoods analysis to understand rural people's situation
Builds on positives and strengths	Critical at micro level to understand situation of rural people, and at meso for understanding how to strengthen service deliverers, and macro in policy	Applies to all. NGOs better at taking this approach as government tends to be paternalistic, but must be mainstreamed	Build responsiveness into policies and processes	In livelihoods analysis at community level identify strengths. Also for institutional analysis
Recognises differences within rural communities		Village/district Centre	Must recognise divergent interests and not assume homogeneity	Analysis must not presume homogenous community but allow for different interest groups and avoid domination
Importance of institutions, structures, processes	Applies throughout – need to understand roles and practice at all levels			
Mainstreaming environment and gender	Applies to all	Applies to all	What key policies are there?	Include env/gender issues in analysis and action for all
Partnership approach	In service delivery at village, district and centre level	Need to include all – study must look at private sector as well as gov, NGO, CBO	All (eg decentralisation, coordination, economic dev.)	Process must bring people in and build commitment, and build on not negate local capacity
Bottom-up (micro) participatory work as well as top-down (macro) strategic	Need all levels to function effectively	Different organisations critical at different levels	All policies need to be based on detailed understanding of micro situation	Process ideally needs to take policy-makers to bottom to learn, and have task/change teams linking top and bottom
Rural and urban areas connected	District level should combine rural/urban	Recognised in the way the different organisations work	Decentralisation Economic development Planning	Need to link rural and urban in development process, eg through decentralised

B.2 Stimulating interest

A discussion on a potential strategy might be initiated by:

- A political or administrative leader with a demand/interest for a poverty strategy
- A donor interested in supporting a poverty strategy, eg as a basis for programming its work
- An NGO wishing to promote a poverty agenda
- Someone within a government department feeling that this might provide a way of planning for their work

The initial champion might stimulate (1) an initial discussion with stakeholders which might see what linkages there could be to on-going development processes.. This might benefit from (2) a presentation on what has happened elsewhere, or (3) copies of reports. If there is interest it may be worth having (4) a workshop on the SL approach and methodology, so that there is a solid grounding for future work.

If there is potential interest, it may well need to be (5) approved by a national or regional body, especially as the work crosses different sectors. This would both sanction the work, decide on proceeding with a poverty strategy, and give approval for cross-sectoral work.

It is important to quickly focus on 1 or 2 key people who can be (6) initial champions, and ideally at least one of whom should be directly involved in the study. The selection of people is discussed in B.3.

If initiated by a government body or NGO, there may well be (7) potential sponsors. Donors particularly interested in an SL approach include DFID, UNDP and FAO.

This stage may well take 3-6 months while potential interest is defined and explored, and then (8) a commitment to move forward is agreed.

B.3 Organising for the study

The previous phase is marked by the commitment to go ahead. Once that decision is made planning for the strategy and study process can begin. Steps include:

- (1) Clarifying requirements. During this phase the exact requirement of the partners should be clarified, in relation to a strategy, implementation plan, and hence the research process required.
- (2) Set up a co-ordination structure, ideally inter-departmental. This could be chaired by someone from the administration, eg a head of department, or senior manager, or a politician. It may also be desirable to set up broader links – i.e. how the partnership team links with a broader forum. In Zimbabwe an existing inter-departmental committee, the Capacity-Building Coordinating Committee, was used to report back to. It did not provide an on-going steering mechanism. In the Free State, a steering group was established but did not meet. The steering group should include those responsible for rural development, planning, and the environment.
- (3) Putting together the consultancy/study team. It is very important that the core team that is constituted for the research/consultancy has the right mix of skills.

The leader should be experienced at leading consultancies and have experience in multi-sectoral work as well as being able to work at micro, meso and macro levels, and be able to appreciate the linkages. The leader should have a mix, or at least a knowledge and understanding of the skills listed below.

There should be a small core team of 3-5 members for efficiency and economy, with additional people drawn in for the PRA work (see E.3). The team should

- Have a knowledge and understanding of the principles underpinning the SL framework.

- They should be interested and committed to eradicating poverty
- Have a knowledge of PRA/ participatory research and development methodologies
- have a general understanding of rural development, and a broad understanding and familiarity with environmental issues
- Have the ability to plan facilitate and write up workshops
- Have a good spread and complementary knowledge and experience of the content areas including social, economics, environment, rural development, institutional, and agriculture
- To ensure ownership, the team should include representatives from national/provincial stakeholders, who participate fully in the study and write part of the final report;
- Include influential people from the host country/province/institution who have contacts and local knowledge for both advocacy as well as to facilitate access
- the team members should have writing skills to be able to contribute to the final report
- Training the team Once the team has been selected, some training should be run. This should cover the SLA and PRA skills, and discuss the process. Develop a clear and shared understanding of ‘environment’ and ‘sustainable development’ among team members, and use this consistently. Environmental awareness training may also be necessary before commencing work.

(1) Selecting a case study. One or two case studies should be selected depending on available time, resources and desired thoroughness. The case studies should meet the following criteria:

- it should show a range of relevant interesting interventions
- it should show a range of livelihoods which are typical of the region/ country
- there should be interest in the issue/research from that district/ province
- there should be a project which is going to happening in that area and for which

the PRA can provide additional momentum and information

• it should be somewhat representative in
Box B3.1 : Ideas regarding the team

- An administrative person could accompany the team to assist with the filing, organisational arrangements, etc
- Masters level students could be used as research assistants
- Experts could be commissioned for inputs or papers on specific topics or areas of interest
- There may be a need for some intensive training of team members especially in the SL approach and PRA
- Additional members could be recruited for specific stages eg a local NGO for the PRA, local facilitators for the workshops, etc.
- The team could include people from all the levels of service provision including micro, meso and macro, either from government, the private sector or NGOs.

village. Each additional case study will add about one week to the work unless it is done in parallel.

(2) Setting up interviews The first interviews aim to provide an overview of services and policies in the region/country. They should be strategically chosen to this end, with those giving the most useful overview first. Normally 1.5 hours should be allowed for the interview, with up to 20 minutes between, so if working hours are 8-5, it is often feasible to have interviews at 8, 10, and 12, 2 and 3.30 or 4, with shorter time slots used for those where less time is needed. It is usually useful for two people to go to each if possible, with the whole team for critical overview meetings. In later meetings after the first week interviews may well be individual, as people pursue particular topics. Interviews at the centre should be organised with at least two weeks notice and prior to arrival of team on site.

(2) Organising for the PRA Once a case study village
Table B.2 Possible schedule based on one case study village

Week/ day	Activity
1/1	Courtesy meetings and initial briefing. Collect documentation
pm	Team meets for planning
1/2	Team training
1/3	Team training
1/4	Planning
1/5	Interviews at centre

linkage to an on-going project clarified, the rough progress of the PRA discussed, and if appropriate the possible inclusion of a community representative in the study agreed. Arrangements should be made for that person to be confirmed, and for an initial community meeting to start the PRA (see E.3).

- (4) Media coverage Once it has been agreed that a poverty strategy is to be developed it may well be appropriate to inform the media, so that clients/citizens are aware of what the region is trying to do.

B.4 Conducting the study/research

The study section of the process is the largest and most important as it is here that the framework is applied in analysing the situation and interpretations made to determine desired strategies and actions. The research section endeavours to understand the situation using the main areas/boxes of the framework and the interactions between and among them.

The study focuses on the rural poor through the use of case studies in order to understand the environment in which they live, their livelihoods and desired outcomes for the future. The other stakeholders and service providers are also analysed in order to determine their current and potential impact. As rural peoples' issues are usually cross-sectoral, service providers are viewed in this light. The operation and impact of the service providers is assessed at a micro, meso and macro level to determine potential places and points in which to intervene.

Components of the study

The study has five parts:

1. The introduction
2. The case study(ies)
3. Sectoral strategies and impacts; and
4. Institutions and micro-macro linkages
5. Way forward

- (1) The Introduction This part introduces the study, outlining the process elements of the research as well as an introduction

to the approaches to rural development in the country/location of the study giving an overview of the policies and institutions. The introduction also gives a detailed view of the case study community(ies) and explores issues as they are experienced at the micro level.

- (2) The Case study(ies) This part is the most important in the document as it gives a picture of the situation in a or many rural settings. It gives an overview of a chosen micro location, including the people, their institutions and how they interact with their environment including their vulnerabilities as well as the policy and institutions which impact upon them directly.

- (3) Sectoral strategies and impacts This part considers the main content areas of peoples livelihoods, based on the five capital assets in the SL framework. In each case it begins with the situation at the micro level and the interactions and linkages with the meso and macro levels. In this way the meso and macro situations are explored and the issues arising are raised

- (4) Institutions and micro-macro linkages This part concentrates on the role played by government in service provision or the creation of an enabling environment for the support of SRLs. Four levels are explored: the people themselves, the lowest level from where government services are coordinated, the regional/provincial level and the centre.

- (5) Way forward This part summarises the process needed to take the study and use it as a basis for developing a Poverty Eradication Strategy. This would serve as the basis of a recommendation to Cabinet/deciding authority to proceed to develop the strategy, and would need to provide the basic information for that decision.

In order to get an understanding of the situation in the area of study, the following questions need to be asked:

- What type of information do we need to complete the picture?
- How and where will we get this information (ie what research methods will we use and what sources will provide the needed information)? and
- Who will be responsible for its collection?

The vertical transect research methodology

This methodology places people and the priorities they define firmly at the centre of the analysis. The research team spends a few days at the centre to get an understanding of the context, an overview of the main policies and programmes, the general dynamics, and the attitudes and understanding of major stakeholders of rural poverty.

The team then moves directly to the community level to understand the reality and the issues of the people on the ground. This involves a week long Participatory Rural Appraisal (PRA) (refer to E3) which familiarises the researchers with the main issues of the case study area as viewed by the people themselves.

The next step is to take this information and issues and to move up through the layers of government service and support as well as the private and NGO sectors, using a combination of workshops, semi-structured interviews and key informants. The research team should workshop internally to clarify preliminary findings and the issues arising.

The team should return to the case study locations for at least a day to validate and triangulate, as well as further explore specific identified issues. The research phase ends with a validation workshop held at the centre (refer E4), followed by writing up the first draft of the report.

Writing the Research Report

Although the approach adopted in this process emphasises that maximum learning take place during the research process, the report remains the most important output and therefore care

should be taken in its writing. Important issues to consider include:

- Agree within the team on the report outline/contents and where the specific emphases should be
- Decide who will take responsibility for what sections/chapters according to peoples particular strengths and skills
- The team should discuss and agree on all findings and recommendations.
- In this process the linkages need to be made explicit and written into the document to illustrate to the reader how the findings were derived
- Local consultants and/or team members from the client organisation should add boxes with examples and interesting snippets from their experience.
- It is important that local people (from the client organisation or local team members) make a contribution to the writing as it brings in an element of triangulation (confirmation) as well as encouraging local partners to get involved and hence take ownership.
- The lead consultancy should take ultimate responsibility for the report and hence the editing responsibility.

B.5 The Strategy

Once the study has identified the key areas where action is needed, and produced a fairly comprehensive report, the steps involved are as shown below. These will need to be facilitated by a core group hopefully continuing from the previous exercise, including those involved in the study.

- (1) Interdepartmental steering committee. This needs to carry on operations steering the process.
- (2) Workshopping the executive summary with Departments, focusing on the main findings. Individual sections should have already been checked by relevant departments during the study process. It is important at this stage to get an agreement to move on and develop the strategy

- (3) Developing the strategy. Clusters of departments need to work on specific elements, to agree on the key priorities, and how these should be implemented in a cross-sectoral way, how they link or need to modify existing who should take responsibility for what. This will develop the strategy from the study.
- (4) Workshopping revised strategy. This revised strategy developed in (2) will need to be workshopped for commitment, to ensure that appropriate linkages are in place, and for implementation mechanisms.
- (5) Maintaining political commitment. It is important to make sure throughout that high-level political commitment is kept on board. Because of the holistic nature of work on poverty, it is very important to have high level support that can cross organisational boundaries.
- (6) Developing budget implications. There are budgetary implications from the work, which may mean:
- Closing some programmes
 - Opening new programmes
 - Revising the way current programmes operate
 - Restructuring the way services/ departments operate to be more effective in meeting the needs of the poor.

These budgetary implications need to be explored, and potential sources of funding identified. These could be:

- Diversion of budgets internally within a department
- Funding from other sources, eg from Provincial government reserves
- Sponsorship, by donors, national government or private sector

While a detailed budget is not required at this stage, a budgetary framework should be provided

- (1) Developing the implementation mechanisms. Some key mechanisms need to be defined in the strategy, which are

those required to enable the process to go forward. More detailed information will be developed for the implementation plan, but key mechanisms need to be defined where approval is required to enable the strategy to move forward. These may include:

- An implementation team to take the strategy forward, with terms of reference (this must also be budgeted for)
- A cross-sectoral steering committee which has adequate political support, which will both steer and ensure coordination (with terms of reference)
- A schedule for implementation
- Monitoring and evaluation mechanisms including indicators and basic systems

- (1) Approval to proceed Once the strategy has been produced it is important to obtain approval at Ministry or Cabinet level for taking it forward, agreeing the implementation mechanisms, and at least a budget for the process elements for taking it forward.

B.6 Implementation plan

Once the strategy has been approved, a team assigned, with an overall plan, the following process is likely to be needed:

- (1) Assembling the team The team will have been approved but individuals will need to be assigned or employed to take on this work. It is essential that these should be full-time, and the team needs to have sufficient status to be influential with departments. This means that the team leader needs to be both well-qualified, dynamic, and of a senior management level. Ultimately the authority must come from Cabinet mandate. Ideally the team would include people who were involved in the study.

- (2) Empowering the team Once the team is assembled there will need to be induction activities including:

- Reading and debating the strategy, and deepening the understanding of SLs, and anti-poverty approaches
 - Revisiting the terms of reference and making any changes if necessary
 - Doing a detailed plan for the next 6 months
 - Both of these would need to be approved by the Steering Group
 - Ensuring the team has a budget with delegated responsibility over that budget, and sufficient other resources to operate effectively (offices, access to vehicles etc).
- (1) Steering Group It is essential that a cross-sectoral steering group continues to operate. This now needs to be linked to mainstream systems, so that there is a reporting mechanism, that links with management mechanisms. The terms of reference may need to be reviewed. The steering group needs to include key
- (2) Identifying priority areas There may still be a need to identify priority areas for initial action. These should include quick win-wins, where maximum impact and publicity can be generated for minimum inputs, which can help to stimulate support for the strategy, linked to advocates of the strategy. They should be confirmed by the steering group so there is wider commitment to the choice.
- (3) Developing activity clusters Based on the priorities, initial implementation should start with small teams pursuing the quick wins, often across organisational boundaries.

C. Sections of the Poverty Study

or the Poverty Study, and then annotated
ons. This is intended to simplify the task in
data collection and in writing, using this guidance on key elements to be included. It is obviously not
all inclusive, but is intended to serve as a guide and to stimulate thought.

The case study(ies) give a glimpse of rural life through the eyes of the people themselves, although
the bulk of the information is discussed and analysed in the following sectoral chapters.

In the Sectoral chapters, the micro situation is key to the chapter. The following analysis (using the
vertical transect logic, B4) and discussion should focus on issues raised at the micro level, and how
this can be seen at meso and macro levels in terms of services and policies.

Livelihoods in the SLA are viewed as being integrated and multi-sectoral, while the services and
support mechanisms developed by governments are usually sectoral. It is very important to look at the
issue from the livelihoods viewpoint, and not be sidetracked by the functional divisions of
government. This results in departmental activities being covered in different chapters, and hence
some overlaps. For example, there are links between the “Jobs and income” and “Conservation and
sustainable utilisation of natural resources” chapters, as income generation from agriculture depends
on sustainable use of natural resources.

C.2 Contents of the Poverty Study

Acknowledgements
Contents
Glossary
Executive summary

Part 1 Introduction

- 1 Introduction
- 2 Evolution of approaches to rural development and poverty eradication in (region/country)
- 3 Reality of poverty in (region/country)
- 4 Sustainable livelihoods as a way of approaching poverty eradication

Part 2 Case study (ies)

- 5 Case studies
 - 5.1 Case study 1
 - 5.2 Case study 2 etc

Part 3 Sectoral strategies and impacts

- 6 Improving jobs and incomes
- 7 Conserving and improving natural resources
- 8 Developing the physical infrastructure
- 9 Building on social networks
- 10 Developing human capacity
- 11 Safeguarding human resources

Part 4 Institutions and micro-macro linkages

- 12 Rural people active and involved in managing their own development (micro)
- 13 Active and responsive network of local service providers (micro)
- 14 Lower meso level (use local term for this) effective and responsive
- 15 Upper meso level (use local term for this) providing supervision and support
- 16 Centre (macro) level providing strategic direction, redistribution, coordination and oversight

17 Role of different organisations

Part 5 Way forward

18 Moving towards the strategy

C3 Cross-cutting issues

The next section looks at specific contents for each section. There are some cross-cutting environmental questions which need to be asked in all the sectoral chapters (6-11) as an environmental filter mechanism to put each recommendation through:

1. Will the recommendation generate more waste and pollution than natural systems can absorb?
2. Will the recommendation promote sustainable and equitable use of renewable natural resources – ie, renewable resources should not be used at a rate faster than they can be replaced, and recommendations should reduce rather than promote inequality with respect to access to resources (ask: will more people be made better off by this)?
3. Will the recommendation keep damage to natural or cultural environments to a minimum, and avoid reducing the quality of life of all stakeholders?
4. Will the recommendation result in foreclosed options for future generations – such as irreversible damage to natural or cultural resources?

Obviously there will be subjectivity in the answers, but they will at least result in consideration of each recommendation made from an environmental perspective.

C.4 Annotated contents**PART 1 BACKGROUND****CHAPTER 1: INTRODUCTION**

Section	Section contents	Sources/ methods
1.1	<u>Rationale for the study</u> Why a poverty eradication strategy is being developed and the study is being conducted Relationship to overall policy in very general terms Who is funding	To be developed
1.2	<u>Objectives of the strategy and study</u>	
1.3	<u>Approach and methodology</u> Summary of vertical transect approach, using SLA in doing the study Use of case study, interviews, workshops etc Make a clear statement upfront in the report (in the 'Background' section) on how the concept of sustainability has been understood and used in the research.	
1.4	<u>Structure of the report</u> Summarise what the different parts of the report are, and give the reader an introduction as to where to find particular elements	Contents

CHAPTER 2 EVOLUTION OF APPROACHES TO RURAL DEVELOPMENT AND POVERTY ERADICATION IN (THE LOCATION)

section	Section contents	Sources/ methods
2	<p>The objective of this section is to provide an overview of policies in the region/country and their evolution, which forms a background to the study. It should not go into great detail, but provides the context against which the reality can be seen, and the changes needed marked. This section in particular is best written by local members of the team who have extensive local knowledge.</p> <p>The exact contents will depend on what is needed to set the scene for the strategy, to explain why policies are the way they are, and why they may need to change. This may require a historical background, plus some policy overview of the last 20 years or so. This sets the scene for the cross-sectoral policies which follow and shows that policies have a history, have evolved for particular reasons, could evolve further and are not immutable. They have responded to specific pressures and drivers, and these can change, eg to emphasise poverty eradication.</p>	Interviews at region/centre. Key policy documents
2.1	<p><u>Background to the region</u> Provide some sort of background to the region. Provide a summary of the structure of government, roles of centre, province, district etc, issues of coordination etc, and perhaps a summary of budgetary allocations by sector.</p> <p>The rest of this chapter covers some cross-cutting policies which provide a background to the study. Sectoral policies will be covered in the sectoral chapters from 4 onwards.</p>	
2.2	<p><u>Macro-economic policy</u> How has macro-economic policy evolved over the last twenty years, or since independence.</p> <p>What have been the intentions behind the policy, eg for addressing poverty? Is there a policy on local economic development? Does it conflict with macro-economic policy? What are the gross changes that have happened, eg in GNP/capita, major changes in the economy, eg primary to secondary industry, unemployment</p>	Secondary data, key white papers and policy documents Interviews with key macro-level stakeholders
2.3	<p><u>Rural development</u> How are rural and urban differentiated? How has rural development been tackled? Is there a rural development policy, or is rural development seen only through the agriculture lens? What priority/power has rural development had in policy making</p>	As above
2.4	<p><u>Poverty</u> Are there national definitions of poverty? Are there specific poverty policies? Are these purely alleviation, as in safety nets from structural</p>	

	adjustment policies, or are there specific policies for redistribution, as in land reform, or redistributive taxation How effective have these been?	
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section	Section contents	Sources/ methods
2.5	<u>Policies on restructuring of government – role of local government</u> What is the role of local government? What powers do they have? Is there a decentralisation programme and if so what is happening? Is it linked with a concept of local economic development? Is there any evidence of decentralisation improving service delivery at macro-level? (The study will look into this)	As above
2.6	<u>Policies on restructuring of government – public sector reform</u> What programmes are there? What approach is being taken – efficiency or effectiveness-driven, strong client focus, relationship with non-government sectors etc? How are these programmes affecting service delivery? (note the study will provide some detailed evidence on this)	As above
2.7	<u>Gender</u> How is gender understood in the country? Are there gender policies in place? If so what are they, and have they had any impact?	As above
2.8	<u>Environment and sustainable development</u> How is environment understood? How is sustainable development understood? Is it seen to cover brown as well as green issues? How is this enacted and what influence is this having?	

CHAPTER 3: REALITY OF POVERTY IN (REGION/COUNTRY)

section	Section contents	Sources/ methods
3	If the region being studied is not a whole country, then the first section could summarise the poverty situation nationally	Poverty studies
3.1	<p><u>The situation of poverty in (country)</u></p> <p>This section should aim to give an overall picture of the poverty situation, which can then be contrasted with the regional picture in the next section. Key statistics should be quoted which provide a holistic picture of the poverty situation, using human development indicators as well as income figures. They should also distinguish rural and urban situations. Examples of key statistics are shown from the Eastern Cape⁵. It may also be useful to compare poor and non-poor households eg below, also drawn from the Eastern Cape.</p>	

Occurrence of poverty by some form of social class (in this case race)

Proportion of population with	African/ black	Coloured	Indian/ Asian	White
School leaving certificate or above	15.1	16.6	40.4	64.8
Unemployed	23.4	13.6	7.1	3.1
Not economically active	45.1	35.2	41.6	33.4
Living in informal dwelling	21	7.7	7.6	0.1
Using unprotected water source	16.7	1.6	0.2	0.2
Bucket latrine/no toilet facilities	22	12.2	0.2	0.1

Access to basic services

Service	Rural (%)	Urban (%)
Running water inside dwelling	16.8	74.1
Flush toilet indoors	10.9	65.5
Electricity in house	21.1	82.4
Telephone in dwelling/cellular	7.5	48.4

Item	Ultra-Poor	Poor	Non-poor
Incidence of mental disability	8.3	6.5	2.5
Stunted children	37.6	31.2	18.5
Contribution of wages to income	43		72
Contribution of state transfers to income	26		3
Contribution of remittances to income	17		2
Piped water	19.9	28.4	80

⁵from Khanya (1999c)

section	Comparisons of household expenditure				Sources/ methods
3.2	% of household expenditure	Bottom 20%	Bottom 40%	Top 10%	Poverty studies National statistics
	Food	59.2	57.6	14.9	
	Energy water and rates	11.0	12.6	6.3	
	Education	2.9	3.1	7.6	
	<p><u>The situation of poverty in (region)</u></p> <p>This section should aim to contrast the overall picture with the regional picture. Once again key statistics should be quoted which provide a holistic picture of the poverty situation, using human development indicators as well as income figures, and where possible distinguishing rural and urban situations.</p> <p>Examples of key statistics are shown from the Free State⁶ see below:</p> <p>Other useful statistics are the regional Human Development Indices if available.</p>				

Comparisons in livelihoods between provinces (drawn from 1996 census unless mentioned)

Factor	% in Free State	“Best” province		“Worst” province	
		Name	%	Name	%
Poverty rates ¹	63.4	Gauteng	17.3	E Cape	70.7
% of population aged 20+ with no education	16.1	W Cape	6.7	N Province	36.9
Unemployment rates (Oct, 1996)	30.0	W Cape	17.9	E Cape	48.5
% of employed people earning <R500 per month (Oct, 1996)	37.9	Gauteng	15.5	N Cape	42.0
% earning >R4500 per month	6.8	Gauteng	15.6	North West	5.7
Employed in agriculture, hunting, forestry and fishing	14.6	Gauteng	1.4	N Cape	22.6
% with piped water on site/yard/dwelling	70	W Cape	89	E Cape	34.9
% of households without toilet	8.8	Gauteng	2.5	E Cape	29.1

⁶from Khanya (1999a)

CHAPTER 4: SUSTAINABLE LIVELIHOODS AS A WAY OF APPROACHING POVERTY ERADICATION

Section	Section contents	Sources/ methods
4	This section needs to explain the SL Approach for those not familiar with it, and show how it influences the way that poverty eradication would be approached. The emphasis should be on the principles, and how they relate to government policy, as well as providing an introduction to the framework, which will be used to provide the analytical structure.	
4.1	<p><u>The SL Approach</u></p> <p>This section should explain the basic concepts of the SL Approach, the concepts of assets, vulnerabilities, outcomes, strategies, influence of structures and processes. It should explain the key principles, and the framework</p>	Eg Carney, Ashley and Carney or the Khanya papers. See section A.2 of the guidelines
4.2	<p><u>The implications of using the approach</u></p> <p>This needs to indicate what are the implications of using the approach and the principles which underly it, particularly in terms of the way the strategy would be implemented, as well as some elements of the content.</p>	Develop, as in the Khanya papers. See section A.2 of the guideline.

PART 2: CASE STUDY(IES)

CHAPTER 5: CASE STUDY – RURAL LIVELIHOODS IN THE CHOSEN LOCATION

section	Section contents	Sources/ methods
5	<p>This chapter is very important in the document as it gives an overview of a chosen micro location(s), including the people, their assets, livelihoods, vulnerabilities, institutions and how they interact with their environment including the policy and institutions which impact upon them directly.</p> <p>The objectives of the case study chapter is to give the reader a glimpse of life in the chosen location(s) and the major issues and problems as expressed by the people themselves. This has the limitations of the case study/PRA approach, but uses triangulation with service providers and secondary data to extrapolate findings</p>	<p>PRA. Portray the micro-location through the eyes of the people.</p> <p>A write-up of the PRA exercise using the SRL framework categories.</p>
5.1	<p><u>Introduction</u></p> <p>The introduction should give a general description of the case study area including the general features, location, background statistics, the general environment and a picture/photograph or map of the area. Consider the ‘ecological footprint’– the surrounding area from which urban areas draw resources.</p>	<p>Secondary information and PRA</p>
5.2	<p><u>Background and history</u></p> <p>The timeline should appear in full in the case study and general comments should be made on it highlighting the major events (especially policy) and the resultant impact on the people. Specific sectoral issues should be extracted for the relevant chapters. Consider the link between past policies and resource degradation.</p>	<p>Timeline and time trends</p>
5.3	<p><u>A picture of the people</u></p> <p>This section should give the reader an idea of the people and their livelihoods. This should cover:</p> <ul style="list-style-type: none"> • different typologies of people (as identified by themselves) • their assets (5 areas) • the livelihood strategies adopted • the projects and programmes (including successes) • the organisations to which the people belong • their aspirations and • systems of governance. <p>Other striking or interesting elements could also be added, although the detail should be added to the sectoral chapters where relevant. These may be condensed stories and snippets from local people which give the mood and flavour of the area.</p>	<p>PRA exercises/ summary of livelihoods exercises</p>
5.4	<p><u>The environment and vulnerabilities</u></p> <p>A picture of the environment should be painted to include the major issues (physical), and also the vulnerabilities.</p>	<p>Summary of issues from the</p>

section	Section contents	Sources/ methods
5.5	<u>Institutions and service provision</u> These include only those organisations that interact directly with the community. What areas do they cover? What are the gaps and what services are required	Venn diagram, interviews with key informants and focus group discussions
5.6	<u>Issues emerging</u> Write up the main issues under each of the above headings that have emerged. Develop a summary picture of the community.	Use the SL framework

PART 3: SECTORAL STRATEGIES AND IMPACTS

CHAPTER 6: IMPROVING JOBS AND INCOMES

section	Chapter contents	Sources/ methods																																																											
6	<p>This chapter focuses on people's financial assets and so economic aspects of people's livelihoods. It considers how people generate income through working, as well as how people busy themselves in order to survive, as well as other sources of income such as social grants and remittances.</p>																																																												
6.1	<p><u>Introduction</u></p> <p>Give a brief overview of what economic activities rural people in the chosen location are involved in. Unpaid, reproductive and unrecognised work often done by women and children needs to be recognised. Indicate some of the trends and pivotal incidents in the past which have had an influence, such as land reform, liberalisation, etc.</p>																																																												
6.2	<p><u>The importance of jobs and incomes to livelihoods</u></p> <p>In modern economies, this is the most important aspect of livelihoods, and one in which people and households engage in for most of their time. Mention here what the major economic activity for rural people is. For rural people agriculture is usually important, but may also include wildlife, tourism, mining, etc, and money may reach the household via salaries, pensions, remittances etc.</p> <p>If figures are available provide some consumption statistics, to see where income is being spent (and so for example whether consumption on food can be replaced by increasing food production for the household)</p> <p>Table 6.1 Average monthly expenditure by household per item in Tshiame, Free State</p> <table border="1"> <thead> <tr> <th rowspan="2">Item</th> <th colspan="2">Average monthly expenditure of all households</th> <th colspan="2">Average monthly expenditure for those who spend money on item</th> </tr> <tr> <th>Rand per month</th> <th>%</th> <th>% of people spending on item</th> <th>Average Monthly Expenditure</th> </tr> </thead> <tbody> <tr> <td>Food</td> <td>233</td> <td>21</td> <td>79</td> <td>287</td> </tr> <tr> <td>Furniture etc</td> <td>108</td> <td>10</td> <td>36</td> <td>292</td> </tr> <tr> <td>Clothing</td> <td>82</td> <td>7</td> <td>39</td> <td>205</td> </tr> <tr> <td>Transport</td> <td>88</td> <td>8</td> <td>67</td> <td>128</td> </tr> <tr> <td>Insurance</td> <td>84</td> <td>8</td> <td>26</td> <td>313</td> </tr> <tr> <td>Housing</td> <td>124</td> <td>11</td> <td>34</td> <td>352</td> </tr> <tr> <td>Rates and taxes</td> <td>65</td> <td>6</td> <td>36</td> <td>177</td> </tr> <tr> <td>Education</td> <td>72</td> <td>7</td> <td>47</td> <td>150</td> </tr> <tr> <td>Savings</td> <td>76</td> <td>7</td> <td>23</td> <td>321</td> </tr> <tr> <td>Total</td> <td>1109</td> <td>100</td> <td></td> <td></td> </tr> </tbody> </table>	Item	Average monthly expenditure of all households		Average monthly expenditure for those who spend money on item		Rand per month	%	% of people spending on item	Average Monthly Expenditure	Food	233	21	79	287	Furniture etc	108	10	36	292	Clothing	82	7	39	205	Transport	88	8	67	128	Insurance	84	8	26	313	Housing	124	11	34	352	Rates and taxes	65	6	36	177	Education	72	7	47	150	Savings	76	7	23	321	Total	1109	100			
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section	Chapter contents	Sources/ methods
6.3	<p><u>The situation and impact at the local level</u> The case study(ies) identified the main livelihoods that rural people are engaged in. Here we consider the economic aspects of those livelihoods in the case study.</p> <p>What are the economic activities of people in the community. These may include:</p> <ul style="list-style-type: none"> • Agricultural producers, for income and subsistence • Traders and shopkeepers • Tourism industry • Farmworkers • People doing odd jobs in the community • Migrant workers (remittances) • Trades and crafts people • Small scale miners • Pensioners/welfare grant recipients, etc <p>Consider how money flows in rural areas. How much is there? What is it used for? Are there any statistics available? What indigenous financial services exist?</p>	<p>PRA</p> <p>Community meeting</p>
6.4	<p><u>The situation at the meso level (province/region)</u> Give an indication as to the wealth of the province/region. What are the major activities/livelihoods, and what are the trends in terms of micro-economic activity. Provide statistics on employment by industrial category, differentiated rural/urban if possible.</p>	<p>Meso-interviews</p> <p>Central statistics</p>
6.5	<p><u>The policy environment and programmes</u> This section covers the range of policies and programmes that will assist in the development of rural economic activity. What macro economic policy is in place. What about Structural Adjustment Programmes, world Bank IMF interventions? What is the role of the Private Sector. What resources are invested in local economic development?</p>	<p>interviews</p>
6.6	<p><u>Meso and local services</u> What particular services are related to income generation, and who provides them. Differentiate services for:</p> <ul style="list-style-type: none"> • Employment generation • Self-employment • Income generation by groups • Subsistence production • Social payments <p>You may want to do a table which summarises the providers and what services they provide to support businesses and so highlight gaps.</p> <p>What commercial services are being provided which are important for businesses eg Post Office, vendors of agricultural requisites or</p>	<p>PRAs, the Venn diagram, interviews, secondary data</p>

	<p>construction materials? How do these services relate to the reality of the case study and what does this suggest are the constraints in service provision?</p>	
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section	Chapter contents	Sources/ methods
6.7	<p><u>Issues arising and recommendations</u></p> <p>Include issues in addressing the different forms of income generation shown in 6.6 and recommendations as to what needs to be done to impact on people's livelihoods and provide them with jobs and/or incomes. These may include:</p> <ul style="list-style-type: none"> • The macro economic situation and the impact of globalisation, liberalisation, and Structural Adjustment Programmes • Micro economic activities • Entrepreneurial culture, enabling environment and government support (business advice, credit) and training • Agriculture – traditional systems, land reform, availability of inputs and information, service and support. • How is the private sector involved 	Central validation workshop

CHAPTER 7: CONSERVATION & THE SUSTAINABLE UTILISATION OF NATURAL RESOURCES

Section	Section contents	Sources/ methods
7	<p>This chapter deals with the four main natural resources namely land, irrigation water, forestry and wildlife. It discusses the poverty situation in relation to the manner in which natural resources such as land, water, forestry and wildlife are managed, the people's access to such resources and the impact they have on the lives of the poor. Critical issues to be investigated include the current situation, potential impact on livelihoods, ownership, approach to natural-resource linked programmes from a wide range of service providers, as well as sustainability. While there is a strong link in the utilisation of such resources, each of them (land, water, forestry and wildlife) should be discussed and treated separately in the chapter. Examples are given of the treatment for one of the resources, and the same set of sections should be covered for each.</p>	
7.1	<p><u>Introduction</u></p> <p>This section provides a brief introduction, highlighting issues of land ownership, availability of irrigation water and schemes, natural forests and plantations and availability(or potential) of wildlife. Include statistics showing access or lack of, as well as putting into context the magnitude of poverty of the rural poor and how their livelihoods may or may not be significantly natural-resource based. The section is short and avoids repetition of issues already covered in the main introduction at the beginning of the report itself. Important statistics from national or regional sources may be sited.</p>	<p>National laws, Acts, policy papers, regional sources, interviews</p>
7.2	<p><u>The importance of access to natural resources to livelihoods</u></p> <p>This section considers the importance of access, ownership and sustainable utilisation of the resources to livelihoods. Land is especially a highly political issue and sensitive in rural areas as often the livelihoods of the rural poor are natural resource-based.</p> <p>As government has been the traditional custodian of land, forestry and wildlife, there are often conflicts between government and poor people who have limited access to resources</p> <p>The chapter should then be split into the various resources to be dealt with (eg. Water, land, forestry and wildlife)</p>	<p>State of the Environment Report,</p>
7.3	<p><u>Land</u></p>	
7.3.1	<p><i>The situation and impact at the local level</i></p> <ul style="list-style-type: none"> • Narrate briefly under each policy/law stated in section 9.2 above, what impact such a policy/law had on livelihoods. • Important social groups regarding the use of natural resources in the community must be identified and interviewed. Check on assets, emphasizing land ownership, hectareage owned, who owns most of the land? Men or women? What about single women? • Provide sufficient NR detail for the case study, and specifically investigate community-level organisations / institutions for NRM. Use different tools such as maps, diagrams, and photos. 	<p>PRAs</p> <p>Interview government at the centre, meso and local levels</p>

Section	Section contents	Sources/ methods
	Ask questions such as: <ul style="list-style-type: none"> ➤ Do you receive any support or assistance from government departments or NGOs?" How often do they visit the community? ➤ What is the access to land, tenure systems? Who allocates land? ➤ Is there a rental market? ➤ What is land quality and how has it changed? 	Transect walks, mapping to show location of resources and changes that have happened.
7.3.2	<i>The situation at the meso level (province/region)</i> What are the broader statistics about access to land in the region to provide a context to the local picture.	Secondary data
7.3.3	<i>The policy environment and programmes</i> Elaborate on key policies facilitating or hampering access to natural resources, especially by the poor communities. It is important to show fundamental policies which have shaped the current land ownership. For example, construct a timeline of key land policies and legislation against the aim of such proclamations for the country or region.	regional/ national Interviews, Acts, Green Papers etc
7.3.4	<i>Meso and local services</i> Construct a table depicting type of services and who is providing them, beneficiaries, and if possible statistics showing how many communities/people have been supported to-date. What services are provided in relation to land in the <u>case study area</u> and how were they perceived by the community? What services are supposedly provided in the <u>district/region</u> and who are the target groups? Are there synergies and linkages of their services? What difficulties are faced by personnel at this level. Find our staff numbers, qualifications, training received and needed, and support received from provincial and/or the centre.	Venn diagram, Secondary data PRA, interviews,
7.3.5	<i>Issues arising and recommendations</i> <ul style="list-style-type: none"> • What are critical issues for communities which are not being addressed adequately • Why is this, and what needs to be done to change or strengthen it? • Issues can be listed individually in a very clear and concise manner. • Remember to apply the environmental questions shown in C4. • Show that environmental issues are economic issues. Look for real examples of increased development/remediation costs of unsustainable development. • Identify the best practical option for environmental service providers at local level – this may be environmental health staff, agricultural extension staff or other community development workers. • Look out for gaps. Common ones are waste management, waste water management, stormwater management. The ideal is integrated services provision. 	Various sources to identify. Validated at centre/macro workshop

7.4	Repeat for irrigation water	
7.5	Repeat for forestry	
7.6	Repeat for wildlife	
7.7	Integrate in a view of natural resource management in a holistic way and the issues.	

CHAPTER 8: DEVELOPING THE PHYSICAL INFRASTRUCTURE

Section	Section contents	Sources/ methods
8	<p>“Infrastructure” involves the following issue areas, primarily addressing bulk infrastructure:</p> <ul style="list-style-type: none"> • Water for household use (irrigation is covered in section 7) • Sanitation/sewerage • Electricity and other forms of energy (paraffin, coal) • Roads • Telephones • Public works, e.g. dams, bridges • Agricultural infrastructure, e.g. dips, pens, fencing. • Social infrastructure • Housing. <p>Some of these contribute to other assets, eg water and sewerage contributes to improved health, and roads are critical for developing businesses and so there are links across chapters. The team will have to decide the “boundaries” of this chapter.</p>	
8.1	<p><u>Introduction</u> Define the boundaries of the chapter and what is covered here and what elsewhere.</p>	
8.2	<p><u>The importance of physical infrastructure for livelihoods</u> Infrastructure is of great importance to rural livelihoods as it provides an enabling environment for economic activity, but also social services (education, health and social services). Its importance is often highlighted by the lack of infrastructure, which is often an issue in rural areas</p> <p>A decision needs to be made as to whether to break up the chapter by type of infrastructure, or keep them integrated. The presentation below shows them integrated, but the former may be preferable.</p>	
8.3	<p><u>The situation and impact at the local level</u></p>	PRA
8.3.1	<p><i>Background/history</i> Ask when did your town/community/village get electricity? Telephones? Can you remember when somebody last fixed the roads? When were your boreholes drilled? Have you had a housing project?</p>	Timeline and timetrends
8.3.2	<p><i>Relationship of infrastructural issues to production</i> What is the importance for example of:</p> <ul style="list-style-type: none"> • Water for irrigation/stock, rainwater harvesting (roof tanks) • Electricity for equipment (e.g. baking, sewing machines) • Roads for transport of goods • Post Office for access to money and post 	Focus group discussion with business people (including farmers)

	<ul style="list-style-type: none">• Telephones• Public works – e.g. sewerage outfall dams for recycling water on agricultural plots• Agricultural infrastructure – fences, pens, dips.	
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8.3.3	<p><i>Environment related infrastructure relating to vulnerabilities</i></p> <p>What can you say about:</p> <ul style="list-style-type: none"> • Water infrastructure – conservation mechanisms such as roof tanks • Sanitation – VIP toilets or alternative sanitation methods (e.g. Urine Diversion systems, which allow for recycling) • Storm water drainage and relationship to flood control and housing • Electricity – check air pollution due to coal use <p>An example from Zimbabwe is shown below of collated figures for the district.</p> <p>Public infrastructure in Mberengwa¹, Zimbabwe</p> <table border="1"> <thead> <tr> <th>Infrastruc ture</th> <th>Unit</th> <th>No</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td rowspan="4">DDF Roads</td> <td>15 primary roads</td> <td>439 km</td> <td rowspan="4">Basic network OK but limited tar road and feeder roads</td> </tr> <tr> <td>15 secondary roads</td> <td>294 km</td> </tr> <tr> <td>16 tertiary roads</td> <td>165 km</td> </tr> <tr> <td>Resettlement area</td> <td>89 km</td> </tr> <tr> <td>Road transport</td> <td>Bus routes</td> <td>14, covered by 15 operators</td> <td>Demand greater than supply</td> </tr> <tr> <td rowspan="4">Livestock facilities</td> <td>Cattle sale pens</td> <td>5</td> <td></td> </tr> <tr> <td>Dip tanks</td> <td>54</td> <td></td> </tr> <tr> <td>Animal health management centres</td> <td>7</td> <td></td> </tr> <tr> <td>Grazing schemes</td> <td>17</td> <td></td> </tr> <tr> <td>Electricity</td> <td>Main lines</td> <td>4 cross district</td> <td>12 secondary schools electrified</td> </tr> <tr> <td>Grain depot</td> <td>Depot</td> <td>Mataga</td> <td>Lack of storage facilities</td> </tr> <tr> <td>Post offices</td> <td></td> <td>3</td> <td></td> </tr> <tr> <td rowspan="3">Health facilities</td> <td>Hospitals</td> <td>5</td> <td>3 mission, 2 government</td> </tr> <tr> <td>Health centres</td> <td>13</td> <td>7 government, 6 RDC</td> </tr> <tr> <td>Clinics</td> <td>12</td> <td>RDC</td> </tr> <tr> <td rowspan="2">Education</td> <td>Secondary schools</td> <td>40</td> <td>4 LWF, 35 RDC, 1 gov</td> </tr> <tr> <td>Primary schools</td> <td>105</td> <td>2 LWF, 102 RDC, 1 mine</td> </tr> <tr> <td></td> <td></td> <td></td> <td>Good coverage, but some structures old, shortage of sanitation, shortage of accommodation for teachers</td> </tr> <tr> <td rowspan="2">Water¹</td> <td>Piped water schemes</td> <td>5 plus mines</td> <td></td> </tr> <tr> <td>Dams</td> <td>138</td> <td>30 operating –</td> </tr> </tbody> </table>	Infrastruc ture	Unit	No	Comments	DDF Roads	15 primary roads	439 km	Basic network OK but limited tar road and feeder roads	15 secondary roads	294 km	16 tertiary roads	165 km	Resettlement area	89 km	Road transport	Bus routes	14, covered by 15 operators	Demand greater than supply	Livestock facilities	Cattle sale pens	5		Dip tanks	54		Animal health management centres	7		Grazing schemes	17		Electricity	Main lines	4 cross district	12 secondary schools electrified	Grain depot	Depot	Mataga	Lack of storage facilities	Post offices		3		Health facilities	Hospitals	5	3 mission, 2 government	Health centres	13	7 government, 6 RDC	Clinics	12	RDC	Education	Secondary schools	40	4 LWF, 35 RDC, 1 gov	Primary schools	105	2 LWF, 102 RDC, 1 mine				Good coverage, but some structures old, shortage of sanitation, shortage of accommodation for teachers	Water ¹	Piped water schemes	5 plus mines		Dams	138	30 operating –	Aggregated information from SL analysis exercises
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8.4	<p><u>The situation at the meso level</u> Get statistics on access to infrastructure and the state of infrastructure by type of infrastructure. Some examples are given below from Zimbabwe.</p> <p>Access to different public service facilities in Zimbabwe and Midlands Province</p> <table border="1"> <thead> <tr> <th rowspan="3">Infrastruc ture</th> <th colspan="4">% of communities</th> </tr> <tr> <th colspan="2">National</th> <th colspan="2">Midlands</th> </tr> <tr> <th><5km</th> <th>5-9km</th> <th><5km</th> <th>5-9km</th> </tr> </thead> <tbody> <tr> <td>Dip tank</td> <td>54.5</td> <td>24.4</td> <td>37.5</td> <td>26.8</td> </tr> <tr> <td>Vet service</td> <td>29.9</td> <td>15.9</td> <td>16.2</td> <td>12.6</td> </tr> <tr> <td>Clinic</td> <td>50.1</td> <td>21.4</td> <td>44.3</td> <td>24.3</td> </tr> </tbody> </table> <p>Ownership of private infrastructure and equipment in Zimbabwe</p> <table border="1"> <thead> <tr> <th rowspan="3">Infrastructure/equipm ent</th> <th colspan="4">% of households in category with</th> </tr> <tr> <th colspan="2">Non-poor</th> <th colspan="2">All poverty categories</th> </tr> <tr> <th>Rural</th> <th>Urban</th> <th>Rural</th> <th>Urban</th> </tr> </thead> <tbody> <tr> <td>Piped water in house/communal</td> <td>81</td> <td>99</td> <td>38</td> <td>96</td> </tr> <tr> <td>No toilet/latrine</td> <td>23</td> <td>1</td> <td>44</td> <td>2</td> </tr> <tr> <td>Electricity main source of lighting</td> <td>14</td> <td>78</td> <td>5</td> <td>73</td> </tr> </tbody> </table>	Infrastruc ture	% of communities				National		Midlands		<5km	5-9km	<5km	5-9km	Dip tank	54.5	24.4	37.5	26.8	Vet service	29.9	15.9	16.2	12.6	Clinic	50.1	21.4	44.3	24.3	Infrastructure/equipm ent	% of households in category with				Non-poor		All poverty categories		Rural	Urban	Rural	Urban	Piped water in house/communal	81	99	38	96	No toilet/latrine	23	1	44	2	Electricity main source of lighting	14	78	5	73	<p>Interviews at the meso level. Secondary Documents</p> <p>Poverty studies</p>
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8.5	<p><u>The policy environment and programmes</u> The interviews at this level have several main aims:</p> <ol style="list-style-type: none"> 1. What are their policy priorities? Who do they regard as their main client sectors? So they see a clear link with livelihoods, or is it “infrastructure for its own sake”? Have they done any needs assessments? 2. What other programmes do they have? This would alert the researcher about what is likely to happen at local level in future. How do they intend implementing these programmes? How will such programmes interface with what is already being done in communities? 3. Will some programmes be scaled down? What will be the implications for current projects in the communities? 4. Who do they see as their main delivery agents? Eg local government, NGOs, SMMEs. 5. How do they link with other departments’ programmes? 6. How do they explain/justify actions at the community level? This is primarily drawn from the PRA and local service provider interviews. 	<p>Interviews at region/centre, Acts, Green Papers etc</p>																																																								

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8.6	<p><u>Meso and local services</u></p> <p>Construct a table depicting type of services and who is providing them, beneficiaries, and if possible statistics showing how many communities/people have been supported to-date.</p> <p>What services are provided in relation to infrastructure in the <u>case study area</u> and how were they perceived by the community?</p> <p>What services are supposedly provided in the <u>district/region</u> and who are the target groups?</p> <p>What is happening in relation to maintenance?</p> <p>Are there synergies and linkages of their services?</p> <p>What difficulties are faced by personnel at this level. Find out staff numbers, qualifications, training received and needed, and support received from provincial and/or the centre.</p> <p>The table below shows an example from Zimbabwe which is generic but a similar table could be done for the specific district and case study locality.</p> <p>Responsibility for infrastructure in rural districts, Zimbabwe</p> <table border="1" data-bbox="342 930 1133 1528"> <thead> <tr> <th rowspan="2">Service</th> <th colspan="3">Responsibility for</th> </tr> <tr> <th>Construction</th> <th>Operation</th> <th>Maintenance</th> </tr> </thead> <tbody> <tr> <td>Boreholes</td> <td>DDF/MRR/NGOs</td> <td></td> <td>Was DDF/RDC/NGO, then pump minders, now being handed over to communities</td> </tr> <tr> <td>Piped water schemes</td> <td>DDF/RDC</td> <td>Rural District Council (RDC)</td> <td>DDF/RDC</td> </tr> <tr> <td>Schools</td> <td>RDC</td> <td></td> <td>Community/RDC</td> </tr> <tr> <td>Clinics</td> <td>GoZ/RDCs</td> <td></td> <td>RDCs and community</td> </tr> <tr> <td>Dip tanks</td> <td>Vet Dept</td> <td>Vet Dept, farmers contribute for dip</td> <td>Livestock development trust</td> </tr> <tr> <td>Roads</td> <td>DDF/State Roads/RDC</td> <td>Not applicable</td> <td>DDF/State Roads/RDC</td> </tr> <tr> <td>District hospitals</td> <td>Gov of Zim (GOZ)</td> <td>GoZ/RDCs</td> <td>GoZ but to be decentralised</td> </tr> <tr> <td>Government housing</td> <td>Min of Local Government (MLGNH)</td> <td></td> <td>MLGNH and sector ministries</td> </tr> <tr> <td>Government offices</td> <td>MLGNH</td> <td></td> <td>MLGNH</td> </tr> </tbody> </table> <p><i>Local delivery agents on specific issues include:</i></p> <p><i>Water for household use</i> – who is responsible. What projects have they initiated or administered? Funded by whom? Are people expected to pay, or are they subsidised? If so, from where? (e.g. Equitable Share revenue, cross-subsidisation from wealthy consumers). What tariffs apply to water? Are there step tariffs to discourage water wastage?</p> <p><i>Sanitation/sewerage</i> – who is responsible. What is their policy regarding waterborne sewerage vs other forms of sanitation? Are water levels are constraint? Is waterborne sewerage affordable by poor households? Are oxidation dams used for re-use of water for community agriculture?</p>	Service	Responsibility for			Construction	Operation	Maintenance	Boreholes	DDF/MRR/NGOs		Was DDF/RDC/NGO, then pump minders, now being handed over to communities	Piped water schemes	DDF/RDC	Rural District Council (RDC)	DDF/RDC	Schools	RDC		Community/RDC	Clinics	GoZ/RDCs		RDCs and community	Dip tanks	Vet Dept	Vet Dept, farmers contribute for dip	Livestock development trust	Roads	DDF/State Roads/RDC	Not applicable	DDF/State Roads/RDC	District hospitals	Gov of Zim (GOZ)	GoZ/RDCs	GoZ but to be decentralised	Government housing	Min of Local Government (MLGNH)		MLGNH and sector ministries	Government offices	MLGNH		MLGNH	interviews Venn diagram, local service providers' workshop
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8.7	<p><i>Roads</i> – what happens about street maintenance and rural roads and access roads to farms: How is road maintenance funded? Are there budget shortfalls? Can donors be accessed? If road projects have been implemented, have they been labour-intensive?</p> <p><i>Public works, e.g. dams, bridges, sewerage works.</i> What projects have been applied for from government and other sources.</p> <p><i>Agricultural infrastructure, e.g. dips, pens, fencing</i></p> <p><i>Housing.</i> What government and donor sponsored projects are there, how many houses were built, by whom they were constructed (consulting engineers, building contractors, emergent contractors), whether building standards were satisfactory.</p> <p>Some very important issues are: Was training provided to local builders and labourers? Were people satisfied with the design of the houses? Was there any degree of choice in house design? Did the local council consider “alternative” housing methods, e.g. using the subsidies to purchase materials and then setting up a Housing Support Centre, so that local people could build their own houses?</p> <p><u>Issues arising and recommendations</u></p> <ul style="list-style-type: none"> • What are critical issues for communities which are not being addressed adequately • Why are they not being addressed adequately and what needs to be done to change this, or strengthen it? • Issues can be listed individually in a very clear and concise manner. • Remember to apply the environmental questions shown in C4. 	<p>Speak to local government</p> <p>As above</p> <p>Ag Extension Officer. Check local government</p>

CHAPTER 9: BUILDING ON SOCIAL NETWORKS AND CULTURE

Section	Section contents	Sources/ methods
9	This chapter discusses the social environment which includes the social fabric of society, the networks and connectedness, membership of formalised groups, relationships of trust, reciprocity and exchanges that facilitate cooperation and may provide informal safety nets for the poor.	
9.1	<p><u>Introduction</u></p> <p>In the introduction one should mention about how strong the culture is, and hence the social networks. Is the rural society closed, traditional and isolated, what are the urban-rural linkages, are people moving freely between them.</p>	Secondary information
9.2	<p><u>The importance of social networks to livelihoods</u></p> <p>Building on the introduction, comments should be made on how important social and cultural capital is for livelihoods in rural areas. This is often an area that is taken for granted, especially from a more western perspective, and is often a very important element of rural existence especially among poor rural people. If development is to be directed and driven by people then this is the most important area to consider before intervening.</p>	Overall findings and recomms
9.3	<p><u>The situation and impact at the local level</u></p> <p><i>History/background</i></p> <p>Note changes in culture, modernisation, rural urban relationships. What were the pivotal incidents, for example a revolution, election of new ideological government, etc. Note the trends in enculturation and what have been the major influences on the culture (eg colonialisation, apartheid, etc). How has this manifested in society.</p> <p><i>Social groups and organisations</i></p> <p>Identify the social groups and organisations in the community. Often ‘outsiders’ including government departments establish groups within the community to facilitate easier access and transfer of services. This often results in people not revealing their own organisations as they consider them not to be of interest or important to ‘outsiders’. The trust and confidence of people often needs to be developed before these become visible. It is important to understand these organisations and their functioning as it is the foundation upon which development can happen, and is indicative of livelihoods and relationships between and among people.</p> <p><i>Relationships among people (groups and individuals)</i></p> <ul style="list-style-type: none"> • Gender: This is an important issue to investigate as it usually has far reaching implications in terms of development. Women should be interacted with separately and by a woman researcher. Environment and gender are very strongly linked (women are often the primary natural resource managers, and environmental degradation affects men and women in different ways). 	<p>PRA</p> <p>Timeline</p> <p>Time trend (using culture, power relations, traditions) Time line</p> <p>Community meeting, focus group discussions, key informant interviews.</p>

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Section	Section contents	Sources/ methods
	<ul style="list-style-type: none"> • Wealth: Often to an outsider rural people seem to be of similar wealth. This is not the case and closer investigation will be revealing of other social (power, status) and economic issues • Class: as with wealth and status, different groups in a community may have different roles, work types, wealth, status and power. • Race and even skin complexion often has a social influence • Cultures may vary in close proximity, especially as a result of disasters, migrations, political systems, etc. • Religion has a strong influence on culture and hence how people manage livelihoods • Reciprocity: Rural people often reciprocal relationships, commonly evident in periods of intense work load (eg crop harvesting) • Power: This is a very important issue in development and access to resources and is often linked to gender, race, religion, culture, etc <p><i>Other issues to consider</i></p> <ul style="list-style-type: none"> • Traditions and culture • Witchcraft, superstitions and beliefs. Some are often rational and others not, but are the people's reality and impact on livelihoods. • Rites of passage and initiation. • Leadership and governance(traditional): Rural communities often have traditional forms of governance and social sanction which are ascribed to by the people and are hence often stronger than the more "modern" systems. • Child labour (link with human capacity development) 	<p>Focus group discussion, time use clock.</p> <p>Social mapping – power ranking</p> <p>Focus group discussions, semi-structured interviews</p>
9.4	<p><u>The situation at the meso level (region/province)</u></p> <p>There is often not much information on social capital in aggregated forms. However, give a picture of the situation/status at the regional or provincial level. Consider specific projects that have been set up at this level, different cultures, peoples that exist and interact, and the implications.</p>	<p>Interviews</p> <p>At the meso level, secondary documents</p>
9.5	<p><u>The policy environment and programmes</u></p> <p>What policies and programmes are in place to enhance social capital? These may be sport, arts and culture and others.</p> <p>Is the government actively promoting the development of social capital in rural areas, or are its policies resulting in the disintegration of social cohesion. What is the effect of rural urban linkages, migratory labour practices, etc</p>	<p>Secondary documents, internet,</p>
9.6	<p><u>Meso and local services</u></p> <p>This section considers how services have been put in place to enhance social capital. Are people engaged in local service planning and goal setting, and if so how? How is government assisting people to organise themselves? What capacity building programs are in place?</p> <p>Construct a table depicting type of services and who is providing them, beneficiaries, and if possible statistics showing how many communities/people have been supported to-date.</p> <p>What services are provided in relation to land in the <u>case study area</u> and</p>	<p>Venn diagram, lower meso workshop</p>

	how were they perceived by the community?	
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Section	Section contents	Sources/ methods
9.7	<p>What services are supposedly provided in the <u>district/region</u> and who are the target groups? Are there synergies and linkages of their services? What difficulties are faced by personnel at this level. Find out staff numbers, qualifications, training received and needed, and support received from provincial and/or the centre.</p> <p><u>Issues arising and recommendations</u> Obviously different issues will arise under different circumstances, however areas to comment on could be:</p> <ul style="list-style-type: none"> • Traditional, indigenous groups and systems • Dependency versus self-reliance • Traditional leadership and governance • Indigenous support systems and safety nets • Power relations (race, class, age, gender, religion, etc) • Gender issues and relationships • Rural – urban relationships and migration • Client identification and developing tailored services • Working with groups, and • Others from the set of issues above to be investigated. 	Validated by the central workshop

CHAPTER 10: DEVELOPING HUMAN CAPACITY

Section	Section contents	Sources/ methods
10	This chapter focuses on rural people's human assets i.e. the capacities and skills that rural people have, the opportunities for them to be able to use those assets to create a livelihood and the constraints on them doing so. The chapter is also concerned with the services (both formal and informal) available for them to extend and upgrade their education and skills. It is important to decide the limits to be covered for the poverty focus, eg only on adult basic education and capacity-building. Do not attempt to be comprehensive.	
10.1	<u>Introduction</u>	
10.2	<p><u>The importance of capacity building to livelihoods</u></p> <p>The need for people to be able to acquire knowledge and skills if they are to be able to find a livelihood. Points that can be made include:</p> <ul style="list-style-type: none"> • A general statement about rural people's livelihoods and how well they are equipped in terms of education and skills. • General levels of education and skills in the country – is it a cause of concern? • Statistics on the number of children who are not attending school and the number of adults estimated not to have received a basic education. • The difficulty for people with little or no education to find work as the demand for unskilled and semi-skilled labour is declining. • What about the situation for school leavers? • Adults with skills such as cooking, farming or brick-making as well as a basic education still need further training and support if they are to be able to turn that skill into a livelihood and become entrepreneurs, again because schools have not traditionally taught such skills. • The need for skills in project management and effective management of group processes for projects • The need for lifelong learning opportunities if people are to cope with a changing workplace, changing markets and new technology. 	Secondary documents/ statistics
10.3	<p><u>The situation and impact at the local level</u></p> <p>The sort of information on human resource development that can come out of a PRA is very valuable in that there have been very few reported situation/ needs analyses done in the adult education field. Look for the following information:</p>	PRA
10.3.1	<p><i>General features</i></p> <p>Who is responsible for education and what emphasis is placed on formal as opposed to informal education and training?</p> <p>Are there nursery schools and creches, a primary school, the nearest secondary school? Do people feel they are of a good standard?</p> <p>Is there any post-school education or skills training provision? Who provides it? What is offered? Where is it housed and is it well used? What are people's feelings about the service offered? How far away is the</p>	PRA Semi-structured interviews, focus groups, key informants, transect walks in the area.

	nearest further education institution –the various types of colleges and also private institutions. Is it possible to commute daily or not? What government departments or NGOs are offering capacity building?	
Section	Section contents	Sources/ methods
10.3.2	<p>Are people informed about what there is on offer?</p> <p><i>Background/brief history</i> Have any educational institutions opened or closed during the period studied? Has the quality improved or deteriorated? Has there been a change in costs – fees charged, cost of uniform, distances travelled? Are younger people more educated/ better educated than older people or not? What skills have been gained and lost over the different generations?</p>	Timeline probing on educational issues. Also use of time trends
10.3.3	<p><i>Educational assets audit</i> Do a rough education and skills audit. You may want to disaggregate this information for youth who have only recently finished formal schooling and want to develop a ‘career’ and older people who may have already made livelihood choices. Look for gender differences e.g, in terms of completion of secondary school. For education you can use the measure of school standard or grade completed. (Remember that this info might be sensitive.) You can also ask about newspapers or magazines that people read as a literacy indicator. You could also find out the number and type of newspapers and magazines sold locally.</p>	Semi-structured interviews, focus groups, key informants, transect walks in the area.
10.3.4	<p><i>Skills assets audit</i> What skills do people have? If people mention skills that have a potential for earning a livelihood, explore the level of skill. For example, if someone says that they have carpentry skills, ask where they acquired that skill, what they have made in the last 3-6 months and how long it took them to make it (speed is essential to turning a hobby into a livelihood); discuss potential markets for that skill.</p>	Focus groups
10.3.5	<p><i>Audit of peoples current livelihoods</i> What ways of earning an income do people currently have? Visit local businesses and development projects. Identify skills being used and enquire where people feel that they need capacity building.</p>	Visits to projects, interviews
10.3.6	<p><i>Livelihood outcomes desired</i> What are people’s livelihood aspirations? What is the gap between the skills they have and skills they need for their livelihood aspirations?</p>	PRA, focus groups
10.3.7	<p><i>Audit of educational and skills opportunities available</i> Who is offering opportunities for upgrading education and skills locally, either formally or informally, through government or privately? Does the local school serve the community in this way? Encourage your informants to create a vision for an educated and skilled workforce in the area – what would have to be put in place to achieve that vision? You may want to disaggregate by gender here.</p>	
10.3.8	<i>Constraints</i>	

	<p>Is the desired training unavailable? Why? Explore this. Have they ever asked for it? Who could provide it? Is the desired training available but unaffordable?</p>	
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Section	Section contents	Sources/ methods
10.4	<p><u>The situation at the meso level (region/province)</u> The relevant information here includes:</p> <ul style="list-style-type: none"> • percentage of children attending school, disaggregated by gender • for children who are not attending school, what are the main reasons? • the percentage of adults who are estimated to be illiterate • the percentage of adults who did not complete primary education • an impression of where the job market is shrinking and where it is expanding in the province 	<p>Statistics, interviews at upper meso level, see chapter 6, on promoting jobs and income</p>
10.5	<p><u>The policy environment and programmes</u> The relevant questions to ask at the meso level are:</p> <ul style="list-style-type: none"> • To what extent does the province/region have autonomy in policy and decision making? • Which departments are engaged in education and skills training post school? • At what level is the budget for education allocated to different sectors – preschool, basic education and further education, the school sector and the adult sector. What are the priorities reflected in the budget? • Which department is responsible for skilling of the workforce? What are the mechanisms for financing this? 	<p>Interviews with education and labour or draw up a list. Acts, White Papers, policies, budget speech or strategic plans</p>
10.6	<p><u>Meso and local services</u> Comment on services available for adults to upgrade their education and skills. Do not go into great detail on these institutions but acknowledge their existence and refer to what they can offer in support of livelihoods in rural areas or constraints on using them eg distance or cost.</p> <p>Present in a table indicating the type of capacity building required, the name of the service providers providing, the type of clients and, if possible, some idea of the impact in relation to need.</p> <p>Adult education is a very under researched area and it is not always easy to find the relevant information.</p>	<p>Local service providers' workshop. Venn diagram, interviews, secondary documents.</p>
10.6.1	<p><i>Government</i> A key government department will be education. Find out what is going on at school level, pre-school and post school. Different countries/provinces will have different organisational structures eg adult education is housed in different directorates within the provincial departments of education in different provinces in South Africa.</p> <p>Find out what government departments offer any capacity building programmes. Many government departments may be involved in capacity building eg the Department of Welfare in the Free State offers life skills training and the Department of Agriculture offers non-formal training courses and extension programmes which will be particularly relevant to rural livelihoods. Find out whether there is any coordination of capacity building programmes.</p> <p>What colleges offer further and vocational training, or technical colleges</p>	

	and higher education institutions.	
Section	Section contents	Sources/ methods
10.6.2	<i>Private businesses</i> - consider those companies which offer ABET or life skills training to their employees, particularly if they operate in rural areas.	Check depts of – education, labour or welfare for list
10.6.3	<i>NGOs</i> – what capacity building is offered by NGOs ranging from ABET to small business skills to specific skills training.	
10.6.4	<i>Private educational and training institutions</i> – check for face to face teaching and some offer distance learning opportunities. To bring the above information alive, include two or three case studies. Case studies should be selected either because they are the organisations which have the greatest impact or because they are doing innovative work which has great potential for reduplication elsewhere. If a particular service provider was mentioned in the local case study, interview the service provider and relate the information obtained to that obtained from the clients (or potential clients) at local level.	
10.7	<u>Issues arising and recommendations</u> Summarise the issues that have emerged from the research you have done at the different levels, from micro to macro. What are the strengths that you can identify in the situation as it stands? What are the blockages or the hindering factors? Think about and discuss the blockages referred to above until you can turn them into positive recommendations that could significantly take forward access to relevant and affordable education and skills capacity building for the creation of rural livelihoods.	Verified at final workshop at the centre

CHAPTER 11: SAFEGUARDING HUMAN RESOURCES

section	Section contents	Sources/ methods																														
11	Safeguarding human resources deals with health, nutrition, welfare, and safety and security. You need to decide whether to keep these together or have separate sub-sections for each, and particularly on the health aspect, where to focus on key areas affecting poverty, such as primary health care.																															
11.1	<u>Introduction</u> Give a picture of the overall situation in the area under study with one or two key statistics to illustrate the problem, eg HIV/AIDS infection rate, situation with maternal and child care.																															
11.2	<u>The importance of health, welfare and security to livelihoods</u> Show the relevance and importance of safeguarding human resources to poverty issues.	Use poverty reports etc																														
11.3	<u>The situation and impact at the local level</u> Describe the actual situation on the ground, using the case study information, information and statistics from the local service providers, as well as the impact of policies on rural livelihoods. Provide information on: <ul style="list-style-type: none"> • Key disease incidence such as HIV/AIDS, malaria, TB etc • Nutrition levels inasmuch as they can be ascertained locally (ask how many meals a day people are eating through the year and what they are eating) • Welfare/safety problems such as domestic violence and rape • Levels of crime and who is associated It may well be appropriate to give seasonal figures, and to show some time line of disease incidence or malnutrition. Relate to changes in climate, water availability and food production.	PRA Clinic stats Clinic stats Focus groups especially with women Do seasonality with women																														
11.4	<u>The situation at the meso level (region/province)</u> This section should give an overview of health and nutrition, welfare and safety and security in the region or province. This should give similar figures to 11.3 but for the wider level. The table below shows an example National/provincial/regional/district poverty profile of illness (%).	Interviews Records from district and local clinics/hospitals would have information on areas under their jurisdiction. national poverty profile																														
	<table border="1"> <thead> <tr> <th>Illness</th> <th>Ultra-poor</th> <th>Poor</th> <th>Non-poor</th> <th>All</th> </tr> </thead> <tbody> <tr> <td>Tuberculosis</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Mental disability</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Aids</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>STDs</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Etc.</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Illness	Ultra-poor	Poor	Non-poor	All	Tuberculosis					Mental disability					Aids					STDs					Etc.					
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Etc.																																

section	Section contents	Sources/ methods									
11.5	<p><u>The policy environment and programmes</u> Key policies and legislation to look for are:</p> <ul style="list-style-type: none"> • Constitutional references to safeguarding human resources (is there anything in the national constitution which implies a right to secure human well-being?). • Departmental/Ministerial policies such as to implement policies. <p>Important policies and programmes include those focusing on:</p> <ul style="list-style-type: none"> • HIV/AIDS and STDs • Primary Health Care • Maternal, child and women's health • Integrated Nutrition Programme • Social assistance • Relate to domestic water supply and sanitation covered in section 9. • National crime prevention programmes and the police service 	White Papers and Acts of Parliament, and Departmental/ Ministerial strategies									
11.6	<p><u>Meso and local services</u> Services in this sector are rendered by a variety of service providers from government, private sector, NGOs, CBOs and others. Construct a table depicting type of services and who is providing them, beneficiaries, and if possible statistics showing how many communities/people have been supported to-date.</p> <p>What services are provided in relation to primary health, welfare, safety and security in the <u>case study area</u> and how were they perceived by the community?</p> <p>What services are supposedly provided in the <u>district/region</u> and who are the target groups?</p> <p>Are there synergies and linkages of their services?</p> <p>What difficulties are faced by personnel at this level. Find out staff numbers, qualifications, training received and needed, and support received from provincial and/or the centre.</p> <p>Clarify the clients of the service provider and whether the service provider has conducted client analysis and client needs.</p> <p>Which areas are covered? (rural or urban?).</p> <p>Draw a table of services showing various services provided and who provides them eg</p> <p>Example of table of services, note with service first</p> <table border="1" data-bbox="365 1627 1063 1795"> <thead> <tr> <th>Client service</th> <th>Clients</th> <th>Service provider</th> </tr> </thead> <tbody> <tr> <td>Provision of Primary Health Care</td> <td></td> <td> <ul style="list-style-type: none"> • Dept. Health • </td> </tr> <tr> <td>etc</td> <td></td> <td> <ul style="list-style-type: none"> • </td> </tr> </tbody> </table> <p>Linked to services at district level are staff issues. Consider:</p> <ul style="list-style-type: none"> • Staff qualifications and training in relation to services rendered/to be rendered. 	Client service	Clients	Service provider	Provision of Primary Health Care		<ul style="list-style-type: none"> • Dept. Health • 	etc		<ul style="list-style-type: none"> • 	Interviews, Venn diagram, lower meso level workshop statistics
Client service	Clients	Service provider									
Provision of Primary Health Care		<ul style="list-style-type: none"> • Dept. Health • 									
etc		<ul style="list-style-type: none"> • 									
		Interviews with service providers									

	<ul style="list-style-type: none">• Numbers• Availability of specialist services	
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section	Section contents	Sources/ methods
11.7	<p>When discussing issues important to the community or a specific social group regarding services, some critical developments often emerge, and those may be positive or negative in the community/group's opinion, eg. sexual abuse in children, violence against the elderly etc. Provide boxes in the report to illustrate their importance and to demonstrate a particular point.</p> <p><u>Issues arising and recommendations</u></p> <p>Compare the theoretical services with the actual situation in the case study.</p> <ul style="list-style-type: none"> • What are critical issues for communities which are not being addressed adequately • Why are they not being addressed adequately and what needs to be done to change this, or strengthen it? • Issues can be listed individually in a very clear and concise manner. • In view of its critical nature there must be some recommendations on HIV/AIDS • Remember to apply the environmental questions shown in C4 <p>The following are some examples of possible gaps:</p> <ul style="list-style-type: none"> • Lack of medical supplies at service delivery points. • Absence of a joint effort in the service provision amongst government, private sector, NGOs and CBOs. • Poor staff morale. • High infant mortality and skin sores. This may be due to contaminated domestic water and a lack of proper medication. • A general lack of particular services at a case study site. 	<p>.PRAs with distinct social groups in a community (i.e youth, pensioners, the unemployed, the employed, farmers, other business people, women, etc.)</p> <p>Validate at the central/final workshop</p>

PART 4: INSTITUTIONS AND MICRO-MACRO LINKAGES

CHAPTER 12: ENSURING RURAL PEOPLE ACTIVE AND INVOLVED IN MANAGING THEIR OWN DEVELOPMENT (MICRO)

section	Section contents	Sources/ methods
12	This section needs to discuss the key areas required to empower poor rural people. It is critical as it is summarising the issues developed from the different sectoral chapters, and the information from the PRA where people talk about the control they have on their own development. It is core to knowing that we are impacting on sustainable livelihoods.	
12.1	<u>Introduction</u> This should introduce this part of the study, which focuses on institutional issues, as well as this particular section.	
12.2	<u>Community-based planning</u> This should describe what mechanisms there are for identifying and building on rural people's own expressed views in a systematic way. How does this link with a formalised planning system which allocates resources for infrastructure or services? Is this linked with local government? These may not be systematic, in which case what seems to be needed. Are there clear tradeoffs between short-term issues (eg need for firewood) and long-term (erosion) which need to be managed and planned for?	PRA
12.3	<u>Community involvement in ownership, implementation and running/ maintenance of services and projects</u> What involvement do rural people have in implementing services or projects? Are they considered to be the owners of services such as extension, or infrastructure such as primary school buildings? If so what are the implications of this for the sustainability of people's livelihoods? Do they need to be more involved, or are the expectations of involvement too high, as government seeks to offload responsibilities? If they need to be more involved, how does government need to act to assist this?	PRA
12.4	<u>Building the capacity of the community to manage development</u> Is there a structure at community level for managing development? How is it operating? How does it link with political or traditional structures? Are development interventions building the capacity of this unit, bypassing it etc? What capacity-building is happening to develop management capacity? Is it systematic, is it adequate? Is it likely to ensure sustainability of development activities?	PRA Interviews at district level

section	Section contents	Sources/ methods
12.5	<p>Is there some systematic process for ensuring the representation of disadvantaged groups including women, youth etc? What needs to be done to improve the situation?</p> <p><u>Issues arising and recommendations</u></p> <p>What key issues emerge if the capacity of rural communities to manage development are to be enhanced? What recommendations can be made?</p> <ul style="list-style-type: none"> • On community based planning • On ownership of development programmes • On coordination at local level • On capacity-building • On dealing with marginalised groups in the local community, such as women or youth 	

CHAPTER 13: ENSURING AN ACTIVE AND RESPONSIVE NETWORK OF LOCAL SERVICE PROVIDERS (MICRO)

section	Section contents	Sources/ methods
13	This section needs to identify the situation with service provision at village level, and what is needed to improve this. This includes both provision of services and support by local people for themselves, and by external agencies, whether private or public.	
13.1	<p><u>Introduction</u> This should introduce this particular section.</p>	<p>PRA/Venn/ interviews</p> <p>As above</p>
13.2	<p><u>Services at community level</u> What services are being provided at village level? Which are being provided by external service providers (public or private), and which by the community themselves? What is the level of delivery, frequency, accessibility?</p>	
13.3	<p><u>Quality and client focus of local services</u> What is the quality and the client focus of the services? What is the level of satisfaction with these? How does this link with the issue of local ownership in the last section? What else is needed? Who employs the staff, government, NGO, community etc? Is that working?</p>	
13.3	<p><u>Local planning</u> Are local service personnel involved in planning in some structured way? Do they dominate local people or is there an effective partnership? These may not be systematic, in which case what seems to be needed.</p>	PRA
13.4	<p><u>Approach of local staff</u> Do local staff work with local people in a positive and respectful way, that empowers local people? Do they need training in facilitation and participatory skills? Do they get support and training from the district/ lower meso level? Is that adequate or is more needed, in which areas?</p>	PRA
13.5	<p><u>Issues arising and recommendations</u> What key issues emerge if local services are to improve the quantity and quality of services? What recommendations can be made?</p>	

CHAPTER 14: (LOWER MESO) LEVEL⁷ EFFECTIVE AND RESPONSIVE

Section	Section contents	Sources/ methods
14	The (lower-meso) level is the lowest level of service management, and often the lowest level of local government. This section needs to identify the situation with service provision from this level, and what is needed to improve this.	
14.1	<u>Introduction</u> This should introduce this particular section. There may also be a need for an introduction to the specific area or local government covered, to extend the use of the case study. This might highlight the role and activities of the local government, district etc.	Interviews, district workshop As above. Also views in PRA
14.2	<u>Services provided by the (lower meso) level</u> List the services being provided by the (lower meso) level and who is providing them? Which are being provided by external service providers, public or private? What is the level of delivery, frequency, accessibility?	
14.3	<u>Quality and client focus of services</u> Have clients been disaggregated and services defined for each? What is the quality and the client focus of the services? What is the level of satisfaction with these? (eg see table below)	
14.4	<u>Planning at lower meso level</u> Is an effective planning system operating at lower meso level? What is being planned, capital infrastructure, services, maintenance? How are links between local government, government departments, NGOs, traditional authorities and private sector handled? Is there effective integrated development planning happening? How does it build on needs and opportunities identified at community level? If there are problems, what seems to be needed?	Interviews, district workshop
14.5	<u>Coordination and monitoring</u> Is there effective coordination and monitoring of development at lower meso level? If not why not and what is needed to strengthen it? What role are projects playing? Are they helping or hindering local coordination?	Interviews, district workshop
14.6	<u>Accountability</u> What accountability mechanisms are in place to clients for services provided at district level. Is there some steering mechanism, eg district agriculture committee, which involves clients? Is this adequate to	

⁷ The appropriate term for this in a local context should be used, eg district.

14.7	<p>ensure the quality of services</p> <p><u>Issues arising and recommendations</u></p> <p>What key issues emerge if service provision from district level is to improve and be more accountable? What recommendations can be made?</p>	
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Clients and quality issues with agricultural extension⁸

Service	Clients	Quality issues
Agricultural extension	Not defined. In practice mostly working with existing farmers (ie land and livestock). There is a 4H programme with youth in some places (not Xume) and little with women	<p>People are positive that agriculture are providing a service.</p> <p>However better services with more impact could be provided if clients were better defined, their needs, assets, and opportunities</p> <p>Tendency to top-down approach and lecturing rather than participatory approach</p> <p>Farmworkers left out.</p>

⁸ Example from eastern Cape, see Khanya (1999c)

CHAPTER 15:(UPPER MESO) LEVEL⁹ PROVIDING SUPPORT AND SUPERVISION

section	Section contents	Sources/ methods
15	The (upper-meso) level is normally an intermediate level which is accountable to the centre for supervising, and sometimes controlling the level below. This section needs to identify the situation in terms of provision of support and supervision from this level, and what is needed to improve this.	
15.1	<u>Introduction</u> This should introduce this particular section. It may also want to provide a picture of the case study region, province or unit at this level. Is the role of the upper meso level clear? (it is often unclear, particularly in decentralisation scenarios)	Interviews, secondary data
15.2	<u>Services provided by the (upper meso) level</u> What service providers have offices at this level? What role do these offices play, controlling/supervision or support roles? What proportion of the budget goes to this level as opposed to service delivery roles at lower meso level and village level?	Interviews, possible workshop Analyse budget
15.3	<u>Quality of support and supervision</u> What is the level of satisfaction with the role played?	As above. District workshop
15.4	<u>Planning at upper meso level</u> Is an effective planning system operating at upper meso level? What is being planned, capital infrastructure, services, maintenance? How does this link with planning at the lower meso level, and planning at the centre? Is this working? How does it build on needs and opportunities identified at community and lower meso level? If there are problems, what seems to be needed.	Interviews, district workshop
15.5	<u>Coordination and monitoring</u> Is there effective coordination and monitoring of development at upper meso level? Does it link with a local government structure? If not why not and what is needed to strengthen it? What role are projects playing? Are they helping or hindering local coordination?	Interviews, district workshop
15.6	<u>Issues arising and recommendations</u> What key issues emerge if the upper meso level is to be effective in providing support and supervision to the lower meso level? What recommendations can be made eg on: <ul style="list-style-type: none"> • Support roles • Supervision roles • Allocation of resources, financial and human, at this level versus lower levels 	

⁹ The appropriate term for this in a local context should be used, eg district.

	<ul style="list-style-type: none">• Coordination between departments and/or with local government• Role of programmes at this level	
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CHAPTER 16: CENTRE (MACRO) LEVEL PROVIDING STRATEGIC DIRECTION, REDISTRIBUTION, COORDINATION AND OVERSIGHT

Section	Section contents	Sources/ methods
16	The centre will always include national level, but in a federal system will also be the state/province. This section needs to identify the situation in terms of the strategic direction the centre is providing in relation to poverty issues, redistribution, how it is providing oversight and coordination to help ensure that the policies are implemented, and that policies are corrected if needed.	
16.1	<u>Introduction</u> This should introduce this particular section.	
16.2	<u>Summary of policy situation</u> Many of the policies have been described in section 2, and in the sectoral sections in Part 3. What conclusions can be drawn in relation to the role being played by the centre? What key policies still need to be developed/enhanced in the light of the findings of this study?	Interviews, workshop at centre
16.3	<u>Redistribution</u> Are policies adequate to tackle the root causes of poverty? Is redistribution needed, and if so being tackled in an appropriate way? If not what is needed? How does this link with macro-economic policy?	As above
16.4	<u>Planning at the centre</u> What role is the centre playing in the planning process. Apart from setting policies (see 16.2) is the role appropriate? Does the planning system need to be revised to ensure that a bottom-up view (and the view of the poor) gets considered? How does decentralisation affect this?	Interviews, Workshops at all levels
16.5	<u>Coordination</u> Coordination at central level is notoriously difficult, with interministerial committees etc very difficult to make happen unless there is a very strong political will. Is there effective coordination of development at the centre in relation to poverty? If not why not and what is needed to strengthen it? What role are projects playing? Are they helping or hindering coordination?	Interviews, workshop at centre
16.6	<u>Oversight</u> Is there adequate monitoring and oversight of development, and particularly in relation to poverty? How is this affecting the quality of services and the confidence of the centre to decentralise? Are changes needed?	Interviews, workshops at all levels
16.7	<u>Issues arising and recommendations</u> What key issues emerge if the upper meso level is to be effective in providing support and supervision to the lower meso level? What recommendations can be made?	Draw particularly on workshop at centre

CHAPTER 17: ROLE OF DIFFERENT ORGANISATIONS

Section	Section contents	Sources/ methods
17	The previous sections have painted a picture of what is needed in terms of sectoral issues, and cross-cutting issues. This section should look at the roles played, and needed to be played, by different social partners to impact on poverty.	
17.1	<u>Introduction</u> This introduces the section and should provide an overview of the roles that are being played by the different actors	
17.2	<u>CBOs</u> At the end of the day development happens through the activities of people themselves. What can we say about the actions of CBOs, and what needs to be done in relation to them?	PRA
17.3	<u>Government</u> The levels covered in sections 12-16 have a particular role in relation to government. At these different roles is government playing the appropriate role, enabling, delivering, or in partnership?	All
17.4	<u>Private sector</u> At the end of the day economic prosperity derives from the private sector. Is it playing the right role, as individual entrepreneurs, or as organised business, at the different levels? If liberalisation has happened, has the private sector taken up the previous roles of government? What looks likely for the future? Are there opportunities for public-private partnerships?	All
17.5	<u>NGO</u> What roles are NGOs playing, local NGOs, international NGOs? Is there the possibility of the local NGOs providing services? Are international NGOs building local NGO capacity effectively, or competing for service delivery? What looks possible for the future?	
17.6	<u>Unions</u> What role are Unions playing in policy development, in planning, and in reform programmes such as decentralisation? Is the role appropriate or are changes needed?	
17.7	<u>Coordination</u> Are the mechanisms for coordination between these actors adequate at different levels?	
17.8	<u>Issues and recommendations</u> What key issues emerge if different social partners are to play the roles required for poverty to be addressed effectively? What recommendations can be made?	

PART 5: WAY FORWARD**CHAPTER 18: MOVING TOWARDS THE STRATEGY**

Section	Section contents	Sources/ methods
18	The study has identified some of what needs to be done to address poverty. This chapter summarises the process needed to take the study and use it as a basis for developing a Poverty Eradication Strategy. This would serve as the basis of a recommendation to Cabinet/deciding authority to proceed to develop the strategy, and would need to provide the basic information for that decision.	
18.1	<u>Introduction</u> This introduces the section and the need to move forward to a strategy	
18.2	<u>Suggested components of the strategy</u> This will suggest the contents of the strategy that need to be developed.	
18.3	<u>Suggested process</u> This would details the steps required to develop the strategy (see B.5) with a timescale.	
18.4	<u>Resources required</u> The resources required to develop the strategy would need to be identified, both human and a budget to reach as far as communicating the strategy. This should also indicate the political support and decisions required, as well as any changes to the Steering mechanism.	
18.5	<u>Communication</u> Recommendations should be made for communication of the study findings.	

D. Sections of the Poverty Eradication Strategy

This section summarises what the contents of such a strategy might be. Some of it will follow the study structure, but with more on implementation. In addition while the study is fairly comprehensive, in the strategy sections would concentrate on those topics where action will be concentrated.

Part 1 Background

1 Background

- rationale
- poverty situation in the region
- understanding of the causes of poverty in the region

2 Approach to poverty eradication

- approach being taken (including SL and other elements, way of dealing with gender and sustainability)
- structure of the strategy in addressing this

Part 2 Sectoral strategies

3 Improving jobs and incomes

4 Developing human capacity

5 Safeguarding human resources

6 Conserving and improving natural resources

7 Exploiting social networks

8 Developing the physical infrastructure

Part 3 Cross-cutting issues

9 Roles of different levels

- village level
- district level
- regional level
- centre

10 Role of different organisations

- key roles for CBOs, government, private sector, NGOs,

11 Planning systems

Part 3 Managing implementation

12 Implementation team

13 Management arrangements

- including Steering Committee

14 Monitoring and Evaluation

- indicators
- systems

15 Activity schedule

16 Financing the strategy

- investment required
- sources of investment, internal, external

E Specific methodological elements

E1 Environmental input

Where do environmental issues fit into SL framework? - capitals, capabilities, vulnerabilities, outcomes.

- Increase attention to environmental issues in the livelihoods analysis to cast more light on the vulnerabilities context
- It requires conscious thought and effort to 'mainstream' environment.
- Environmental trends (resource use trends, climatic cycles and disease outbreaks) and people's response to them illuminates the dynamic nature of livelihoods.
- An environmental focus throws light on often neglected rural/urban links:
 - The 'ecological footprint' is a useful concept for this – the surrounding area from which urban areas draw resources.
 - Consider the link between past policies and resource degradation
- Environment and gender are very strongly linked (women are often the primary natural resource managers, and environmental degradation affects men and women in different ways).

Integrating environment into the methodology

- Treat environment as a cross-cutting issue (like poverty and gender). A mechanism to achieve this is to put each recommendation through an environmental filter (the four questions).
- Develop a clear and shared understanding of 'environment' and 'sustainable development' among team members, and use this consistently. Environmental awareness training may be necessary before commencing work.
- Make a clear statement upfront in the report (in the 'Background' section) on how the concept of sustainability has been understood and used in the research.
- Include 'environmental' expertise in the team and try to include a

provincial/regional partner with environmental responsibilities.

- Assume an advocacy role to underline the point that environmental issues are economic issues. Look for real examples of increased development/remediation costs of unsustainable development.
- Identify the best practical option for environmental service providers at local level – this may be environmental health staff, agricultural extension staff or other community development workers.

Environmental issues: Sectoral strategies

- Draw out the natural resource (NR) implications, through making links between sectors and activities – this is key for rural livelihoods.
- Provide sufficient NR detail for the case study, and specifically investigate community-level organisations / institutions for NRM. Use different tools such as maps, diagrams, and photos.
- Carefully consider the divisions in the report to promote the linking up of the different NR components.
- The research and the report need to demonstrate holistic understanding, so constantly link up and think of the implications across sectors.
- To maximise the advocacy role and promote a broader understanding of sustainability, back up with policy and concrete examples.
- Look out for gaps. Common ones are waste management, waste water management, stormwater management. The ideal is integrated services provision.

E.2 Participatory Rural Appraisal (PRA)

Introduction

This research methodology is used in the study to get a realistic picture of the livelihoods of poor rural people. As the research process is for the development of policies and strategies towards the eradication of poverty, it is primarily extractive in terms of information gathering and thus PRA, rather than the more action oriented Participatory Learning and Action (PLA)¹⁰. However if it can be combined with project work that will follow, it can become more towards PLA.

About PRA

PRA developed as a result of problems with formal questionnaires as a means of social enquiry. Formal questionnaires are time consuming, involve closed questions developed beforehand (and therefore rigid), and usually result in detailed information. PRA is a “quick and dirty” means of gathering information from and with a community. It involves learning with people, jointly exploring the issues that are of importance to the people themselves.

During the PRA process, facilitators (study team) stimulate, probe, observe and share information. The community on the other hand observe, experiment, add ideas and expertise, contribute, analyse and recommend.

PRA uses a number of participatory methods/exercises to engage people in activities and dialogue towards identifying and discovering issues towards understanding and improving their livelihoods. Some of these are mentioned below.

Organising the PRA

The choice of case study areas and the selection of team members is covered in B.3. In putting a team together for the PRA, one should try to engage a local NGO and work with government agencies operating in the

area. In this way, valuable PRA and language skill can enhance the research process, but more importantly the “action” component of the process can be enhanced by the NGO or agency using the PRA process to improve the quality of their interventions, and engage the people more in the process. Many communities are constantly being “researched” and therefore an effort should be made to ensure that communities that contribute to the process receive direct development benefits

The PRA intervention should be discussed well in advance with the community and its leaders. This should include the aims and objectives, time commitments, who should be present, (or who can be present) and when it

will take place. It is preferable if the study team is able to stay in the village/community for the duration of the research by local people

Box E.2.1: PRA principles for the duration of the research by local people

• Learning is rapid and progressive

• “hand over the pen” (try and hand over power and control as much as possible so that community members, by doing the exercises themselves, reveal information, but begin to develop a learning process)

• As outlined in Table B.2, the PRA should take at least five days, with an additional day towards the end of the study process. This day would be used to feed back information to the community, validate findings and explain why to take specific issues forward referred to as “triangulation “

• A brief description on how the methods can be used is given below. The content strategy chapters give more detail on the type of issues to prompt in doing the PRA exercises.

• Share ideas and information

• embrace error – learn from mistakes

• (1) Initial community meeting. The objectives of the meeting are to:

• Inform the community of the study and what it hopes to achieve

- Set the PRA process in motion
- Get the cooperation of the people in the study and raise enthusiasm
- Get an understanding of the community dynamic and what is happening
- Identify the key organisations and projects active in the community
- Identify the key social groups in the community
- Organise meetings with groups/projects

The meeting attendees should be a mixed group of men and women, young and old, and different community “leaders”. There should

¹⁰ IIED, 1995

be about 30-40 people. Researchers should be aware of the potential biases introduced by the meeting attendees. Often attendants are those who have time, ie unemployed, youth, aged, etc and not necessarily a representative “sample” of the community. The meeting should last about 2-3 hours, ending in the community identifying the major issues and community groupings to be engaged with during the PRA process.

There should ideally be about 10-15 people in each of the following groups below.

- (1) Time lines This exercise should be carried out as one of the first exercises as it helps in understanding pivotal and important events in the history of the village/community/projects. It also focuses attention on the people and their lives, and in this way serves as an “ice breaker”, opening up much discussion.
- (2) Time trends This exercise is useful in understanding how different issues have changed over time in the community, and so is useful for looking at vulnerabilities. This is particularly important for environmental and sectoral issues such as grazing for livestock, forests, population growth, HIV/AIDS cases, child nutrition, mortality, etc. Environmental trends (resource use trends, climatic cycles and disease outbreaks) and people’s response to them illuminates the dynamic nature of livelihoods.

(B) Livelihoods analysis This exercise involves understanding the livelihoods of the agricultural PRA identified by the community themselves and who consider the relationships between agents, especially discuss how people’s assets and moves through the framework ending with their desired outcomes. In this way, the outcomes envisaged are realistic as they are based mainly on the combined assets of the people.

Checklists should be used for this exercise, to establish a basis of understanding and ensure issues are covered, providing the point of departure for discussion on many other issues.

Researchers need to be skilled in PRA so as to use the checklists appropriately, and not to revert to an extractive, questionnaire type question and answer mode.

Some basic quantitative data can be gathered from participants. It should be realised that this data is not statistically significant. However it can assist in realising issues as well as triangulation of the formal statistics.

Increase attention to environmental issues in the livelihoods analysis to cast more light on the vulnerabilities context.

- (1) Venn diagram for service providers Venn diagrams are indicative of 3 main issues:
 - What organisations does the community/project deal with
 - How important are these organisations (and others) to the community/project
 - What is the relationship with the organisations like

Once the activity is complete discussion should ensue on how to improve the current situation.

This is an important exercise for understanding the interactions between the community (micro) and the meso level.

- (1) Transect walks Transect walks are very useful in exploring physical features and how they relate to livelihoods. A transect should be included to get an idea of local environmental change and should be linked to the timeline (above). One should probe for seasonal dynamics in resource use.

A transect walk should also be used in order to understand and discuss issues relating to physical infrastructure. Modified transects should be done to different projects in the community, as well as livelihood strategies, such as agriculture, craft making, etc.

- (2) Seasonality This exercise is very useful in identifying trends in the calendar, (eg

natural resource utilisation) and identifying related issues. For example, when food levels are low, just before harvest, the incidence of illness may increase.

- (3) Time use clock This method can be used to explore how people utilise their time, and is particularly useful in determining how the workload is distributed between genders, as well as child labour.
- (4) Mapping Mapping is useful for identifying and locating resources and for discussing future plans within the community especially regarding natural resource utilisation as well as infrastructure.
- (5) Focus group discussions The livelihoods analyses (in 4) should be undertaken with important groupings in the community. These will depend on the issues arising, but should consider women, traditional leaders, youth, children, migrant workers, disabled, the aged, business people, farmers, among others. People may be members of more than one group.
- (6) Key informants There are always a number of these that should be used strategically to assist in the triangulation of information. These could include: chief/headman, mayor, councillor, school headmaster/teachers, doctor/nurse, development facilitator, agricultural extension officer among others.

with the community as well as their understanding of the issues will have improved, resulting in a better joint project.

The issues arising from the PRA should be written up as outlined in the case study chapter, as well as the sectoral strategy chapters.

Feedback process

The final day of the PRA (return to community) should be spent following up specific issues with individual key informants or groups, and ending with a feed back meeting with the members of the community to validate and discuss the issues that have arisen during the research process.

Way forward and write up

If a local partner (eg NGO or department) was used, then they will continue to work with the community, and hopefully their relationship

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