

Development Research Methods
Prof. Dr. Rajshree Bedamatta
Department of Humanities and Social Sciences
Indian Institute of Technology – Guwahati

Lecture - 12
Participatory Methods and Approaches

Hello and welcome to week 4 and lesson 3 of the NPTEL MOOC's course on development research methods. In today's class we will learn about participatory methods or what has otherwise also been known as participatory rural appraisal methods, which got a lot of attention of development workers and researchers right from the 1990s onwards. What we will cover in today's lesson are as follows.

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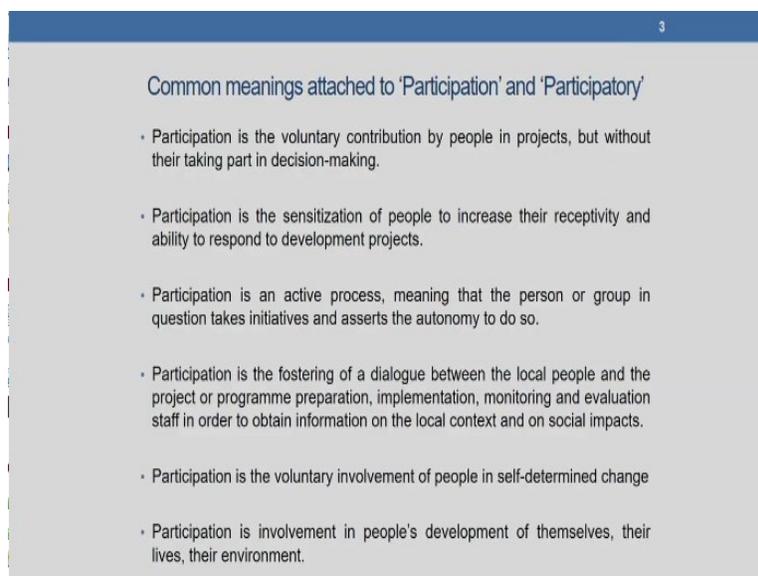


We will first look at the concept of participation in development, what are the considerations for using participatory methods, participatory methods that are currently largely in use or which have been dominantly used. Also, we will look at what are the different participatory methods, whose use has widely spread in the recent times. And we will end today's lesson with some critical perspectives on participation in development, mostly in the form of questions. I will try to end this lesson in the form of questions primarily because participation in development

research is a wide area and there are a lot of contestations with regard to the meaning of participation.

Now, considering the fact that there is a lot of contestations with regard to the meaning of participation here and these contestation are arising primarily because of the historical origins, the theoretical grounding and the critical connotation of what is the meaning of participation. But a highly experienced development researcher or development worker would know that participation is a term which is widely and very loosely used and therefore understanding the meaning of what one means by participatory methods is of at most importance. Let us look at some of the meanings that are attached to participatory methods or what is meant by participation in development research.

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Common meanings attached to 'Participation' and 'Participatory'

- Participation is the voluntary contribution by people in projects, but without their taking part in decision-making.
- Participation is the sensitization of people to increase their receptivity and ability to respond to development projects.
- Participation is an active process, meaning that the person or group in question takes initiatives and asserts the autonomy to do so.
- Participation is the fostering of a dialogue between the local people and the project or programme preparation, implementation, monitoring and evaluation staff in order to obtain information on the local context and on social impacts.
- Participation is the voluntary involvement of people in self-determined change
- Participation is involvement in people's development of themselves, their lives, their environment.

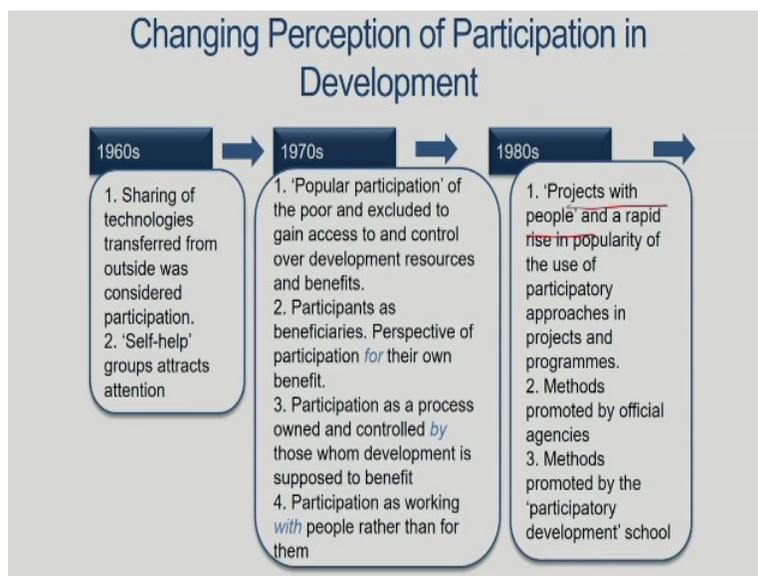
Now, these are some of the common meanings attached to participation and participatory, one is participation is a voluntary contribution by people in projects but without their taking part in decision making. Usually when we carry out consultation processes, consultations with regard to a methodology or a certain concept that we are using in our research process, then that can also mean we are inviting a group of people who can comment or who can discuss the methodological framework and the conceptual clarity that we are using in our research.

However, the people involved in the consultation process might not necessarily take part in the decision making of the research itself. That would also refer to as participation.

Participation also would mean sensitization of people to increasing their receptivity and ability to respond to development projects. It is an active process meaning that the person or group in question takes initiatives and asserts the autonomy to do so. It can also be meant as the fostering of a dialogue between local people and the project or program preparation, implementation, monitoring and evaluation staff in order to obtain information on local context and on social impacts. Participation is also voluntary involvement of people in self-determined change and it also may mean involvement in people's development of themselves, their lives and their environment.

Now, participation had a renaissance of sorts in the 1990s and various terms such as participatory rural appraisal, rapid rural appraisals, PRAs, RRAs started coming to be used. So much so that many scholars felt that there has been a paradigm shift towards the way research is being conducted, the focus moving from things to people and also there being a role reversal of sorts with regard to how research is being approached. Now, it will be useful to look at some of these conceptual shifts or shifts in perceptions with regard to participation that happened in the last few decades.

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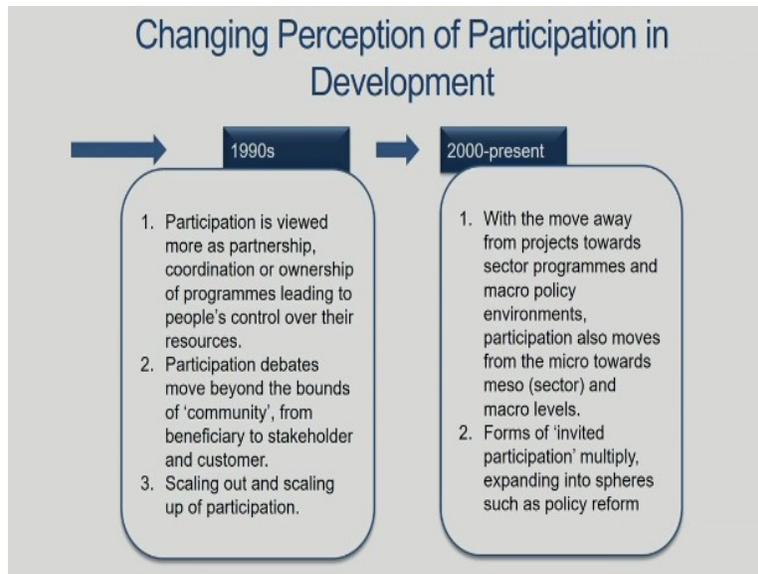


Let us begin with the 1960s onwards. Now in the 1960s participation mostly referred to sharing of technologies that was transferred from outside and self help groups also attracted a lot of attention and that was also referred to as participation in development where the different actors who have something to say about development are a part of the development process itself.

In the 1970s popular participation of the poor and excluded to gain access to and control over development resources and benefits was something which is which was highly discussed. However, in the 1970s, participants were also largely referred to as beneficiaries. In fact, most of the language of the government programs, policy initiatives that were carried out, you would see are largely referred to as functionaries and beneficiaries, as though the beneficiaries are passive recipients of a good that is being provided to them. So, the concept of beneficiaries came to be used widely in the 1970s onwards, and here the perspective of participation was that the beneficiaries are a part of the development process for their own benefit. So for example, if we are talking about food for work program, or a program in which seeds are being distributed to farmers, here farmers were not referred to as participants of a development process but were referred to as beneficiaries where some benefits are being provided to them in the form of doles or welfare benefits. Participation was also referred to as a process owned and controlled by those whom development is supposed to benefit and participation was also referred to as working with people rather than for them.

By the 1980s the perception change towards what is referred to as projects with people and a rapid rise in popularity of the use of participatory approaches in projects and programs. And various methods are promoted by the official agencies themselves, various international organizations who contributed to studies on health and nutrition and labor issues and also development issues also made use of participatory approaches. In fact, there were some of the beginners in the users of participatory approaches. And these participatory approaches or methods were promoted by the participatory development school. So you would see that different schools of thought emerged with regard to the different approaches to development as a methodological exercise that should be used in how development should be viewed.

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By the 1990s the game changed completely and participation here from now on was viewed more as partnership, coordination, or ownership of programs leading to people's control over their resources. And participation debates moved beyond the bounds of community from beneficiary to stakeholder and customers and there was a lot of focus on scaling out and scaling up of participation.

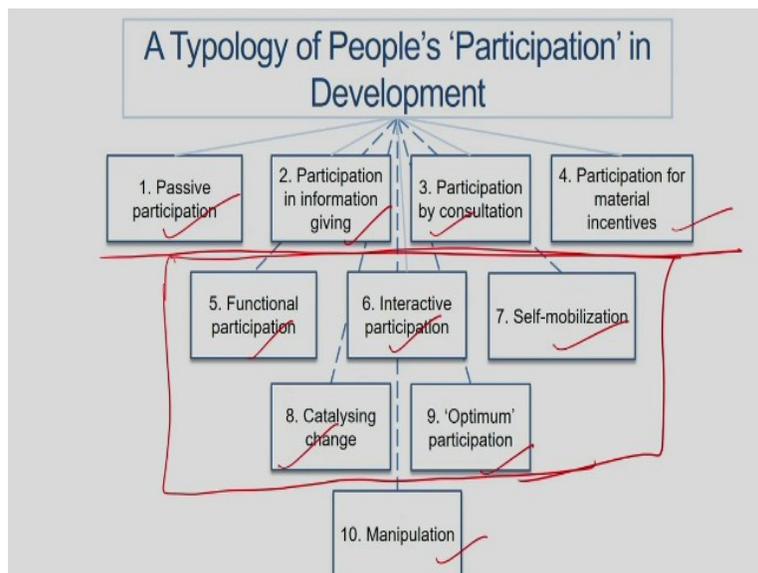
From the 2000 onwards to the present, there has been a move away from projects towards sector programs and macro policy environments. Participation also moved from micro towards meso and macro levels and the forms of invited participation have multiplied, expanding into spheres such as policy reforms. Now if we analyze these changes over time, we see that there is an emerging consensus on the importance of participation in development projects with particular focus on rural development and rural research.

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Different Strategies and Interests in Participation

Now, it is also important to look at the different strategies and interests in participation because the efforts in the past decade has moved towards bringing participation to development mainstream and that has yielded a rich harvest of learning and as a result of these learnings, we now have different strategies and interests in participation, which we should bear in mind.

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Now, let us look at a typology of people's participation in development. Let us not forget that participatory approaches are used for many purposes. It has been common practice to make a

distinction between participation as a means or an instrumental participation to improve development activities and it is also used as an ends. And when participation is used as an end in itself, it means that the focus is on some kind of a transformational analysis. Some kind of a transformation might have happened among people's lives wherein because of the use of participatory approaches or participation, it has resulted in that kind of a transformation. So as an analytical distinction, it may be useful, but in practice the distinction between instrumental and transformational participation often turns out to be less relevant, since participation as a goal of democratize involvement and as a means to enhance effective development can be pursued at the same time.

And now let us look at this at different typologies of people's participation beginning with passive participation. Now in the typology of passive participation, basically people participate by being told what is going to happen or what has already happened with no ability to change it. When I was referring to beneficiaries being passive recipients of a certain welfare benefit. So, this is what we refer to as passive participation, people participate, but they have no ability to change what is being provided of them. And the information being shared belongs only to external professionals.

Now, in the for example, in the case of the high yielding varieties of seeds, green revolution that happened in India, now, the beneficiaries who received the technology, the high yielding variety technology, were merely passively participating in the sense that the technology was imposed on them and there was no scope on the part of the beneficiaries to challenge the use of technology that is being provided to them and the expertise with regarding to the technology of green revolution was held in the hands of the experts or the professionals who are involved in it. So that is one of the examples of passive participation.

Participation in information giving. Now this happens when people participate by answering questions posed by extractive researchers and developers and people do not have the opportunity to influence proceedings as the findings of the research are neither shared nor checked for accuracy. Now, this might happen in the case of suppose, let us say that the certain government interventions are to be carried out in a certain locality or a certain region, where means testing are carried out, means testing in the sense that social economic data are collected from the

households by asking questions to them. However, here the people who are involved in answering questions put out to them are also participating in an exercise, in a development exercise. However, that they do not have the scope of challenging the questions that are being posed to them.

Now, thirdly, participation by consultation. Here people participate by being consulted and external people listen to views. External professionals define both problems and solutions and may modify these in light of people's responses. And the consultative process does not concede any share in decision making and professionals are under no obligation to take on board people's views. Participation for material incentives. Here are people participate by providing resources such as labor and land in return for food, cash or other material incentives. People have no stake in prolonging activities when the incentives end.

Now for example, even here, in the case of material incentives where let us say some interventions are being carried out some kind of a scientific experiments are being carried out. For example, let us say nuclear testing in certain locations of a certain country, where the testing is being carried out on a piece of land which is held by a group of people in a certain village, where there is very scant habitation. And however, the people concerned have do not have much say on the experiments that are being carried out. And here the incentives provided to the households might be in the form of cash or various other in-kind activities.

A fifth typology is that of functional participation: Here people participate by forming groups or committees which are externally initiated. And these groups or committees are seen as a means to achieve predetermined goals. And these groups tend to be dependent on external initiations and facilitators but may eventually become self dependent. Now, this is something that we see in the case of self help groups, let us say for example, where some kind of a policy initiative is begun from the end of the external initiators. However, at the end of the exercise, women's groups or groups of men and women within the region might also stand benefited because of their role in initiating the change itself.

The sixth kind is what is referred to as interactive participation: Now, here people participate by being involved in analysis and development of action plans. Here participation is seen as a right and not just as a mechanical function. In here groups may be formed together with partners or

donor agencies and make use of systematic and structured learning processes. Here groups take control over local decisions and so people have a stake in maintaining structures or practices. Many of you might not have been aware of certain concepts in various mobilizations that are carried out let us say for example, food sovereignty movements where groups of people participate in a research method as a matter of right, as a matter of taking decisions over what food to produce, how it is to be produced, what seeds to be used. Now this is an example of interactive participation where the participants themselves take control over the development process that is being initiated.

Self mobilization is another of the typology where people participate by taking initiatives to change systems independent of external institutions and they retain control over how resources are used and such self initiated mobilization and collective action may or may not challenge existing inequitable distribution of wealth and power.

Catalyzing change, is another typology where the involvement and stakes of community members in influencing others in the environment to participate initiate change. Another of a typology is optimum participation. It indicates the need to focus closer attention on the difference contexts and purposes in order to determine what form of participation makes sense. And finally manipulation, which is nothing but a pretense of involvement where there is no real power.

Example to people's representatives on a board or committee who are outnumbered by external agents. Often in the case of rehabilitation exercises or land grabbing exercises, where the corporate houses are asked to form certain participatory methods of ensuring that people are participating in the process of land acquisition or land grabbing and so on. As a matter of formality people's representatives are made members of a certain board or a group. However, they are out-numbered by the external members as a result of which the representative himself or herself does not have much of a say in the group that has been formed. Now that also leads to various kinds of consequences.

So, this is a broad typology of what we mean by people's participation in development. And of course, all those participatory exercises in the middle here mostly are seen to have born positive consequences and the four typologies of participation on the top here are mostly passive forms of

participation, where the beneficiary, the so called beneficiary seems to be a passive recipient of some kind of a welfare good or a welfare benefit without much say in whether the welfare benefit reached out to him or her is of much use to them or not.

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A Typology of Interests in Participation

Form of Participation	What 'participation' means to the implementing agency	What 'participation' means for those on the receiving end <i>beneficiaries</i>	What 'participation' is for (the purpose)
Nominal	Legitimization-to show they are doing something	Inclusion-to retain some access to potential benefits	Display
Instrumental	Efficiency-to limit funders' input and make projects more cost effective	Cost-of time spent on project-related labour and on other activities	As a means to achieving cost-effectiveness and local facilities
Representative	Sustainability- to avoid creating dependency	Leverage-to influence the shape of the project and its management	To give people a voice in determining their own development
Transformative	Empowerment-to enable people to make their own decisions	Empowerment-to be able to decide and act for themselves	Both as means and an end, a continuing dynamic

Source Nilsson and Woodford-Berger cited in Mikkelsen 2005

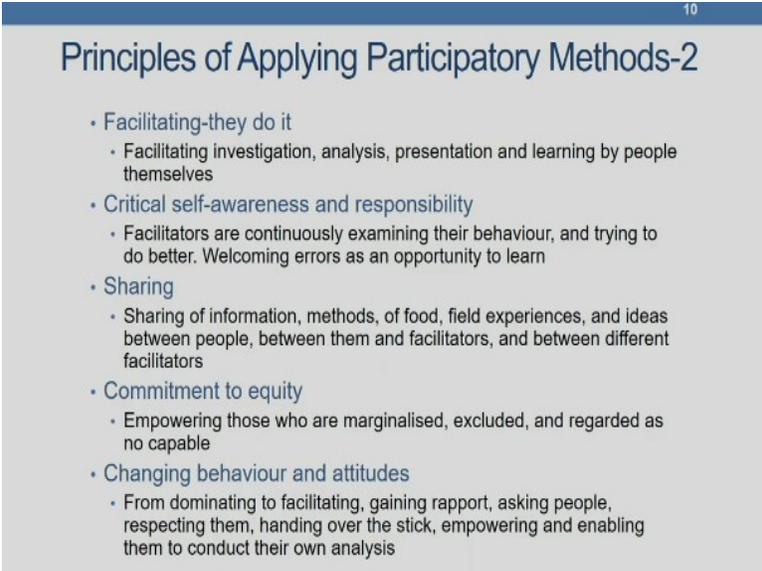
Now, sometimes participation can also mean conflicting interests. So it is also useful to come up with the typology of interest in participation. Now there can be different forms of participation like nominal, instrumental, representative and transformative. It is useful to tabulate typology of interests in the manner that is showing up on your slide now. What participation means to the implementing agency, what participation means for those on the receiving end or whom we generally call as beneficiaries or participants and what participation actually is for what is the purpose of participation.

Now, based upon the literature coming up from different scholars, the typology of interest in participation can be categorized under 4 broad heads. Nominal, instrumental, representative and transformative. Under nominal forms of participation, what participation means to the implementing agencies as follows. It means legitimization or to show that they are doing something, whereas participation for those on the receiving end would mean inclusion- to retain some access to potential benefits. And what participation is for the purpose? It is for the purpose of display.

In the case of instrumental participation, for the implementing agency, it means efficiency to limit funders input and make projects more cost-effective, for the participants or the beneficiaries cost of time spent on project related labor and other activities, and the purpose is as a means to achieve in cost effectiveness and local facilities. Representative- for the implementing agency it refers to sustainability to avoid creating dependency. So creating dependency on the part of participants on the implementing agency. For those in the receiving end leveraging to influence the shape of the project and its management and the purpose of it is to give people a voice in determining their own development. Transformative is- for the implementing agency empowerment or to enable people to make their own decisions. For the participants- empowerment to be able to decide and act for themselves. And the purpose of this form of participation is to be used both as means and an end, which is a continuing dynamic.

In terms of the conflict of interest with regard to participation, representative and transformative forms of participation are highly desirable in the case of the development research process.

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Principles of Applying Participatory Methods-2

- **Facilitating-they do it**
 - Facilitating investigation, analysis, presentation and learning by people themselves
- **Critical self-awareness and responsibility**
 - Facilitators are continuously examining their behaviour, and trying to do better. Welcoming errors as an opportunity to learn
- **Sharing**
 - Sharing of information, methods, of food, field experiences, and ideas between people, between them and facilitators, and between different facilitators
- **Commitment to equity**
 - Empowering those who are marginalised, excluded, and regarded as no capable
- **Changing behaviour and attitudes**
 - From dominating to facilitating, gaining rapport, asking people, respecting them, handing over the stick, empowering and enabling them to conduct their own analysis

Now, moving on, let us also look at what are the principles of applying participatory methods. What I would have done is to broadly categorize them under certain broad indicators. And let us begin with the first principle of a reversal of learning. Here the principle of applying participatory method is to learn from people directly on the site, gaining from local, physical,

technical and social knowledge. The second principle is that of learning rapidly and progressively not following a blueprint program but adapting in a learning process. Third principle is that of offsetting biases, being relaxed and not rushing, listening and not lecturing, being unimposing instead of important, learning concerns and priorities.

Some of the other principles of applying participatory methods are optimizing trade-offs. Here the principles of optimal ignorance and appropriate imprecision is applied. Triangulation meaning using different methods, sources and disciplines and a range of informants in a range of places, seeking diversity, which means seeking variability rather than averages, maximizing diversity and richness of information. We also depend upon facilitating or facilitating investigation, analysis, presentation and learning by people themselves. Critical self awareness and responsibility. Facilitators are continuously examining their behavior and trying to do better and welcoming errors is an opportunity to learn.

Sharing is one of the principles of applying participatory methods. Here basically it means sharing of information, methods or food, field experiences, ideas between people, between them and facilitators and between different facilitators. There is also a commitment to equity. Empowering those who are marginalized, excluded and regarded as not capable and changing behavior and attitudes from dominating to facilitating, gaining rapport, asking people, respecting them, handing over the stick, empowering and enabling them to conduct their own analysis.

Now, all of these principles that have been highlighted on the slide basically referred to you can also consider them as some of the ethical considerations to be kept in mind while carrying out participatory methods in the research process that we are employing.

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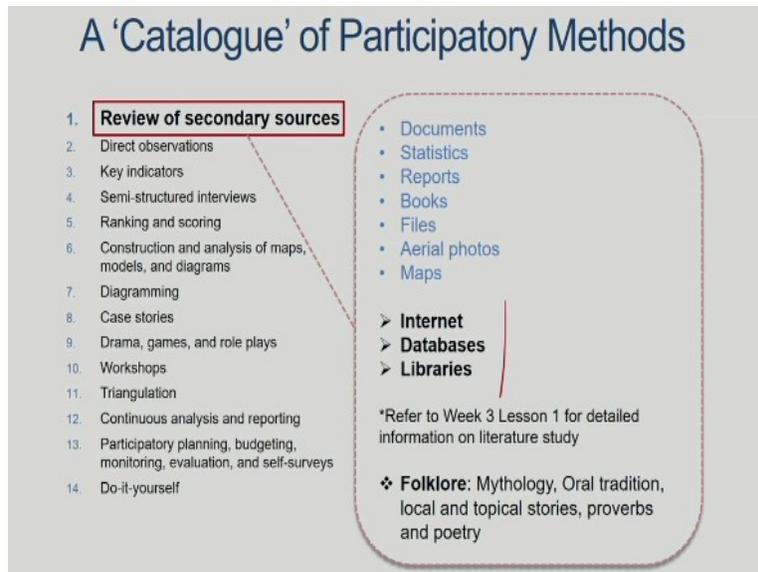
Principles of Applying Participatory Methods

- A reversal of learning
 - To learn from people, directly on the site, gaining from local physical, technical and social knowledge
- Learning rapidly and progressively
 - Not following a blueprint programme but adapting in a learning process
- Offsetting biases
 - Being relaxed and not rushing, listening and not lecturing, being unimposing instead of important, learning concerns and priorities
- Optimizing trade-offs
 - Principles of *optimal ignorance* and *appropriate imprecision*
- Triangulation
 - Using different methods, sources and disciplines, and a range of informants in a range of places
- Seeking diversity
 - Seeking variability rather than averages. 'Maximising diversity and richness of information'

So, it is useful to keep some of these principles in mind such as triangulation, where it basically means that we might have carried out a certain research. But of course, it is always better to validate the same research by reaching out to our peer group and having some kind of a validated check with regard to the research that has been carried out. This is referred to as triangulation.

Another useful principle to be kept in mind is what is referred to as facilitating. How to do it? Often facilitation of investigation and analysis and presentation and learning by people themselves. So for example, if we are studying let us say employment opportunities or the lack of employment opportunities in a certain region and if we go back to the people themselves and ask them to investigate the reasons as to what are the reasons why employment opportunities are a problem in this region, then it might lead to learnings by the people themselves. So for example, suppose there is a source of employment or source of work which people can tap. However, it is, there has been some kind of a knowledge issue with regard to how and where to tap the source of work, then this kind of facilitation of investigation by the people themselves may also help them to get employment opportunities.

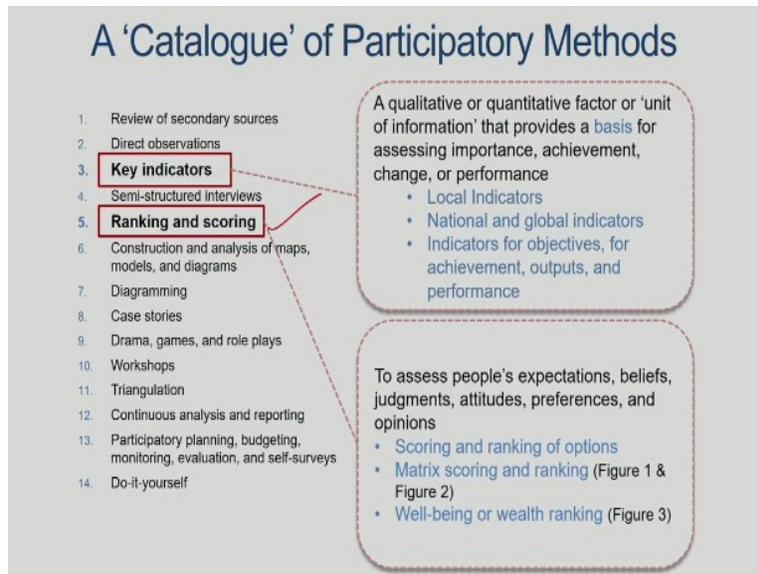
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Now, let us look at some of the participatory methods that are in use, that are widely used. Now, one of the things that is to be kept in mind is, no matter what our research topic is, a variety of participatory methods can be used to come up with valuable interpretations of the research findings that we have. Now, it is useful to look at a catalog of participatory methods to be able to understand where and when to use a certain participatory method.

Now let us begin with a review of secondary sources. Now, no matter as I said, what our research topic is, there is almost always a wealth of information hidden in a variety of resources and many references are accessible in libraries, in reports and in databases, and many documents may be downloaded from the internet. In fact, it is crimes in research and development work to not allocate time for documentary studies. Because when we have done proper prior documentation of our studies or we have done a proper literature review, it gives us a better start and saves time not only of our own, but more importantly valuable time for our respondents. And there are various sources of being able to do a review of secondary sources. In fact, in week 3 and lesson one, we have had a detailed lesson on information and literature study. I encourage students to go back to the lesson one of week 3 to be able to tap on the various kinds of literature review that can be carried out that we have studied. This is one of the first items on the catalog of participatory methods.

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The second is on direct observations. Now this is a very classical method that is used in anthropology for understanding indigenous knowledge. Here observation of physical structures, social differences, behavior, action and symbols in solitude or with others with whom observation or discussed provides important information for posing central questions. Now observation during all phases of a study contributes information on persistence and change and the shift in development cooperation from top-down interventions towards grassroots participatory perspectives provides a great demand for up to date approaches to appreciate indigenous knowledge in a globalizing world.

Another item on the catalog of participatory methods is what is referred to as semi structured interviews and we have again had a detailed lesson on semi structured interviews in week 4 lesson 2. So, you can refer to that lesson for detailed information. However, understand that increasingly interviews based on written or memorized checklists are taking the place of or supplementing large scale structured questionnaire surveys in development studies, primarily because large scale structured questionnaires are extremely time consuming and in today's world of fast paced dynamics in various contexts, even the respondents of the participants do not have much time to spend with the surveyors themselves. And therefore, semi structured interviews, questions which are open ended have come to take a pride of place in terms of getting information about the key individuals or key informants. We have also seen how unexpected relevant issues can be followed up with further questions or probing in the case of semi

structured interviews. Some of the important interviewees to be focused on are typically key individuals, focus groups or mixed groups.

The next item in the catalog of participatory methods is key indicators. Now, the key indicators can come up as an important item in both quantitative or qualitative studies, as some kind of a unit of information. Here, indicator is a qualitative or quantitative factor that provides a basis for assessing importance, achievement, change or performance. And some of the key indicators that needs focus on are local indicators, national and global indicators and indicators for objectives, for achievement, outputs and performance.

Now, local indicators contain basically local stakeholders criteria for what is more and less significant. Example criteria for priority crops, of poverty or well being or gender roles or illness, etc that are vital in problem analysis and for posing relevant questions. So for example, when we are studying cultivation practices or we are studying certain varieties of crops that need more emphasis, in a certain geographical region, often top-down approaches fail. And we need bottom up approaches where grassroots' involvement is a must and this where local stakeholders have much to say. Local stakeholders might mean the farmers themselves. We can go on for further disaggregation in the form of male farmers and female farmers, stakeholders in the sense of local agricultural functionaries, extension workers who are involved in providing seeds, distribution of seeds and so on. So, local stock stakeholders criteria with regard to crops can become a very important factor in designing the development process that we are aiming at.

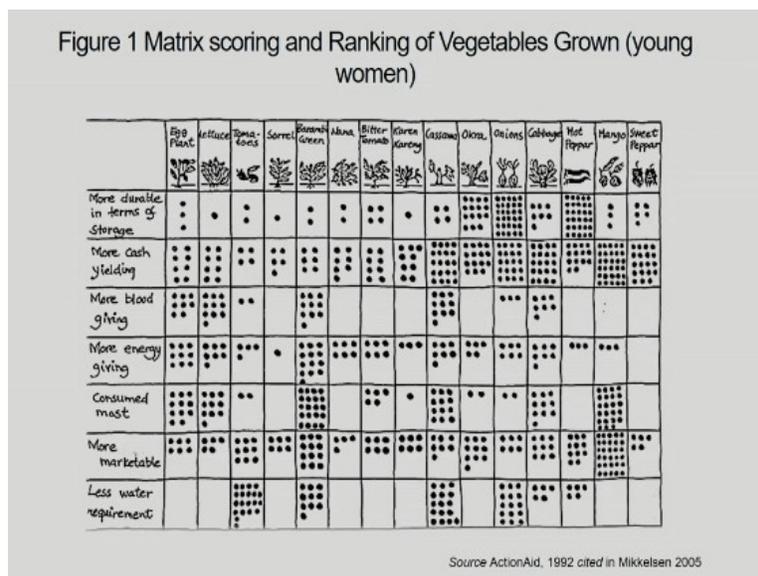
National and global indicators are also very important. Now since development studies are set in contexts where social groups, geographical areas, environmental zones, etc analyzed and then compared, it is necessary to be familiar with the indicators that are applied at national and global levels. For example, the globally agreed Millennium Development Goals or Sustainable Development Goals now are providing key indicators in a long list of global and national conditions relating to human development, poverty, and ecological sensitivity etc in the United Nations and Human Development Reports.

Indicators for objectives, for achievement, outputs and performances are another important area. Because these are integral tools when logical framework is applied in planning and monitoring

development interventions and most development agencies attach much importance to indicators without necessarily being able to advise on which indicators to use.

Another important item on the catalog of participatory methods is that of ranking and scoring and this is an item which is actually widely used in development work and development research. It is basically used to assess people's expectations, beliefs, judgments, attitudes, preferences, and opinions. And I have a few diagrams to show as to how different rankings and scoring methods that are carried out in the field can tell us a lot with regard to the perceptions of people and how we can, again go on to analyze them.

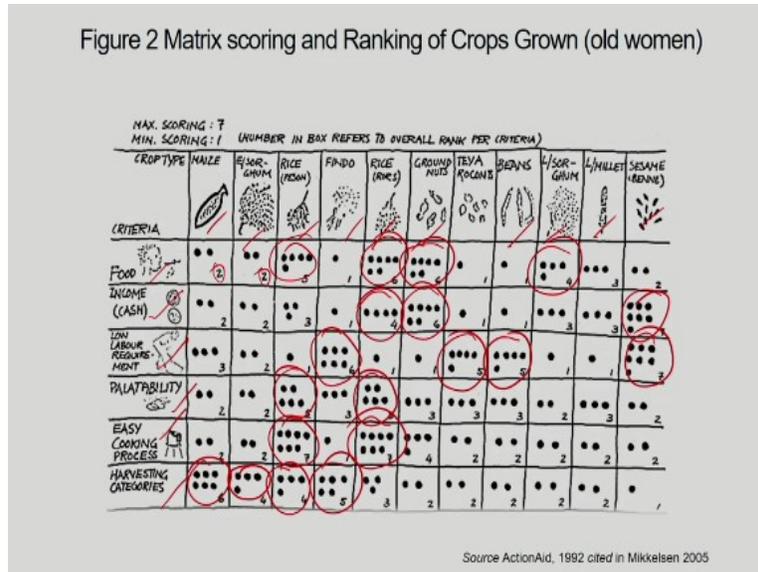
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Now, this is an example of a matrix scoring and ranking of vegetables that are grown in Gambia and this participatory method was employed among young women and these are 3 matrix scorings that I would eventually show. This is a matrix scoring and ranking of vegetables grown by young women.

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Figure 2 Matrix scoring and Ranking of Crops Grown (old women)



This is a matrix scoring and ranking of crops grown by older women.

And so if you look at the differences between the 2, here the younger women were asked to identify vegetables that are grown and the criteria that they are using for giving a lot of emphasis on which plant should be grown. Similarly here, older women were asked to rank crops by a given criteria with regard to which of those crops they would attach more weights on. Now, if you look at this diagram very closely, you would see that this is in the form of a matrix, where the criteria is shown on the y axis here where more durable in terms of storage, more cash yielding, more blood giving, more energy giving, which is consumed most, more marketable, less water requirement. And the vegetables here are eggplant, lettuce, tomatoes, sorrel, barambi green. These are basically crops that are specific to the Gambian context, okra, onions, cabbage and so on.

The places where you see more dots are for example onions if you see the number of dots here are very high which means that they are more durable in terms of storage. So more cash yielding you see more scores here, so these are the vegetables that are more cash yielding. More blood giving basically more nutritious foods are ranked here. More energy giving- these are more energy giving crops. Consumed the most- again, these are the crops that are consumed most. More marketable- if you see here mango which is a fruit is more marketable.

Barambi green, mostly because it is consumed more so it is more energy giving, it is more nutritious, it is more marketable, And these are crops which require less water- tomatoes, the barambi green, cassavas, onions and so on. So this is one example of how a matrix scoring method can be created on the field.

Now note the different criteria or indicators used by the 2 groups of women, younger women and the older women here. The older women have used the criteria in terms of food that is being consumed. They were asked the same question with regard to ranking the crops that are of importance to them. And the criteria that the older women have identified are food, incomes in terms of cash, low labor requirement, palatability, easy cooking process and harvesting categories. Whereas the younger women have these criteria.

And clearly there are also differences in the crops that are being ranked by the older women. Here in case of maize, sorghum, rice, findo, different kinds of rices, ground nuts, beans and so on millets, sesame and so on. Now, these are the scores that are given by the older women in terms of food- rice here, ground nuts and sorghum are given more importance. In terms of cash incomes certain variety of rice, ground nuts and sesame are given more scores. In terms of labor requirements, these are high labor requirements, these have less labor requirements. So, these are crops which are preferable because of low labor requirements. Palatability- these are highly ranked. Rice for easy cooking processes again rice here. Harvesting categories, maize probably requires more labor requirement for harvesting and so on.

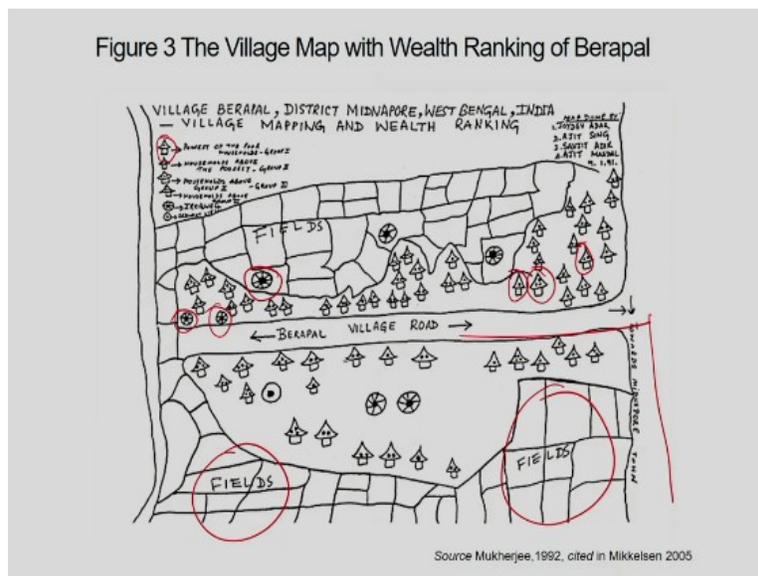
Now, what is to be noticed here is the difference criteria or indicators that are used by the two groups of the women, younger women and old women in the matrix scoring. The women's groups emphasize the nutritional value of crops and a similar matrix scoring exercise was also carried out among the men and which I have not shown here, which I do not have here in this slide. However, similar exercise was also carried out among men and the men's indicators of useful crops, mostly concerned production and marketing. But the women's group, especially the younger women, also operated with the larger variety of crops and criteria for ranking.

So ranking and scoring exercise illustrated here is condensed information on the criteria applied by different groups to assess the perceived value of different crops. And by splitting into different groups we can always gather more information that would not have been gained in a

joint ranking exercise. If we had clubbed the younger women and the older women into 1 group and carried out this exercise of ranking crops by different criteria, we might not have got this diversity of information that we just saw displayed.

So experience from Gambia, participatory training exercises showed that among many PRA techniques, matrix scoring proved the hardest and most tiring because it requires a lot of knowledge base on the part of the researchers who are involved in the participatory process as well. And a lot of time went into gathering symbols and some confusion remained around which way the scoring should take place, per criteria or per option. However, one benefit from this exercise was that people discovered that matrices can provide a vast amount of information produced by people themselves and in this way the exercise is a true exploratory and data collection method.

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Let us also look at this village map. This is another method of scoring and ranking that is generally used for coming up with participatory results. Now this is something that social anthropologists have long used in the case of wealth ranking of various places. Now in this map that is showing up on your slide here, this is basically some kind of a diagrammatic representation, which also falls into the broad category of wealth ranking. Here, the group holds the stick to draw the map possibly by participants taking turns and adding on to a map. Now,

usually when we come up with a village map or a location map, the village and location maps are not created by the researchers, by the villagers themselves who are engaged in the research and therefore this is what is participation. This map was constructed by the villagers themselves.

Here, this map is basically referred to as a social mapping and it was carried out in two Indian villages and the purpose among others was to identify poor households through villagers' perceptions. So, what is the villagers perception with regard to who is poor and who is not poor. And this is a very important question in development studies in development research where, do we impose our idea of poverty on the people or do we allow the people themselves to identify who is poor and who is not poor. And the social mapping exercise is a very good way of understanding these issues.

Now, here if you see, this is Berapal village which lies in the southern block of Midnapur district in West Bengal in India. Well-irrigation both by private households and government agencies has helped increase productivity of the area. So, if you see here, this is a symbol for poorest of the poor households, one dot here. Households above the poorest group 2 which has 2 dots. Households above group 2 or which is referred to as 3 so, it has 3 dots. Households above group 3, these are all irrigated well. So, this basically tells us which part of the village is irrigated, which part is not. And the social mapping also tells us that the village consists of mostly small and marginal cultivators and landless laborers.

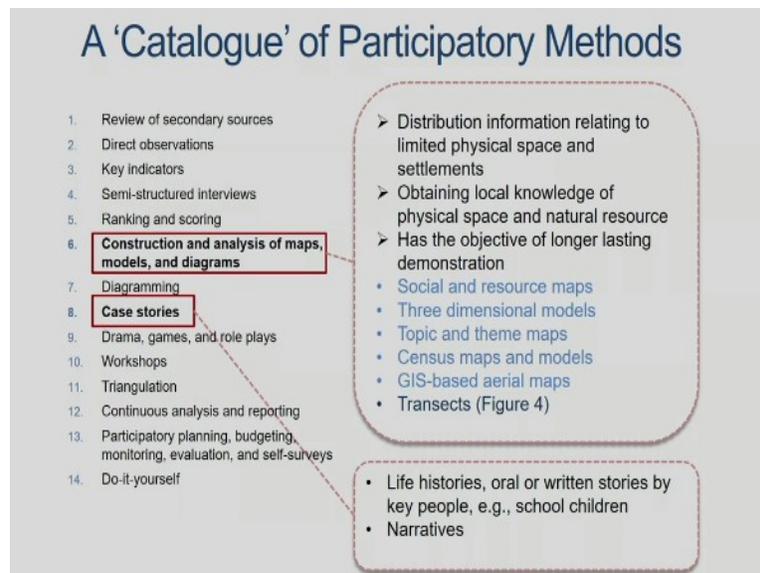
And the process started by drawing the villagers together near a village school or a tea stall. And the villagers were asked to map the entire village which was less than hundred households with fields, roads. So these are the fields here, which is villagers used for the social mapping drew in the social map. This is the village road towards the town here. Then the villagers were requested to map the entire village with fields, roads and houses, and then they were requested to identify the poorest of the poor households in the village. This they did by marking the households with symbols and they were also asked to describe the characteristics and reasons which put the households at the bottom.

So the real reasons for the poorest of the poor households being poor us but also asked to be so the perception of the villages was taken into account. Now after identifying the poorest of the poor, the villagers identified the next group of poor households and explained their reasons for

putting them in a group slightly better off. The villagers then marked each set of households with different symbols. They identified different layers of poor households, ranking them from below and also enumerating their characteristics until all the households in the village were mapped. And the results and the map are shown on the slide here.

This map is drawn with infrastructure and wells inserted among the round households. It condenses the variety of indicators of poverty used by villagers, widow heads of households, no regular source of income, seasonal food shortage, landlessness, environmental degradation, dependency rate etc and so on. So, this is what is referred to as the ranking and scoring method, where we are basically assessing people's expectations, beliefs, judgments, attitudes, and preferences.

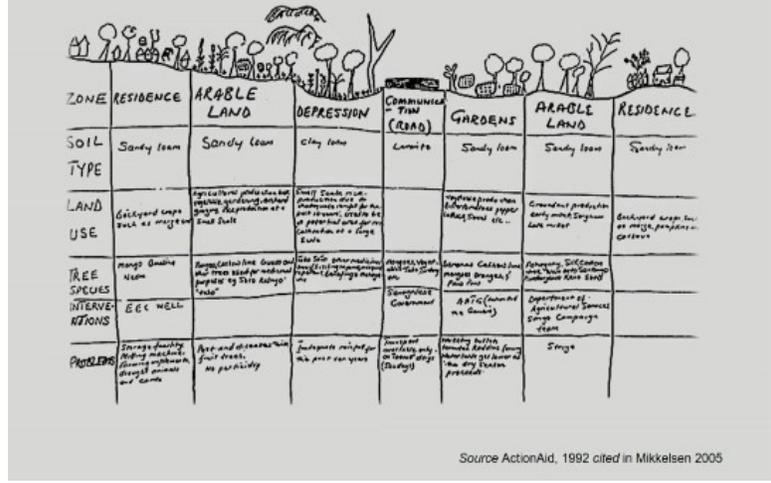
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Now, another item on the catalog of participatory methods is which is a very useful one again is referred to as construction and analysis of maps. I have already referred to the social maps. However, there are various other kinds of maps which are also utilized.

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Figure 4 Agro-ecosystems Transect, Misera (young men)



Source ActionAid, 1992 cited in Mikkelsen 2005

Let us say for example, Agro-ecosystems Transects; This is something that was mapped by young men, the zones that are categorized under soil type, land use, tree species. What are the different kinds of interventions that are carried out, and the geography- the residents, arable land, depression. So, these are all information that are gathered, this is some kind of technical information that is gathered from the younger people and is referred to as an agro-ecosystems transect that helps us to come up with some results on the agro-economic system information of the study area.

Another item on the catalog of participatory methods is case stories, which can be in the form of life histories, oral or written stories by key people examples, school children, narratives and so on.

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A 'Catalogue' of Participatory Methods

1. Review of secondary sources
2. Direct observations
3. Key indicators
4. Semi-structured interviews
5. Ranking and scoring
6. Construction and analysis of maps, models, and diagrams
7. **Diagramming**
8. Case stories
9. **Drama, games, and role plays**
10. Workshops
11. Triangulation
12. Continuous analysis and reporting
13. Participatory planning, budgeting, monitoring, evaluation, and self-surveys
14. Do-it-yourself

Participatory diagramming is used for

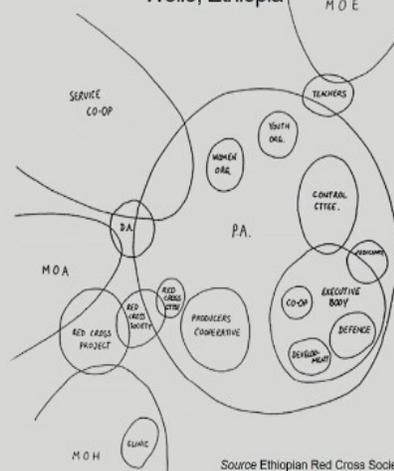
1. Used for summarizing empirical information
2. Summarizing analyzed information
 - Causal, linkage and flow diagrams
 - Force field analysis
 - Time lines, trend analysis
 - Seasonal diagrams
 - Activity profiles
 - Daily routines
 - Venn diagrams (Figure 5)

- Sometimes the optimal methods for bringing up sensitive issues into the open
- Can also be used for training purposes

Diagramming as opposed to social mapping is another important method of collecting information. Now, participatory diagramming is used for summarizing empirical information, summarizing analyzed information and so on. It can be in the form of causal linkage and flow diagrams, it can be in the form of force field analysis, or in the form of seasonal diagrams, activity profiles, daily routines and venn diagrams. I will give you an example of a venn diagram which is also very widely used in development research methods, which may look something like this.

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Figure 5 Venn Diagram of Decision makers in a Peasant Association in Wollo, Ethiopia



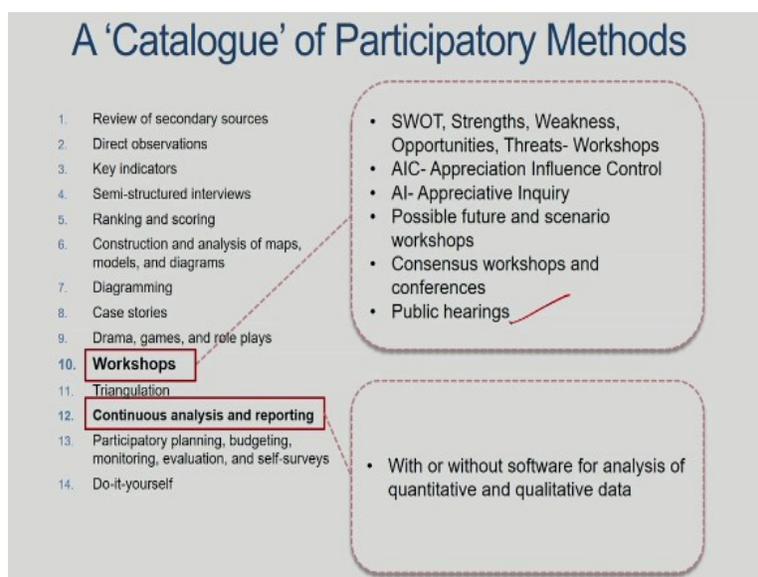
Source Ethiopian Red Cross Society, 1988/McCracken, 1991 cited in Mikkelson 2005

This is a venn diagram of decision makers in a peasant association in a place in Ethiopia. And these venn diagrams used in development research methods are also referred to as chapathy diagrams, after the Indian pancake shaped bread which places circles of different sizes in symbolic relationships to each other. The venn diagrams are used to depict the participant's sense of relations between local groups or organizations.

The size of the chapathy symbolizes the different weights allocated to the groups or organizations by the participants. Here, this figure illustrates the peasant's perceptions of the institutional universe to which their peasant association belongs. The youth organization, women organization, control committee, producers cooperatives, the cooperative, judiciary. So, it is a subjective delineation of how the peasant Association sees itself in reference to the various other associations in place.

Some of the other forms are drama, games, and role plays. And these are sometimes the optimal methods for bringing up sensitive issues into the open, can also be used for training purposes when we are dealing with sensitization workshops on matters related to women and child protection and so on these are the methods that can be highly used.

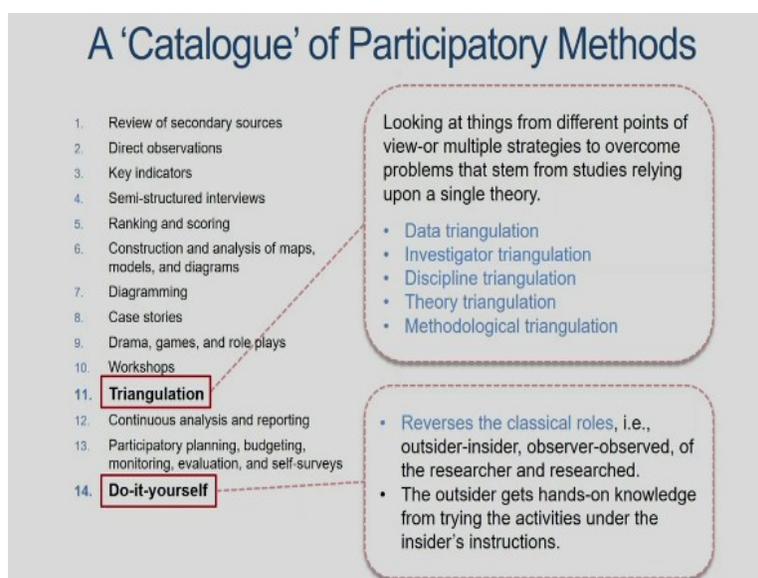
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Workshops and continuous analysis and reporting are some of the other methods. Now, workshops have become a most favored method of communication with different stakeholders for collecting data and sometimes for jointly analyzing data. In this context, I would like to encourage the students to refer to a book titled Participatory Workshops- A Source Book of 21 Sets of Ideas and Activities, by Richard Chambers, by Chambers 2002, which provides useful guidance for facilitators and trainers on how best to conduct workshops and move from teaching to participatory learning.

Now, there are various methods of carrying out workshop scenarios and possible futures, some of them being the SWOT analysis, strength, weakness and opportunities and threats which will be covering in the coming up sessions in this course. Public hearings are one very important way of looking up development of processes that are being undertaken. Continuous analysis and reporting with or without software for analysis of quantitative and qualitative data is an important item on the catalog of participatory methods.

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Triangulation can be of various kinds, they can be data triangulation, investigator triangulation, discipline triangulation, theory triangulation or methodological triangulation. Now, I will just give an example of data triangulation. For example, data triangulation can be divided into time triangulation, space triangulation and person triangulation. Time triangulation basically is where

the influence of time is considered in study design example using longitudinal research design. Space triangulation is a typical form of comparative study and person triangulation for example, comparisons of reactions at 3 levels of analysis. One at the individual level, 2 at the interactive level among groups and C at the collective level. Do it yourself basically refers to the reversals, the reversal of classical roles that is outside- insider, observer-observed, or the researcher- and the researched. So, you enter into a role reversal to understand the development issue better. For example, the outsider can get hands on knowledge from trying the activities under the insider's instructions.

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A 'Catalogue' of Participatory Methods

1. Review of secondary sources
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4. Semi-structured interviews
5. Ranking and scoring
6. Construction and analysis of maps, models, and diagrams
7. Diagramming
8. Case stories
9. Drama, games, and role plays
10. Workshops
11. Triangulation
12. Continuous analysis and reporting
13. **Participatory planning, budgeting, monitoring, evaluation, and self-surveys**
14. Do-it-yourself

❖ Participation in all project cycle activities

❖ Self-survey methods entail community members undertaking the basic data collection, typically under the guidance of a facilitator.

The assumptions are,

1. Ordinary people's knowledge is different from but counts as much as the experts'
2. People's support for a development activity increases when they are actively part of the decision making process

Participatory planning, budgeting, monitoring, evaluation and self surveys. This happens throughout the project cycle. Self survey methods entail community members undertaking the basic data collection, typically under the guidance of a facilitator and there are a number of assumptions here. The assumptions are ordinary people's knowledge is different from but counts as much as the experts' and peoples' support for development activity increases when they are actively part of the decision making process.

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Classification of Participatory Methods by Space, Time and Relations

Space related PRA Methods

- Social maps
- Resource maps
- Participatory modelling methods
- Mobility maps
- Services and opportunity maps
- Transects
- Participatory Census Methods

Time-related PRA Methods

- Time line
- Trend analysis
- Historical transect
- Seasonal diagram ✓
- Daily activity schedule ✓
- Participatory genealogy method
- Dream map

Relational Methods

- Cause-effect diagram
- Impact diagram
- Systems diagram
- Network diagram
- Process map
- Well-being ranking methods
- Venn Diagram
- Pair-wise ranking method
- Matrix ranking/scoring method
- Force-field analysis
- Pie diagram
- Livelihood analysis
- Spider diagram
- Body mapping

Source Kumar, 2002 cited in Mikkelsen 2005

Now, the classification of participatory methods by space, time and relations. Space lettered PRA methods are- this tabulation is basically taken from the items of the catalogues of PRA methods, this is just to give you a sense of what are the different kinds of PRA methods and how we can put them together. So, space related PRA methods are social maps, resource maps, mobility maps, transects, participatory census methods. Time related are timeline analysis, trend analysis, seasonal diagrams, daily activity schedule. In the next class we will be referring to field diaries which can be a part of daily activity schedule. Relational methods, we have taken the example of venn diagram and also matrix ranking and scoring methods where we come up with different kinds of analysis on how different groups relate to the questions that have been posed on them.

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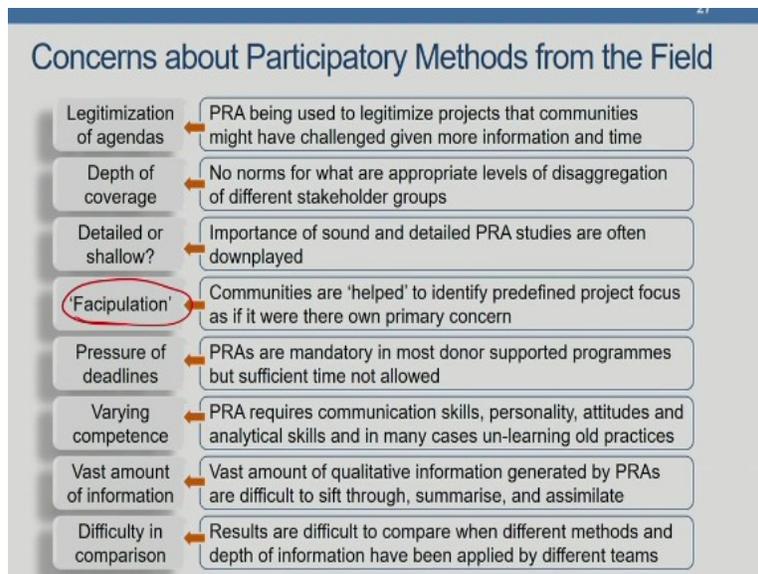
Spreading Uses of Participatory Methods

The applications include analysis, planning, implementation and evaluations in the areas such as:

1. Natural resources and agriculture
2. Technology assessments
3. Rural development and rural infrastructure
4. Programmes for equity
5. Health, water and sanitation
6. Education and training
7. Urban development
8. Policy analysis and reforms
9. Deliberative democracy and inclusionary processes
10. Participatory budgeting
11. Human rights
12. Conflict and dispute prevention
13. Institutional and organisational change
14. Participatory workshops

Now, given the widespread use of participatory methods, there has been a spread in the use of participatory methods and these applications include analysis, planning, implementation and evaluation in various areas such as natural resources in agriculture, technology assessments, rural development, infrastructure, programs for equity, held water sanitation, education and training, urban development, policy analysis and reforms, deliberative democracy and inclusionary processes, participatory budgeting, human rights, conflict and dispute prevention, institutional and organizational change, participatory workshop. So, the area of use is vast and it all depends upon where we channelize our research interest towards and which of the domain that we think we can address by the use of participatory methods. For example, I as an individual researcher try to focus more on rural development and rural infrastructure application as far as the participatory methods are concerned.

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Now, there are certain concerns about participatory methods in the field. We are moving towards the end of the lesson here and I will focus on the concerns about participatory methods in a tabulated format and also end this lesson with some questions with regard to the PRA methods. Now, the concerns are as follows; One is the legitimization of agendas, here PRA is being used to legitimize project. The concern here is that, often when we are using participatory rural appraisals, we think that we are advancing the notion that the research findings are coming from the participants themselves and therefore it is being used to legitimize projects that communities may have challenged given more information and time. Because research is being carried out at a certain point in time and there is a very short duration of being able to complete a certain research study, we might come up with a very erroneous conclusion regarding whether the participants really want some kind of a change that we are proposing in a certain locality. Because given more information and time, they may actually challenge the legitimization of those projects.

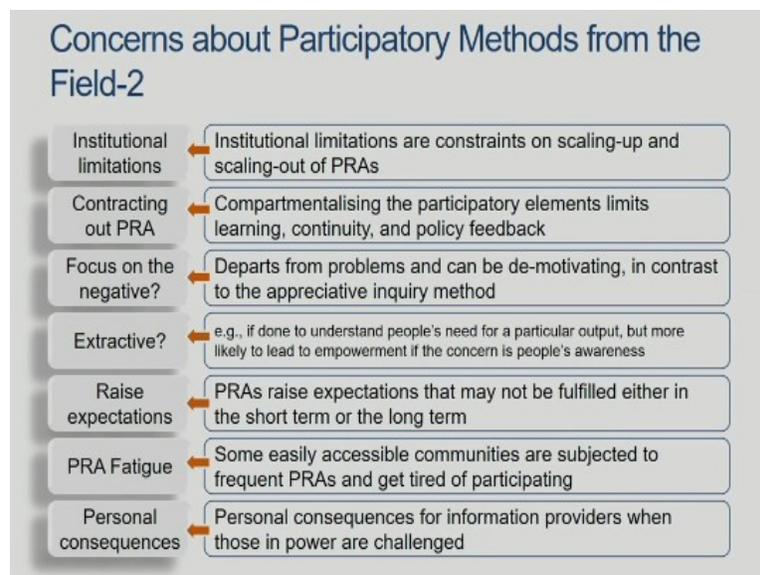
Depth of coverage- there is no norms for what are appropriate levels of disaggregation of different stakeholder groups. There might be various stakeholder groups that are being left out of the participatory process altogether because of the biasedness or lack of knowledge on the part of the researcher herself. Detailed or shallow, the importance of sound and detailed PRA studies are often downplayed. A very uncommon term facipulation. Now communities are often helped to identify predefined project focus as if it were their own primary concern. A community might

not be interested in a certain project in the first place. However it is imposed upon them or projected to them as being of something which has benefits to them and that is referred to as facipulation and that is something that, that is an imagined reality. We are creating that reality for the community is concerned.

There is a pressure of deadlines. PRA is a mandatory in most donor supported programs, but sufficient time is not allowed. There is varying competence of the people involved, because it requires communication skills, personality, attitudes and analytical skills and in many cases unlearning of old practices. There is also a vast amount of qualitative information which is generated by PRAs and it is difficult to sift through, summarize and assimilate, if the duration of the research processes is short.

There is difficulty of comparisons because the results are difficult to compare when different methods and depth of information have been applied by different teams. And this is where triangulation becomes important. When you are validating the results or checking for the accuracy of the results and you are entering into a triangulation exercise, it might come up that the results are incomparable when the same questions are being researched by different teams of researchers.

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There are institutional limitations, which are constraints on scaling up and scaling out of PRAs. There are also problems with compartmentalizing the participatory elements, which limits learning continuity and policy feedback. It also departs from problems and can be de-motivating in contrast to the appreciative inquiry method. Extractive- example, if done to understand people's need for a particular output, but more likely to lead to empowerment if the concern is people's awareness.

PRAs also raise expectations that may not be fulfilled either in the short term or the long term. There is also PRA fatigue, some easily accessible communities are subjected to frequent PRAs and they get tired participating. I have been taking the example of complimentary feeding practices among tea garden communities in the past few classes and I have also referred to gate-keeper permissions. As in permissions received by the researchers from the tea garden authorities for carrying out participatory surveys or participatory approaches researches in their community and often because of lack of permission received by the researchers, certain community or certain localities may be over researched. And that may also lead to some kind of a PRA fatigue and might tweak the conclusions that are emerging in form of research findings.

Personal consequences for information providers when those in power are challenged is also another important concern with regard to participatory methods.

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Some Questions by Critiques of Participatory Methods in Development

- Are they distorting real democracy?
- Can they really help bring about new forms of knowledge, power, action and know-how, needed to create a different type of society?
- Are they replicating existing social divisions?
- Is the responsibility being transferred onto rural communities for decisions in which they have played only a marginal role?
- Are they able to provide accurate information?
- Are they idealizing community and underestimating NGOs?
- Who actually represents whom in participatory exercises?

and practice. Sage.

- Thomas, A., & Mohan, G. (2007). Research skills for policy and development: How to find out fast. Sage.

For a comprehensive literature on the topics covered in this lecture it is also suggested that students go through the reference list of the above cited papers.

This is the last slide of this lesson. I will end this lesson by posing some questions by the critiques of participatory methods in development. Because here, it is important to ask these questions with regard to participatory development because, as I have pointed out in the beginning, these approaches are highly contested, and the meanings of participation and participatory approaches keep changing, given the dynamics of the social context in which we are researching. And therefore, the conclusions that we are deriving based upon these participatory approaches has to pass through a large amount of validation and accuracy checks.

Some of the questions that need to be kept in mind are, are these approaches distorting real democracy in the sense that people's participation in the development process- is it being led through certain ideologies- is it being led through certain researcher biases and a whole complex sort of set of other issues that might actually be highly undemocratic. Although participatory methods are supposed to be highly democratic.

Second question is, can they really help bring about new forms of knowledge, power, action, and knowhow needed to create a different type of society? Are we really moving towards it? Are they replacing existing social divisions? Is the responsibility being transferred on to rural communities for decisions in which they have played only a marginal role? Often the contradictions that we see in a certain community or the contestation that we see in a certain community might have arisen because of external forces and the people who are a part of the community may not themselves have had much role to play in the final outcomes. So under these circumstances, when we are prodding for participatory approaches to development are we then putting the owners back on the people in the community, in which they have played a very marginal role, they are not responsible for the outcomes that have happened in the first place.

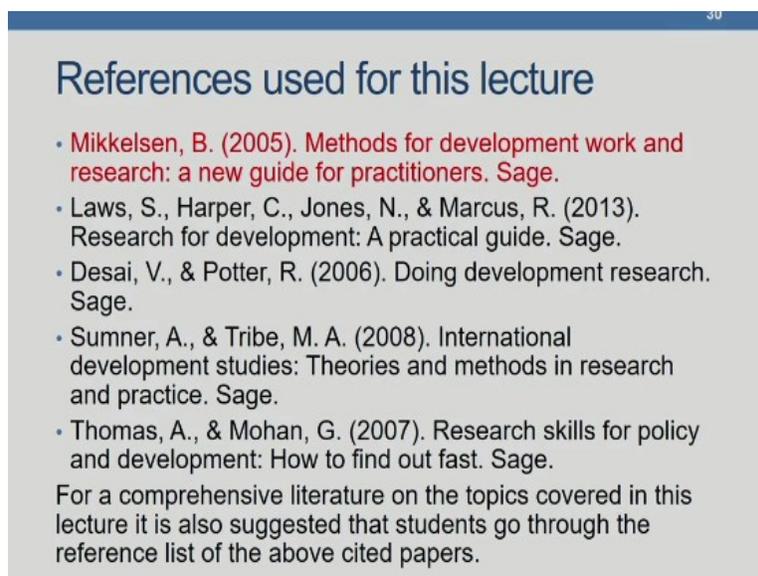
For example, in the case of environmental concerns, suppose we are trying to encourage participatory approaches for carrying out a certain development initiative in a certain region which has been environmentally damaged because of corporate intrusion or because of government intrusion or because of external intrusion in that area. Now, environmental damages have arisen in the first place without the participation of the rural community there. So, an outcome has already been created in the form of environmental damages and then we are carrying on participatory approaches, prodding the people themselves to participate in the

process of development. But here the people themselves are marginalized, because of intrusions that have been carried out by corporate forces and so on. So, is it something which is desirable is a question that needs to be kept in mind.

Are the people able to provide accurate information? Are they idealizing community and underestimating NGOs? Who actually represents whom in participatory exercises? These are certain questions that are being posed by the critiques of participatory methods in development.

Now, notwithstanding the limitations of participatory approaches in development and the contestations and the criticisms with regard to the connotations of the meanings of participation, we must keep in mind that participatory approaches are an ever increasing area of methodological exercise with regard to investigating development questions. And new ideas and new techniques are being added on to participatory approaches every year and it is still a very young area and innovations are still occurring and that needs to be kept in mind.

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For a comprehensive literature on the topics covered in this lecture it is also suggested that students go through the reference list of the above cited papers.

These are some of the references that have used for this lesson. I have widely used materials from B Mickelson's 'Methods for Development Work And Research: a new guide for practitioners' and the other references have also been used at certain places. And for a comprehensive literature on the topics covered in this lesson, I also encourage students to go

through the reference list of all these cited books and journal articles. I will see you in the next class. Thank you.