PUTTING A LIVELIHOOD PERSPECTIVE INTO PRACTICE
Systemic Approach to Rural Development
A Guide for Analysis, Appraisal and Planning in Rural Areas
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A Guide for Analysis, Appraisal and Planning in Rural Areas

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Navigation Guide

The contents give an overview of the manual.

Chapter 1 and Chapter 2 explain:
» How SARD combines different existing approaches.
» How SARD introduces a descriptive model of a local situation.
» How SARD focuses on the past, present and future.
» How SARD takes steps towards pro poor programme design.

Chapter 3 describes how to apply the methodology in practice through a step by step process. At the beginning of each step both the starting point and the main expected outcome are indicated. The 4 steps do not give a detailed receipe but give the broad sequence of actions to be undertaken.

Info sheets at the end of chapter 3 give additional information on some of the most important approaches and tools and their use in SARD. For more detailed guidance, the user should refer to existing documentation on participatory approaches and tools. Throughout the manual, links and references are given for more information on the different approaches and tools mentioned.

Abbreviations

ASA Agrarian System Analysis
OM Outcome Mapping
PCM Project Cycle Management
PLA Participatory Learning and Action
SARD Systemic Approach to Rural Development
SDC Swiss Agency for Development and Cooperation
SLA Sustainable Livelihood Approach
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Foreword

Although very much present in development discourse and practice, poverty is a phenomenon that we only partly understand and are far from effective enough in fighting. When initiating or evaluating rural development interventions, we continue to face a number of recurrent challenges, including:

» How to deal with the complexity of livelihoods and their context?
» How to involve poor people themselves in designing possible interventions?
» How to make the most efficient use of available resources?
» How to combine different approaches (gender, livelihoods, agrarian systems, etc) that foster learning and dialogue among partners?
» How to make choices regarding development interventions that take into account the variety of livelihood situations of people?

On the other hand, the gap between decision-makers and the realities of rural poor people is constantly widening. This makes it both more imperative and more difficult to base development interventions on an in-depth understanding of the local context. In this respect, the heterogeneity of household livelihoods is a central issue, since it is through a better understanding that interventions can be focused on poverty, and can be effective to include disadvantaged groups in development.

The Systemic Approach to Rural Development (SARD) supports development practitioners in finding locally adapted answer to these issues. This guide is a third version on SARD. It has been written as part of a learning process in which many people of the Social Development Division in SDC have contributed.

SARD has been used in Bangladesh and Tanzania and is currently being used by Intercooperation and SDC in Pakistan. It has been presented to a number of NGOs and experts, and several trainings have taken place. Parts of SARD have been used in a variety of different contexts. In this spirit the work on SARD will continue.
As it provides concrete guidance, and not a one-size-fits-all tool, I am convinced that SARD will contribute to improving the relevance of our support to poor people’s livelihoods.

Maya Tissafi

*Head of SDC’s Southern and East Africa Department,*  
*and former Head of the Social Development Division*
1. Introduction

A large part of the world’s population lives in rural areas and depends on locally available resources to make a living. With growing populations, an increased pressure on land, the growing demand for food, a global depletion of natural resources, and a climate that is changing, rural households are faced with an ever growing vulnerability. Some households have the capacity to successfully adapt and diversify their livelihood strategies, for instance through diversification of agricultural production, through adopting a production system that can better maintain productivity or through seasonal migration. Others move out of an area in search for a better living in urban centres. However many remain where they are and struggle on a daily basis to make a living.

When confronted with these challenges, the following questions are important:

» How to design a programme that supports rural households that struggle to make a living and to adapt their livelihood strategies to a changing environment?

» How to include disadvantaged groups, their voices and visions of the future in the formulation of development activities?

In the perspective of fighting poverty, livelihood systems are complex and between systems there are important relations. A multi-dimensional understanding of livelihoods can assist in finding out where a programme can have the best influence and the most impacts. It can give insight into power relations and forms of exclusion that prevent people or groups of people from making use of potentials, accessing opportunities, participating in development processes and satisfying their basic needs. Awareness of people’s realities is crucial for result-based management, and for relevance in terms of poverty reduction at different levels of steering.
This manual builds on the use of a sustainable livelihood approach and describes a way to put such an approach into practice. It guides livelihood analysis, appraisal and planning in rural areas with the aim of assisting in the design and re-orientation of development interventions. Such a Systemic Approach to Rural Development (SARD) offers the establishment of a holistic and differentiated understanding of poverty, livelihood patterns and relations between stakeholders in a rural setting. A participatory planning process based on such an understanding is more likely to result in poverty-focused and locally owned interventions. In addition to being a guide for analysing the local context and designing interventions, the manual also provides a link to programme monitoring and evaluation.

Although SARD does not offer a new methodology, it is innovative in the way it integrates complementary approaches and methodologies originating from different schools of thought, as well as providing guidance in their implementation. Essentially it can be defined through the integration of three methodological frameworks: agrarian systems analysis (French), the livelihood framework (British) and outcome mapping (Canadian). Other analytical tools are used to add value to the analysis.

The manual does not present an abstract framework, a rigid recipe, a toolbox or a research agenda. Rather, it is a guide that structures a process, providing keys to understanding rural realities - although it must be locally adapted and, if necessary, complemented according to need. In this sense it provides a means to implement principles that otherwise, all too often, remain at the level of intentions, i.e. people centred, poverty focused, and based on

Added value of SARD

» SARD builds a shared understanding about poverty and development among development practitioners, stakeholders and local communities.

» SARD is a practical guide that links analysis and program design.

» SARD allows the development of a systemic understanding at 3-levels: 1) household livelihoods, 2) typology of households and relationships with other stakeholders and 3) the landscape and how its characteristics relate to local history.

» SARD’s combination of methods enables dealing with different dimensions in a coherent way.

SARD can be tailored!

SARD can be adapted for use in different stages of project cycle management (formulation, monitoring, assessment, re-orientation), but can also be used for strategy and programme development. It is flexible in the sense that its steps and the duration can be tailored for different purposes and situations.
local people’s visions of the future. The process aims to result in:

**A shared understanding of poverty and inequality amongst the actors:** a landscape and historical mapping of the area and the construction of a household typology of the population give a differentiated and shared understanding of the factors leading to poverty and inequality.

**A common vision for the future:** actors identified in the analysis are guided in formulating their vision of the future.

**A link to the outcome of a development initiative:** in order to better follow up and/or to adapt programme contributions, the method focuses on a strategic orientation, participatory planning of interventions and measuring and evaluating changes, at the level of behaviour of individual households and of their members, at the level of power relations within communities, and at the level of the socio-economic and institutional context.

**Who is the manual for?**

SARD is primarily intended to assist in participatory analysis, appraisal and planning in rural areas and to give directions on implementation and monitoring. The manual is prepared for:

» Development practitioners with field experience in rural development and participatory approaches who are involved with local partners in the design of a development intervention. The facilitator of a SARD process is preferably one of these experienced development practitioners.

» Stakeholders in a programme who wish to reframe their partnerships on the basis of a common understanding of poverty and inequality.

» Rural local governments that are responsible for the creation of development plans.
2. SARD

Numerous methodologies have been devised to facilitate an understanding of the complex and varied realities of poverty in rural areas and to design poverty reduction interventions accordingly. As these different frameworks originate from different traditions or disciplines, they do not share the same language. To combine and implement them therefore requires substantial efforts on the part of development practitioners. SARD proposes a process that includes both analysis of the past and present situation and programming for future development.

2.1 Past & present

2.1.1 A combination of different approaches

In the analysis, SARD focuses on a differentiated understanding of households, their livelihood strategies and rural communities. In its aim to be holistic and gain such a differentiated understanding of poverty and change, it integrates both the Sustainable Livelihood Approach (SLA) and Agrarian System Analysis (ASA). These are seen as complementary analytical frameworks that can easily be used with other methods and tools. Their combination enables looking at people and their livelihoods in a broader perspective, to focus on the complex and varied realities of poverty in rural areas and it gives the opportunity to be more holistic in analysis and programming of pro-poor development interventions. In addition, other participatory tools that assist in collecting and analysing data are used, such as gender analysis, power relations analysis, stakeholder analysis, and an analysis of access to and use of services.

Sustainable Livelihood Approach

SLA is the main conceptual framework to analyse the livelihood situations of households. SLA represents the most appropriate of currently applied

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1 Developed by DFID, available at http://www.livelihoods.org
reference frameworks for effective poverty reduction. It takes into account that:
» people are in the centre of attention: development should be people centred.
» specific contextual considerations are of great importance.
» thorough links between macro level policy development and micro level realities need to be established.
» participation is a means and an end to effectiveness.

Figure 1 Livelihoods

SLA allows an analysis and a description of the stakes and constraints in the strategies that women and men develop to ensure the basis of their livelihood. SLA lays emphasis on the way in which both women and men develop strategies and their livelihood outcomes and on a structured analysis of both the context and the core of livelihoods.

In the construction of the SARD model described in the next paragraph, SLA is an integrated part. It is primarily used to understand the livelihood system of different household types, their asset portfolio and their livelihood strategies and outcomes. A gender sensitive analysis is an integrated part of the livelihood analysis at household level. Info Sheet 1 gives a brief overview of the main elements and principles of SLA.

**Agrarian Systems Analysis**

ASA provides a way to analyse agricultural production in greater depth, within the context of its ecosystem and in relation to its markets. ASA is especially useful in areas where the population or certain groups in the population rely mainly on agricultural production for their livelihoods. The analysis takes agricultural activities as a starting point and looks at the interactions between agricultural activities and other key aspects of development. It enables a description to be made of both the factors that determine the sustainability of productive activities, and the crises/shocks and their impacts on household livelihoods. For example, ASA leads to a better understanding of the conditions under which, and at what costs, an activity can enable a household to survive or shows the effects of the status of land tenure on the precariousness of household agriculture. The historical perspective included in ASA is useful to capture agricultural and natural resource use dynamics in the area.

ASA is especially powerful to analyse functional relations between productive activities linked to agriculture, whether these concern production input needs, access to rural services or the commercialisation of agricultural products on local markets. The dependence of agricultural activities on natural resources, and particularly the sustainability of these activities in view of the ecosystem, is a crucial dimension of the analysis of rural development situations. ASA enables one to evaluate and characterise the vulnerability of

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3 The school of thoughts on ASA is based on previous work by R. Dumont, further developed by M. Mazoyer and M. Dufumier at the National Institute of Agronomy (INA) in Paris. Main reference book to their work is Mazoyer M. and Roudant L., A History of World Agriculture - from the Neolithic Age to the Current Crisis, translated by J.H. Membrez (2006).
agricultural activities in relation to a number of contextual factors such as: market fluctuations and profit margins from the product sales; vulnerability due to climatic factors and their modifications; soil fertility; water availability for irrigation. Each type of agriculture has a number of characteristics, which ASA can help to identify, such as: performance, input requirements and constraints and a range of vulnerabilities related to social, ecological and economic framework conditions. The estimation of agricultural income and its surplus is central for evaluating the viability of agricultural activities: is the income sufficient for the maintenance of production equipment/tools, or even for investment in an innovation that would lead to productivity improvement? It also gives due attention to the importance and role of off-farm activities and off-farm income.

It is important to mention that ASA comprises both a qualitative as well as a quantitative analysis. For the latter, knowledge on production and income data is required as well as skills in estimating and calculating farm income. On the basis of a number of facts and observations (tools, crops, soils etc.), ASA provides a rationale for differentiating household livelihoods in a given area. This differentiation according to practised agriculture is combined with categorization based on local poverty and well-being into the rural household typology (refer to Info Sheet 2 - Rural Household Typology). More on ASA and its use can be found in Info Sheet 3 - Agrarian System Analysis.

Use of other methods and tools
Different analytical and investigative methods and tools are used to gather information and to further analyse data and observations, such as access to and use of services, landscape mapping, history mapping, stakeholder analysis, well-being assessment, and power and conflict analysis. They are shortly described below. It is up to the users of this methodology to decide whether to select additional tools not mentioned in this manual that are found to be as practical, more functional or context relevant.

Gender perspective and analysis is used throughout the methodology. A gender analysis enables one to identify the distribution of roles, competences, and decision making between the sexes within the households and access to and power over assets, whether concerning productive or reproductive tasks. The gender analysis provides a particularly important perspective to the analysis of power relations and access to decision making processes at household level and within the different household types.
Access to and use of services concerns the availability of service provision, such as public, formal, informal, social and production services, and the use of these services. The accessibility and use is important for at least two reasons. It provides a very productive means of assessing and characterising the livelihoods of households. Strengthening service delivery is a key to enabling a development activity to take off. The identification, even if approximate, of the complete range of services available, of access to these services and of their use is of main importance. The analysis of access to/use of services can be an essential element in developing the typology. It gives additional information on service related characteristics of households within the different types and it enables crosschecking of service related information to fine-tune the typology. Service delivery is taken in a broad sense and includes education, health, water and sanitation, mobility and communication, justice, energy, support to economic activities and social protection. Info Sheet 4 - Access to and Use of Services gives more information on the use of service related information.

Landscape mapping of the area is a tool used at the start of the analysis and an integrated part of the construction of the model. It involves the preparation of a map or a graphic representation of the land (a sketch map), giving the different agro-ecological zones and their characteristics. Landscape mapping gives a good overview of the area and its use of natural resources, for example land distribution, type of crops and livestock, forest use, water use. It is also a useful tool to prepare with the population; it gives insights into their perceptions on natural resource use and governance and can serve as a reference for discussion. Landscape mapping forms an important tool in the first part of an agrarian system analysis and has as objective a better understanding how natural resources are used for agricultural purposes.

History mapping is important to understand the changes that took place in the area over a period of time, both in terms of natural resources and climate as well as in terms of livelihoods and population. It also gives insights into the adaptation to these changes by the local population. The history of the farming systems is an integrated part of ASA. ASA perceives a farming system as a historically created and sustainable means of harvesting natural resources. It therefore focuses on the level of exploitation of natural resources and the main steps in the evolution of natural resource use for agricultural purposes. An historical perspective also gives insight into past events such as conflicts, periods of natural disaster or changes in the environment and the ways in which households or communities have coped with them. SARD
combines landscape and history mapping in maps of the area of the past and the present. They are prepared during the analysis. An additional future looking map can be prepared as part of programming. For more information on landscape and history mapping refer to Info Sheet 5 - Landscape and History Mapping.

**Stakeholder analysis** consists of identifying the key actors concerned by a development activity and their relationships. It aims to identify the stakes and interests that different groups of actors may have in the activity. The way in which these influence (or could influence in the case of an activity which still needs to be defined) the impacts and the sustainability of a development activity must be assessed. It also can identify local institutions and processes that can be of use and it provides a basis for participation in the programme. A stakeholder analysis can be done during the analysis and used for programming.

**Power and conflict analysis** further deepens a stakeholder analysis. Conflict analysis provides another insight in the local social and political situation and is a fruitful entry point to better understand “who relates to whom”, and “who has an interest in what”. The analysis of power relations, as well as the identification and analysis of the main local issues, of different conflicts of interests and related strategic positions on these issues enables one to identify the ways in which political assets are shared at local level. Refer to the websites of IIED and FAO respectively for power analysis and conflict and alliance mapping. The power cube developed by John Gaventa is another method that allows a thorough analysis of power in relation to how spaces for engagement are created, the levels of power (from local to global), as well as different forms of power across them. A stakeholder and power analysis will assist in identifying strategic interventions aimed at addressing present and potential conflicts or issues.

**Well-being assessment** by the people of their own situation is a useful tool to get a people’s perspective on their own situation and on poverty. It generates understanding of how people perceive their own lives, their level of poverty, their ways of making a living and which indicators they would

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6  IIED: http://www.iied.org/NR/agbioliv/pla_notes
use to assess improvement in their livelihoods. It also gives a first idea of what people think of a better future. The use of a well-being assessment might not always be needed, for example in existing programmes where people have a good level of understanding of their situation.

Other participatory methods and tools can be used in the analysis and for programming. The common theme among all these tools is the full participation of people in the processes of learning about their needs and opportunities, and in the action required to address them. They can range from visualisation, to interviewing and group work. Another common feature is the promotion of interactive learning, shared knowledge, and flexible, yet structured analysis. A range of such participatory methods and tools can for example be found on the websites of IIED, FAO and AidsAlliance.

2.1.2 Model

To gain a differentiated understanding of poverty and change in the concerned area, and to translate this into programme design and implementation, one needs ways and means to do so. SARD introduces a model that sketches a simplified picture of the local reality at 3 levels: landscape and history (meso level), household types and individual households (micro level). This model assists first of all in gathering and organising knowledge and information on the area of both the past and the present. Secondly, it provides guidance in questioning reality and so improving the understanding of the local context. The model assists development practitioners and stakeholders in better understanding dynamics and the evolution of rural livelihoods and their context. The 3 levels remain at any stage hypothetical as they are based on observations and perceptions of different actors and could never capture all dynamics related to livelihoods.

The landscape & history map places the different

livelihood aspects in a larger context, which enables the identification of links between peoples’ livelihoods at the local level and broader aspects such as trends in agriculture, population, local and regional markets, policies, and macro-economic trends. It intends to explain why things have changed in the project area and serves as a basis for the development of strategic orientations. The info sheet ‘landscape and history’ gives an idea on how to visualise such a map.

Landscape and history basically consists of two scenarios of the same area, one of the past and one of the present. It gives a physical area overview that integrates an historical perspective, including significant change patterns, as well as identifying the main stakeholders and their inter-relations. These scenarios include observations and observed facts representing the background knowledge necessary for understanding livelihood strategies.

Figure 2  Landscape and history map
and the vulnerability of the different household types identified. Such knowledge enables the identification of links between observations made at the local level and broader aspects such as national policies, regional markets and macro-economic tendencies. The map facilitates the interpretation and understanding of observations as it places these different aspects within a perspective of change and recognises trends and regional dynamics related to the livelihood strategies identified.

The rural household typology categorizes households according to livelihood relevant criteria (farming and non-farming). Such a typology enables capturing the heterogeneity of household livelihoods with the aim of better understanding key aspects of poverty. This is crucial since, through an understanding of these key aspects, interventions can be focused on certain groups and their inter-relations and can, for example be effective in changing exclusion mechanisms affecting disadvantaged groups.

In practice, households in an area are divided into a small number of types. In each type the households have similar livelihood characteristics, for example in terms of strategies, constraints, perspectives and access to opportunities. Socio-cultural characteristics, agrarian systems and access to and use of services form the main elements to decide on criteria for a household typology.

After the initial construction of a household typology, it is used to organise the first series of interviews for the analysis. During the analysis, the typology is further shaped and adjusted according to observations and findings. Here it is important to focus on a better understanding about how decision making at household level takes place. This includes, for example how do households use their asset base, how do they deal with their vulnerability, what are their main constraints, etc. Throughout programming, implementation, monitoring and evaluation of interventions, the typology is used as a basic reference. It serves the programme as a working tool to manage the heterogeneity of the community in a pragmatic manner. A typology might
not be able to capture all dynamics of different households in an area. It can at any time during its use be adjusted according to new insights or changes that occur in the communities. For more information on the construction and use of a rural household typology refer to the Info Sheet 2.

Figure 3  Household typology

The individual household level gives insights into gender roles and responsibilities, the household asset base, livelihood strategies and their outcomes, constraints faced and opportunities of different households. It forms the basic level informing on the livelihood situation of the poor people. Information collection at the household level forms the basic source of data for further analysis. The sustainable livelihood approach (SLA) is the main conceptual framework to analyse household livelihood situations. Another
framework that could be used to gain insight at a household level is the nine-square mandala introduced by the Rural Livelihood System approach which uses the rural house as a metaphor for livelihoods and focuses on both relations within a household, including gender relations and the “outer realities” of a household. For more information on SLA refer to section 2.1.1 and to Info Sheet 1.

2.2 Future

After the analytical stage, it is time to look towards future development:

» What are conclusions to be drawn from the information collected?
» What do the people involved foresee in their development?
» Which strategic orientations can a development programme take?
» What are possible outcomes of such a programme?

Programming for the future leads to a development vision and strategic orientations that are formulated and negotiated on the basis of the vision and perspectives of different groups of households in the area. It includes planning for implementation of the development intervention and monitoring and evaluation of programme outcomes.

2.2.1 Local dynamics

Based on the model explained above, local dynamics, strengths, potentials, issues and conflicts are deduced which are of importance for deciding on a strategic orientation and designing development interventions.

The three levels in the model allow the user to extract and describe:

» Local dynamics in the area that will be important for future development.
  This could include trends in livelihood strategies, driving economic, social or political forces but also social dynamics that play a role in decisions people take such as relations between different groups.
» Strengths and potentials will serve as a basis for future development; can they be used, can one build on them, can they be reinforced?
» Issues and conflict are important to consider for future interventions; will

interventions be hampered by issues or conflicts, will interventions tackle an issue, will interventions assist in solving a conflict, etc?9

This description can be focused on a specific sector, for example, health and sanitation, but can also be much broader, for example in the case of an area based livelihood programme.

The two figures on the following pages show an example of local dynamics of two villages as identified during a SARD exercise that took place in the Emmental10.

Figure 4 gives the reader an idea how to visualise local dynamics after collecting data about the situation in an area.

Programmes bring about social change, which involves shifts in power structures. Specific measures must sometimes be taken to ensure that a real participation in change processes can take place e.g. of women and/or of the poorest and/or other disadvantaged groups. The conflict sensitive programme management tool developed by SDC can be a useful tool in facilitating a negotiation process in such sensitive situations.

Conflict Sensitive Programme Management, January 2006, SDC


Figure 4. Local dynamics in Schangnau & Rothenbach – a balance between farming and business

- Wheel that keeps the villages going; relations between farming and business, the 2 most important economic sectors that form the basis of economic livelihoods

- Adaptive ability
- Improved diversification
- Direct payments
- Improved image
- Reduced innovation capacity
- Workload
- New local products
- Identity with region/village

- Economic drivers (engine) that keeps the wheel turning
- Difficulty in succession of farm
- Increased in farm size
- Population gets older
- Less local labour
- Flexibility of employers & employees
- Income from external markets
- Change in demand

- Positive stimuli that can give the wheel new swing and
- Difficulty to fill public positions
- Decreased attractivity for young families
- Less school children

- Slowing down effects that can bring the wheel out of balance
- Local strengths of the population and in most business relations
Figure 5 shows a further reflection on strengths, potentials, weaknesses and risks and what these imply for the future. At the centre of the future picture, the participants in this exercise placed a visionary statement focused on improved living quality and income for the local population.
2.2.2  Vision development & programme design

**Outcome mapping**\(^{11}\) is an appropriate approach to design for development in relation to the broader development context but assessing within a particular sphere of influence. SARD promotes the use of outcome mapping for programme design, planning, monitoring and evaluation as it is participatory, flexible in its use and complementary to the other methodologies used. Its key features are:

- Looking at the bigger picture or development context and seeing a programme as part of an interconnected web of relations and systems that is constantly changing.
- Change is continuous, complex and not controllable and development contributes to an overall change process in partnership with other involved actors.
- Development is done by and for people so the main focus is on change in people’s strategies and practices.
- A focus on learning and outcomes such as changes in practices rather than on impact.
- A focus on direct partners in a programme (in outcome mapping these are called boundary partners); those a programme works with directly and with whom opportunities to influence are feasible.
- Looking, as a project, at oneself as being part of a web of interrelations with other actors.

Outcome mapping is an appropriate way of building on the SARD analysis. Based on the understanding of the livelihood situation and the local context, and the ideas of people with regard to change in their area, outcome mapping enables designing a programme in dialogue and collaboration with partners.

SARD does not exclude the use of other planning methodologies provided they:

- Put people at the centre and aim at participation and inclusiveness.
- Build on people’s vision and support people’s livelihood strategies.

**Vision development**

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\(^{11}\) Earl S., Carden F., Smutylo T., Outcome Mapping, Building Learning and Reflection into Development Programs, International Development Research Centre, Ottawa, Canada (2001).
Collective visioning by the population is used to define and help visualise a desirable future. As it is a group based exercise, it allows the people in a group or groups to create images that can help to guide change in their area. The outcome of a visioning exercise is an idea of how a desirable future could look like and it gives an orientation of what to undertake today. Depending on the situation of a programme, a visioning exercise can also be used to discuss and reflect on more specific development such as infrastructure needs or future land use and planning12. Visioning is an important exercise as it enables people to voice their ideas of the future and enables integration between the often very different issues that are in play in a particular area. As mentioned before a vision serves as a frame for strategy development and is the first step of outcome mapping. It needs to be done with care as a vision or its different contents will continue to be relevant during the lifetime of a programme.

Programme design
Before planning a programme, first of all, decisions have to be made on its major strategic focus; what are the main changes it would like to support? The livelihood and context analysis and the vision of the population must enable substantiated choices to be made for interventions. Should direct interactions be established with the concerned populations at project level, or should the interventions be indirect and through measures which influence the context of concerned people’s livelihood strategies? Context components could for instance include pro-poor policies, changes at institutional level or vulnerability reduction. It is therefore a matter of negotiating and of establishing priorities. These must take into account the concerned people’s proposed orientations and also what is feasible (financial resources, policies, donors’ priorities, etc.) and a choice must be made. The choice of strategic orientation priorities must be taken together, based on the different available options.

After the main strategic choices have been made, the first stage of outcome mapping assists in designing a programme. It basically answers four main questions:

I. Why engage in development?
II. With whom will the programme work?
III. What results does the programme together with its partners want to achieve?

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IV. How is the programme contributing to change in a focused manner?

For assistance with the design of a monitoring and evaluation system for a programme, outcome mapping provides a framework in a second stage. An overview of the different methods combined in the SARD diagnosis is given in Figure 6.

![Figure 6 Systemic Approach to Rural Development](image)

2.3 A step by step process

The analysis and programme design tools and methods as promoted by SARD are planned for use in a process of four steps. The process starts with preparing and carrying out an analysis and ends with the design of
a pro-poor programme. The SARD process is participatory and preferably includes future programme staff and possible partners from the beginning.

Team and facilitator
A team of women and men, preferably with multi-disciplinary backgrounds, is responsible for the implementation of the SARD exercise. This team requires facilitation by an experienced development professional, who is able to train and coach the team in the methodology and its different steps. The facilitator should be familiar with the different methods and tools used in this process. The team is responsible for carrying out the analysis and programming steps and, if the situation permits, it is involved in the future implementation of the programme. The latter would have the advantage that the understanding the team develops of the livelihood strategies and dynamics in the area will be taken further during programme implementation.

It is important that the facilitator considers the different methods and tools mentioned in this manual. Based on the local context of the programme, the time available and the experiences of the different team members, decisions must be made about which methods and tools to use, to what extent and
when in the process. It is also important for the facilitator to arrange for an environment that enhances creative but systematic collection and analysis of data and at the same time builds the capacities of the team members. Towards the end of the analysis process the team should be experts in understanding local conditions as well as the practices, knowledge and dynamics of the concerned population and should have an excellent rapport with them.

The role of a facilitator in the process focuses on guiding the team in carrying out the analysis and developing the model. In the programme design part, the facilitator will need to guide more a negotiation process. A donor representative, for example, could therefore facilitate in the analysis but not in the programming steps where she/he would become part of the negotiations. A facilitator would need both the competences to guide and coach a team and to facilitate negotiations.

**Step 1 and 2**

The analysis is to be an iterative process of learning and takes place in 2 steps. Step 1 comprises the preparation of a team that is responsible for the entire exercise. As part of the preparation, the team is introduced to the methodology, following a learning-by-doing approach. The team undertakes a preliminary study of secondary data to gather secondary information on the area, its local history, its natural resources and characteristics and its population. It pays first visits and makes contacts with local authorities and main stakeholders to establish relations and discuss the objectives of the upcoming exercise. Based on this first understanding of the area, an initial explanatory model, including a tentative household typology, is constructed, which is used to plan for the participatory analysis that takes place in step 2. The step results in a team equipped to undertake the participatory analysis.

Step 2 consists of carrying out a participatory analysis using different participatory methods and tools. It concentrates on interviews with households and key stakeholders at different levels identified by the team, sharing of findings, further discussion and reflection with the population and local actors. The main objective of the analysis is to gain a differentiated understanding of poverty and change in the area; an overview of main characteristics of the area, its population, institutions and stakeholders, its history and of the dynamics of development in the area amongst different stakeholders. The result of the analysis is a shared understanding of rural development and development dynamics in the concerned area, and
particularly a differentiated understanding of households’ livelihood and poverty situations and their determining factors. It therefore enables one to focus more appropriately on poverty, and on the basis of this common understanding to engage in dialogue between partners.

**Step 3 and 4**
Based on the understanding of the livelihood situation and the local context, step 3 and step 4 focus on the design of a programme. Step 3 is a key step in moving from an analysis of the past to the future. It aims at developing a vision for a better future. It is an essential step to develop ownership of interventions and sustainable outcomes. In step 3 representatives of different household types concerned with the programme formulate their own vision of a desirable future to which they aspire. At the end of the step, the vision is shared with concerned authorities and donor agencies with the outlook of further programming of poverty focused interventions.

**Vision of the future**
In Sunamganj district, Bangladesh, in the village of Minagaon, a group of 30 households with a similar socio-economic profile planned together for the future with the facilitating help of a local NGO. They wanted to look into additional income generating activities and thought of starting savings and credits. They also thought about making use of government services but they had no idea what was available and none of the households had experience in doing so. They all would like to have better access to safe drinking water and access to land in order to have their own place to live and to cultivate vegetables and fruits.

LEAF Project, Bangladesh, March, 2007

Step 4 focuses on the development of strategic orientations and the design and planning of interventions. As mentioned in section 2.2.2, outcome mapping is a methodology that focuses on outcomes as change in people’s strategies and practices and therefore a logical choice for building on the analysis and visioning in steps 2 and 3. Step 4 follows the process described by outcome mapping, which results in a mission of the programme, its partners, choice of priority lines for interventions, objectives and expected outcomes for interventions and a set of indicators for the participatory monitoring of outcomes.

**Duration**
As mentioned in chapter one, the steps of SARD and their duration can be tailored for different purposes. The time required to go through the entire
process from scratch (in a new area) to finalising the design of a programme is estimated to be between 4 to 8 weeks.

2.4 Experiences with SARD

Tanzania
In Tanzania, a team of investigators carried out an analysis. The investigation was quite elaborate and took about 3 months. It proved to be inclusive and gave the team members profound insights about the livelihoods of the poorer people and the power dynamics between the different groups in the area. The daily evening sessions, during which team members shared their findings and observations, proved to be important as an iterative process of both building the team’s capacities in using the method and consolidating findings. The Tanzanian experience showed that the household typology gives a differentiated view of an area in terms of socio-economic groups and gives ideas for programme elements. However, to get a more comprehensive understanding of peoples’ realities, more is required. In an explanatory model, the study shows how household types and other elements are interlinked and the description of these relations gives more insights into how the rural society in question is functioning. The study concludes that the methodology presents a promising approach in terms of identifying the dynamics of an area, putting different findings and data into context and in relation to each other, and looking at livelihoods as a whole. The typology is a particularly powerful tool to identify different groups and their interlinkages and interdependencies, allowing decision makers to better envisage the effects of development interventions or policies.\textsuperscript{13}

Pakistan
In 2006, an ongoing livelihood project in NWFP, Pakistan introduced a historical interpretation and the construction of a household typology after a mid-term review had taken place. Due to the familiarity with SLA and an already existing understanding of the livelihood characteristics of the population, the construction of a typology took place in only a day while the history picture was collected over a period of two months. Both the

Figure 8  Explanatory model and relations of power, Turiani, Tanzania
historical perspective and the typology contributed to gaining more in-depth insights into relations and interdependencies between the different groups in the area. The project partners were able to adjust certain interventions by focusing more on specific household types. They were also able to improve their monitoring framework by adjusting and changing more livelihood and outcome specific indicators. It also showed that a project team and partners in an ongoing programme are in a meaningful manner able to make use of elements such as a typology. For example, the typology was used in dialogue with communities on project interventions and in participatory decision making on who should take part or could benefit from which intervention, such as a small action fund for income generation or participation in farmer experimentation. The methodology also proved instrumental in strengthening the capacity of project and partner staff in a more systemic reflection about and analysis of project outcomes.

2.5 When to apply SARD?

Before a programme starts
» In a new area: to know where and with whom the programme wants to work.
» In situations where a strategic orientation is defined, for example in case of a water and sanitation programme or a value chain focused programme: to gain a better understanding of the livelihoods situation in the area could be instrumental to focus interventions either at specific groups or at relevant institutions and processes.
» If the institutional setting in which the programme will work is known, for example in a decentralisation context where municipalities are supported in developing their municipal development plans: together with the institutional partners a SARD analysis can be undertaken.

The main purpose of applying SARD before a programme starts is to design a livelihood focused programme, to ensure inclusiveness of different groups throughout programme planning and the implementation process and to emphasise poverty reduction.

During programme implementation
The aim of introducing SARD in an ongoing programme would be to identify the intended and unintended results of a programme on the livelihoods of the people in the programme area. Based on a more differentiated
understanding of livelihoods, poverty patterns and the wider context, SARD assists the different actors in the programme to adjust or redesign their programme towards strategies and interventions that better suit people’s livelihood strategies and visions or to focus more clearly on poverty issues.

**When a programme ends**
Towards the end of a programme there is an interest in knowing what were successes of the programme, what were constraints and what lessons can be learned for possible future action. SARD would assist in identifying to what extent programme strategies and interventions contributed to changes in people’s livelihoods thereby differentiating people into different livelihood types, considering relations between different actors, and considering the wider context of livelihoods.
3. Four steps

Before starting the exercise, and if not clearly defined from the onset, it is important to establish the basis for cooperation between local authorities and external parties and to have a confirmation on the area for the analysis. A geographical choice is to be made because this is an area based methodology. In case boundaries are not yet given, landscape mapping could be used for defining physical boundaries.

*Figure 9 Step by step toward programme implementation*
It is important to involve different stakeholders and to agree on the scope of the exercise, such as:

» To initiate and implement a development activity with specific emphasis on poverty (in case of the start of a programme).
» To strengthen the focus of an existing development activity on poverty.

The following describes the four steps presented in chapter 2, which are each divided again in sub-steps to guide users in implementation to achieve the expected results. The description of the steps is meant to give guidance but is by no means a detailed recipe.

At the start of each step both the starting point and the main expected outcome are indicated.
Step 1 Prepare the team - introduction & preliminary study

Estimated time: 1-2 weeks

Partnerships established, basic agreement on the scope of the exercise and confirmation on the area for the analysis

Team equipped to undertake interviews and make a participatory analysis of the area and its population

The team to undertake the four steps consists of women and men with a multi-disciplinary background, possibly with persons that know the area well. Some of these will have experiences with participatory tools and methods and some might even be acquainted with SLA, ASA or outcome mapping. Depending on the experiences of the different team members, the duration of the training takes approximately one week.

14 The time required for preparing a team, including undertaking a preliminary study is flexible as it depends on different factors such as the time and money available, the size of the area or the experiences available in the team.
How to proceed

1. An introduction to SARD, its main principles and the different methods and tools it involves
The team is introduced to the methodology; the different underlying approaches and tools, how this combination is used, the model to be constructed and the different steps towards programme development.

2. A preliminary study of secondary data
A preliminary study of the area is done by gathering and consulting existing documents on the development of the area, its history and characteristics. Preparation by the facilitator or experienced team members could take place before-hand to collect secondary information and process this into workable information.

3. First visits and contacts with local authorities and main stakeholders
First visits to the area and contacts with local authorities and main stakeholders are made to get a general idea of the area, its natural resources and characteristics, the population and their main activities and to establish contacts. This can include: landscape observations and interpretation according to the farming systems’ framework and a history exercise to get an overview of the area, its natural resources and natural resource use and to gain insight in the past dynamics of the area, its historical background in general and of the different groups, socio-cultural-political aspects and agricultural practices in particular.

4. Constructing a preliminary household typology
Before starting interviews in the area, a preliminary household typology is constructed to gain a first rough insight into the different types of households in the area. It is based on the secondary data collected, first contacts made and the experience and knowledge of the investigating team itself. Refer to Info Sheet 2 - Rural Household Typology.

5. Preparing the interview planning
In step 2 mostly household based interviews will take place. Based on the household types identified, area size and time and resources available, an interview plan is prepared. This plan includes the preparation of checklists with key points for questioning, who interviews when and a systematic planning of series of interviews, e.g. first focus on obtaining a general picture of the area, then look into the livelihood of the households and gender aspects,
followed by structures and processes, stakeholder analysis, access and use of services and power relations in the area.
Refer to Info Sheet 6 - Interview checklist examples.

**Expected outcome**

» The team is equipped to undertake interviews and make a participatory analysis of the area and its population.
» First relations with the population are established.
» Overview of main characteristics of the area, its population, institutions and stakeholders and its history.
» An initial household typology.
» A set of interview checklists to guide the fieldwork.
» Planning for field work.

**Points to consider**

Team members must have a basic knowledge and know-how of methods to be used, in order to undertake the interviews and analyse the results according to the selected methodology.

Implicit knowledge in the team, if left unspoken, could work as a bias during the next step. It is advisable to make use of the knowledge and understanding of the area and its population available within the team.

Poor people’s understanding is often considered as a misconception, belief or just inadequately formulated. Even with good intentions, professionals would modify poor people’s words to formulate them from their own educated point of view. The team should be aware of this and try to avoid it.

Besides the different population groups identified to participate in the analysis there might be other local development entities or key persons that should be interviewed.

The most vulnerable population groups are often the most difficult to meet and to interview. It is important to be particularly attentive to include such groups.

Key informants of the area outside the team can be useful to collect and crosscheck information.
**Step 2 Carry out a participatory analysis**

Estimated time: 2 – 4 weeks

A series of household interviews, landscape mapping and the application of other information collecting tools in combination with regular sharing and validation with the population form the core of the participatory analysis. Through such an iterative process, the team will be able to further develop the 3 levels of the model (refer to section 2.1.2):

Team equipped to undertake interviews and make a participatory analysis of the area and its population

Analysis of the area including household typology, livelihood analysis per type, landscape and history map, access to and use of services, power relations

15 For a new programme the 2-4 weeks may be integrated in a much longer process, in an existing programme the time needed might be much shorter.
» Landscape & history; all that can be seen in a landscape and learned from its local history that can give background information to understand livelihoods in the area.

» Rural household typology; different household categories, households with common livelihood characteristics within each category.

» Households; livelihood characteristics of households in the different types and the interrelations and division of roles and responsibilities between men and women within households16.

During the interviews and the synthesis of the interview results, the different methods and tools described in chapter 2 can be applied to get different information perspectives. ASA and access to and use of services, for example, will assist in constructing the landscape and history map and to decide on a household typology. SLA will assist in better understanding the different livelihood strategies and their outcomes at household level, etc.

How to proceed

1. First series of interviews
Pairs or small sub-groups undertake a first series of interviews with representatives of different household types using different participatory methods and tools (as planned in step 1). To share information gathered and to assess the results obtained, the team meets on a regular basis, e.g. in the evenings after a day of interviews. According to the findings or gaps in information, areas that need further investigation are identified and interview checklists adjusted.

2. Synthesising of interview results
Synthesise interview results and prepare a first model of the area’s reality which includes:
» A landscape and history map.
» A completed household typology of household with a description (visualisation) of livelihood assets and strategies.
» Relations between actors, between women and men in the households.

3. Next series of interviews
Continue the next series of interview in a similar manner as the first. The

16 Refer to Gender Tool Kit - Instruments for gender mainstreaming, available at http://www.sdc.admin.ch
The next series may focus, for example, more on access to and use of services and power relations between stakeholders. The sample of men and women to be interviewed can differ from that used in the first series of interviews. This has the advantage of not requesting too much from the same individuals and to crosscheck information.

4. Synthesising of interview results

Again interview results are synthesised according to the different household types and the main issues found. Information is added onto the model of the area’s reality. Before sharing the results with the population, findings need to be documented with as much visualisation of results (maps, drawings, etc.) as possible to facilitate sharing.

5. Sharing of model with the interviewed population

Sharing of the typology and the model of the past and present situation with the population and local authorities is important to inform people on the information collected and the picture it gives of their situation and to receive feedback on the presented model and possibly additional information. Depending on the reactions of people and the discussion following the presentation, adjustments are made.

Expected outcome

- A full analysis of the area including a landscape and history map, a household typology, livelihood characteristics of the different types of households, role of different stakeholders, access and use of services and power relations: the SARD model.
- A document visualising and describing the analysis results.
- General understanding on the situation amongst the different stakeholders.

Points to consider

Crises and key events that took place in the past are very important. In the landscape and history picture they might be identified as points of change; before and after a crisis livelihood strategies might have undergone changes.

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17 If needed, another series of interviews can take place to address more specific issues or points that have not been addressed sufficiently. It is also possible to go for some larger group discussion for additional information.
considerable change. Current crisis situations might occur and people in deep poverty are a clear signal of such a crisis. In such situations it will be important to pay attention to survival strategies (use of asset base), to access to and use of services (who is exempted) and to what are the determining factors of the crisis.

Important issues to be answered by the analysis are focused on:
» The assets which form the basis of households’ livelihoods.
» What makes people’s lives vulnerable, what problems have been identified and what opportunities are available.
» Policies and institutional set ups that encourage or constitute obstacles to the strengthening of the concerned groups’ livelihood assets.
» Livelihood strategies of the interviewed households and the results obtained.

During the interviews, social, cultural or other kind of barriers, as well as the apprehension to speak can make two-way communication and understanding difficult. In specific cases it might be necessary to carry out separate interviews with women and with men. Possibly gaps in information or understanding will be based on synthesised findings. Plan accordingly for further investigation.

Between representatives of different groups, between different household types or between the population and the authorities there might be different opinions or conflicts which could surface during the interviews and sharing of results. If this is the case, it might be important to find out what it concerns and to give it due attention in terms of power or dependency relations.

A typology should be presented with caution, especially in situation where categories of people are created which could contribute to fuelling conflict. The emphasis needs to be on the perspective the analysis gives; there is more in common in terms of how people make a living within a household type than that here is between the households of different types. However, the boundaries are relative and do not restrict households to move in the future to another type.
Step 3 Collect visions of the future

Estimated time: 2 x 3–4 days

Analysis of the area including household typology, livelihood analysis per type, landscape and history map, access to and use of services, power relations

Understanding of local dynamics and a shared vision statement on the development of the area by the concerned population and local authorities

From this step onwards, the involved parties leave the reflection on the past and the present to think of future prospects and to concentrate on the possible strategic orientations to give to the programme. It is a key moment at the junction between the analysis of the past and present and establishing

18 The duration of this step depends on the local situation. In some cases a series of different meetings is required to involve all different groups and stakeholders and/or men and women might meet separately while in others it is decided to concentrate on 2 main meetings or workshops with key-representatives.
an understanding on the future. It is also essential for developing ownership of possible interventions.

The focus of step 3 is on reflecting on local dynamics and exploring a vision or multiple visions of how to further develop their area. The further reflection on local dynamics is seen as a necessary exercise to practice more evaluative thinking about the model shared in step 2 and a more concrete reflection on future development. Visioning aims to enable the people to project themselves into the future and to imagine a better life. It allows the different parties involved in a poverty alleviation project/programme to understand the poor households’ perspectives, their priorities and how they imagine increased wellbeing.

**How to proceed**

1. **Visualisation of local dynamics in the area**
   The team constructs a visualisation of the local dynamics in the area based on the model that was created during step 2. Section 2.2.1, page 15, gives an example of an experience made in Emmental, Switzerland of how to visualise local dynamics. It is important to see the local situation as a socio-economic system that has drivers and functions along certain balances. It has certain strengths, potentials, issues and conflicts that could change these balances within the system or that could change the entire system. The picture can also include a future outlook as is the case in the example given in section 2.2.1.

2. **Sharing local dynamics with representatives from the local population**
   The visualisation of local dynamics is shared and fine-tuned with a group or groups of representatives of the local population for further reflection and creation of a common understanding.

3. **Visioning meetings with different household types**
   Separate meetings are organised with representatives of each of the different household types that might be involved in the programme. People are facilitated to project themselves in the future and develop an idea of a better future. It should be considered whether visioning should start with recalling the past, especially in cases where this might trouble future reflection. From these different vision statements, elements of consensus can be derived and a shared vision can be formulated. Some points might differ and it is as important to list these as elements particular for a certain group.
4. Sharing of local dynamics and visions with authorities and donor representatives

There should be a moment in the exercise to share the local dynamics and the vision of the different groups with the concerned authorities and with representatives of the donor. However, the situation differs in case of an existing programme or a new programme. The reactions from the concerned authorities may give the team a good indication of their interest and possible support during the next step of programming. This can be of use in planning who to involve in the next step.

Expected outcome

- Local dynamics and future outlook.
- Vision statement by the concerned population on their future development.
- Shared understanding of the local dynamics and the vision with the concerned authorities and the donor representatives.

Points to consider

Different methods or tools could assist in a visualisation of local dynamics e.g. a power and conflict analysis with some key-actors in the area, a vulnerability assessment focused on food security and livelihoods or on natural hazards in an area with natural resource based livelihoods and a fragile agro-ecological situation. The latter would need quite some more time and would have to be planned for either beforehand or during the start of a programme.

For people and groups that are the most marginalised, visioning might be very difficult. This could also be a process of empowering people or the start of an empowerment process in which facilitation would be of key importance.

Step 4 Design the programme

Estimated time: 3-5 days

Understanding of local dynamics and a shared vision statement on the development of the area by the concerned population and local authorities

Strategic orientation of interventions, direct partners, priority intervention lines, objectives and expected outcomes and a framework for monitoring

The aim of step 4 is to design the programme, specifically, finding its strategic directions, developing a mission, deciding on the direct partners and designing a monitoring framework.

In step 3, different groups express their ideas on future developments, which are shared with the concerned authorities and donor representatives. These in turn give a response on the visions. Based on the situation in the area, it has to be decided (by the team, donor, main concerned authority) who to involve in this programming step 4. It is not practical to make a wide
consultation but it still would be important to involve the main stakeholders.

Step 4 basically follows stage one of outcome mapping\textsuperscript{20}, which concentrates on the so-called intentional design of a programme. The first step of outcome mapping, vision development takes place in SARD step 3.

The description here gives an idea on how to make use of the analysis and the model when implementing outcome mapping. It is recommended to take more time than recommended by the outcome mapping methodology, as different meetings and workshops could be planned depending on the number and different groups of people to involve in the exercise. The relevant outcome mapping elements as described in the outcome mapping manual are listed first in italic.

**How to proceed**

1. **Deciding on the main strategic orientation**
   Before going into outcome mapping, decisions on the main strategic orientation of the programme must be taken. Based on the relations with the concerned authorities and the main possible stakeholders, it needs to be decided who is involved in this decision.

2. **Preparing the mission; which describes how the programme intends to support the vision (outcome mapping step 2)**
   The main outcomes of the analysis and local dynamics of the area can serve as a basis for developing the mission of the programme. These could include critical elements in the livelihood situation of different household types, their access and use of services, and their relations, institutional issues in the area, governance issues over natural resource use, etc.

3. **Deciding on direct partners; those individuals, groups, or organisations with whom the programme interacts directly and with whom the programme can anticipate opportunities for influence (outcome mapping step 3)**
   Direct partners are selected based on the stakeholder analysis, existing power relations (and how these relations will influence the programme) and

\textsuperscript{20} Earl S., Carden F., Smutylo T., Outcome Mapping, Building Learning and Reflection into Development Programs, International Development Research Centre, Ottawa, Canada (2001). Available at http://www.idrc.ca
keeping in mind the typology which is developed for the reason of selecting direct programme partners.

4. Defining expected outcomes; describe how the behaviour, relationships, activities or actions of a direct partner will change if the programme is very successful (outcome mapping step 4)

An outcome challenge is developed for each of the different direct partners. The understanding of the livelihoods characteristics of the concerned household type could be taken into account to identify an outcome challenge, e.g. a change in livelihood strategies resulting from capacity building could be an outcome challenge or power and conflict issues could assist in defining expected outcomes for local institutions.

In Sunamganj this chart with the different household types (C, D, E, F, G), and their use of services was linked to ideas on possible entry points for the programme.

SDC, Bangladesh
5. Developing a set of indicators\(^{21}\); that represent a change model for the direct partner and explain the depth and complexity of the change being sought (outcome mapping step 5)

For each of the expected outcomes, a set of indicators is identified. In order to be able to illustrate those changes that will directly affect the livelihoods of poor people, it is important to keep the picture of a differentiated population in mind as given by the household typology. For example, indicators can be designed based on livelihood characteristics and anticipated change in people’s strategies and practices, increase in the use of certain services, offer or improved different services, change in certain conservation practices, accessing new markets, etc.

6. Developing a strategy map that reflects on suitable strategies to support a direct partner in the implementation of interventions. It can be used to design the interventions the programme is going to undertake (outcome mapping step 6)

<table>
<thead>
<tr>
<th>Strategy map</th>
<th>Causal</th>
<th>Persuasive</th>
<th>Supportive</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aimed at specific individual or group</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aimed at individual’s or group’s environment</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Specific interventions can be designed focused on a certain household type or aimed at individuals or groups/institutions working with, for or against the households in this type.

To further develop a monitoring and evaluation system, refer to stage two and three in the outcome mapping manual.

**Expected outcome**

» Agenda of donor(s) and partners discussed and a common ground identified.

» Mission of the programme, its direct partners, choice of priority lines for interventions, objectives and expected outcomes for each intervention line and a framework for participatory monitoring of programme outcomes.

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\(^{21}\) Outcome mapping uses the term progress markers. In SARD the term indicator is used in the wider sense, to identify and assess changes for the purpose of correction in a programme and keeping in touch with an evolving reality.
Points to consider

In the ideal situation, direct partners develop their own outcome challenge and indicators for change. It is important to involve the direct partners in step 4 as soon as they are known.

Build in time for reflection with the direct partners in the programme to be adaptive to new ideas, new trends or innovation and to create openness for the unplanned, unexpected.

Whatever, planning procedure is being used, it is important to maintain a participatory process in line with the former steps and aimed at ownership of programme interventions and expected outcomes by partners.
Info Sheet 1 Sustainable Livelihood Approach

*Why is the livelihood framework relevant?*

There is a consensus that poverty:

- Is multidimensional and cannot be reduced to income poverty (1$/day), or to sectors.
- Must be tackled by strengthening people’s own efforts to get out of poverty.

But …

- How to take into account the determinants of poverty in a holistic way?
- How to be people centered while designing and implementing our programmes?

The Sustainable Livelihood Approach provides support and guidance to put these principles into practice, as shown in Figure 11.

*Figure 11  Livelihood systems and strategies*
A livelihood approach is a framework that:

» Helps to understand complex realities and to ask (poverty) relevant questions.

» Follows principles to be realized in its implementation that are:
  => People Centred
  => Participatory and responsive
  => Holistic
  => Dynamic
  => Partnerships
  => Building on strengths
  => Sustainable
  => Multi-level (micro – macro)

Figure 12 presents the main elements of the livelihood framework.

Figure 12 The Sustainable Livelihood Framework by DFID (adapted for SDC)
A livelihood programme uses the livelihood framework and principles to:
» Grasp the issues, stakes and realities that poor people face in their everyday life in order to secure their livelihoods.
» Integrate such an understanding in the different steps of the program cycle management PCM.

The interactive learning module, developed by Nadel for SDC, uses a blend of elements of the livelihood approaches of DFID and RLS\(^{22}\). It combines the strengths of the two frameworks. The resulting new framework favours not only a comprehensive analysis of the context of local livelihoods but also directs the attention to people’s decision making with regard to their own livelihood strategies. This focus is essential since successful poverty reduction ultimately means that people are empowered for improved livelihood strategies leading to more sustainable outcomes.

*How is SLA used in SARD?*

SLA is used as the main conceptual framework to analyse the situations of individual households.

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\(^{22}\) SLA – Interactive learning module (Nadel), Available at http://www.poverty-wellbeing.net
Info Sheet 2  Rural Household Typology

With the categorization of households, we try to make a simple but sensitive description of reality. This description should capture the heterogeneity of livelihoods and it needs to include general trends and differences in livelihood strategies and poverty patterns. A household typology is expected to enable a programme to categorize households in terms of livelihoods and to differentiate between households in the project area in order to better design poverty-focused interventions. It also gives insights into the poverty situation in different communities as is shown in Figure 13.

![Figure 13 Household types in two villages in D.I. Khan: percentage of household types A, B, C, D, F, G and L and their livelihood situation in terms of poverty](image)

In rural areas, it is tempting to think that there is homogeneity in households’ livelihood strategies and that they all live off their agricultural production. Apparent uniformity nearly always hides considerable internal heterogeneity, which reflects local ecological variations, socio-economic inequalities between different population groups, successive migrations of populations of different origins, etc. The main purpose of a typology in SARD is to identify

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and characterize poverty patterns and to understand who are poor, where poor people live and what makes these people poor.

The following are possible fields of observation in constructing a typology:
» Resources used and/or owned.
» Type of agricultural production system used (agrarian system analysis)
» Belonging to social and ethnic groups.
» Geographical division; lowland versus upland, watershed.
» Specific livelihood strategies; e.g. many children versus a few, labour migration, in particular the use of specific services such as education (whether children are sent to school, which children, which schools).

The example in the table below illustrates the construction of a household typology in Pakistan. Criteria for deciding on the different types were based on:
» Land ownership: owned land, size of owned land, tenancy, no land.
» Labour: selling of own labour, employment of other people.

<table>
<thead>
<tr>
<th>Rural household typology</th>
<th>Description</th>
<th>% in the area</th>
<th>Livelihood strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Big land owners</td>
<td>Owner of land buy/own labour</td>
<td>&lt; 10%</td>
<td>Farming, income from wood selling, jobs (government, doctor, etc), business, livestock savings (in bank, jewellery), property, investment</td>
</tr>
<tr>
<td>Small farmers</td>
<td>Owner and tenant of land, do not sell their labour</td>
<td>± 10%</td>
<td>Farming by self cultivation, livestock keeping, small business and jobs by a few, wood cutting and selling, savings in jewellery</td>
</tr>
<tr>
<td>Subsistence farmers</td>
<td>Tenant and owner of land, sell their labour</td>
<td>± 50%</td>
<td>Farming by self cultivation and tenancy, livestock rearing on share basis, wood cutting and selling on share basis, off farm labour</td>
</tr>
<tr>
<td>Labourers</td>
<td>Tenants of land, sell their labour</td>
<td>± 30%</td>
<td>Farm labour, trend to go for off-farm labour further away, livestock rearing on share basis</td>
</tr>
</tbody>
</table>

*Household Typology, Project for Livelihood Improvement, D.I. Khan, Pakistan.*
How is a household typology used in SARD?

At the end of a SARD analysis, a consolidated typology is ready for further use during programming and for monitoring and evaluation of interventions. More specifically the typology can be used as follows:

» In step 4, the development of a strategic orientation, the livelihood situation of different household types (poorest) are a basis to decide on the main strategic orientation of the programme and its mission.

» The critical elements in the livelihood situation of different types assist in selection of partners in a programme; who is the programme going to work with? Livelihood characteristics will be used to decide on expected outcomes and change indicators.

» During the implementation of the programme, the typology and the livelihood characteristics can be used as an important reference for monitoring and evaluation. After programme closure it can serve as a reference to measure differentiated impacts on livelihoods.

» Collection of visions of the future can take place with separate household types. (refer to step 3 of SARD).
Info Sheet 3 Agrarian System Analysis

The Agrarian System Analysis (ASA) starts from the fact that agricultural practices used in different locations and at different times can be grouped into a limited number of types, of which the specific characteristics can be analysed and described in terms of a system, an agrarian system. Agrarian systems are characterised by distinct types of use of the natural environment, specific farming equipment and infrastructure, a system specific way of maintaining soil fertility and specific performance levels and social organization (in particular gender roles) of the productive work. The different production systems, characterised by their performance, ensure fertility maintenance through a carefully planned mix of cultivation of certain lands (fallow, intercropping etc.) and of livestock husbandry (management of manure, slurry, etc.) relying on farm equipment and infrastructure.

ASA offers a relevant framework to analyse such agriculture focused livelihoods. It is a useful starting point to look at a rural area from an agriculture production perspective. Among its many features, some important ones for SARD are:

- Household differentiation in terms of the production system to which they belong.
- Sustainability of each system in terms of productivity and income generation in both quantitative and qualitative terms.
- Limitations of each production system.
- Relations between different agricultural components.
- Crisis situations and changes in production systems.
- Historical perspective of farming.
- Consideration of the macro level.
- Overall political systems and their influence on farming.

All farming systems are the result of farmers’ experiences. Farmers’ knowledge and perceptions of their system form the basis for their analysis and the understanding of their functioning. Hence, key questions in ASA are “What are farmers doing? Why? And how?” The main aim is to understand the WHY of the past and present dynamics of the system or the causes of its evolution.

These dynamics may lead to an increasing inequality between those having enough land to make a livelihood and households that can no longer make a living out of farming. This often forces people to either leave the area or to look for other livelihood opportunities in the area. Figure 14 shows the economic performance in terms of household income for different types of household and how two of the household types struggle to remain above the survival threshold.

**How is ASA used in SARD?**

![Figure 14: Mapping of economic performance of household types - Farm Incomes per household type according to the area cultivated per household, Turiani, Tanzania](image)

The differentiation in terms of production system is particularly useful for the construction of a typology and to gain deeper insights in the livelihood strategies of farming households. Crises emerging in an agriculture based system mostly relate to unsustainable natural resource use and governance and to changes in agro-climatic conditions. Alternative livelihood strategies

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like off-farm activities, remittances and migration might be key symptoms of crisis in an agrarian system.

The evolutionary thinking based on structural factors and relations that ASA promotes to understand why agrarian systems change assists in reflection on local dynamics and present and future changes.
An analysis of access to and use of services is crucial in developing a rural household typology. SARD understands service provision in a broad sense and includes all kind of available services provided in an area, regardless of whether the service is formal or informal, public or private, social or production related. The Figure 15 gives a frame for analysing service delivery in the area for different household types.

Figure 15  Access to and use of services according to rural household typology

Services can be formal or informal. Both type of services need to be taken into account but should not be perceived as one of a kind. Informal services might face legitimacy problems but are nevertheless in demand.

Two important areas of analysis of access to and use of services are:
» Availability: of formal and informal local and regional services. It is important to remember that the existence of formal services does not ex-
clude the possibility that informal ones may be operating.

Access and use: the analysis of access to services includes the identification of all types of constraints from a user perspective, be they physical (distances), financial, or rooted in institutionalised patterns of exclusion, habits, lack of understanding, etc. The existence of a multiple offer for the same kind of service is frequent. In such a situation, people will resort to one or the other provider depending on their own logic (which is often shared within a group) or even make use of different services for the same purpose. An analysis of the use of services is interested in a people’s perspectives, in their logic, their values, their expectations and needs concerning the services. Within a household type, the use of services will be similar as households share the same determinants for a certain livelihood strategy (logic, constraints: financial, physical, etc.).

The quality of service delivery can be an important reason for using or not using an available service. Service quality includes both technical aspects, such as those concerning management or service specific technical criteria (bio safety in a hospital, water quality of a well, etc.), and aspects more concerned with communication and users’ collaboration. Service quality is also linked to good governance and to the quality of reception that users experience.

How is “access to and use of services” used in SARD?

It is important to understand the reasons why households decide to use or not use an available service (as livelihood strategies) and relate this to their other livelihood strategies and possibly expected livelihood outcomes. The following checklist can be used when looking into access to and use of services:

- Available services: such as, education, health, water and sanitation, justice, savings and credit.
- Who provides the services: how, where, when, what is the quality?
- Who already has access, who demands access?
- Reasons for use and non-use of available services.
- Costs for the use of services: direct, indirect (e.g. time, uniforms and material for schools).
- Quality (satisfaction) and relevance.
- Service offer: alternatives, preferences, reasons.
- Community contribution to service delivery: which services, what responsibility?
In the landscape and history map, an overview of services available inside and coming from outside the area can be given. Availability, as well as access to and use of services are crucial in the construction of a household typology. After the SARD analysis, they also serve as an important basis for programming of development interventions.
Info Sheet 5 Landscape & History Map

A landscape and history map consists of two pictures of an area, one of the past and one of the present. The map gives an area overview by integrating an historical perspective. Figure 16 shows a landscape and history map of Malcantone in Ticino, with a picture of the 1950s and of 1980/2003. It includes information on the agricultural production and use of natural resources, migration out of and into the area, redistribution of land, key events, marketing of produce, and population.

Figure 16 Landscape & history map of Malcantone, Ticino in 1950/60 and 1980/2003
A landscape and history map looks into the changes that took place in the area in terms of landscape, trends, issues, dynamics, etc., including what comes from or goes beyond the area boundaries. The identification of crisis situations is often a crucial element as it is often linked to environmental change or to migration out of the area. The following are important elements to include when making a map:

» Population size, composition and in- and out-migration.
» Land distribution, ownership and changes.
» Different agricultural systems and use of natural resources.
» Infrastructure.
» Social and agricultural services available in the area or coming in from outside.
» Marketing of produce; which products, where, by whom, etc.
» Non farm activities.
» Key events, disasters, trends, new development.

For the purposes of further analysis, it is essential to give both quantitative and qualitative information in the map. For example, in the Malcantone example, the percentage of agricultural produce consumed and sold is illustrative of the changes that took place the past 50 years in this area: 75% consumed and 25% sold in the 50s, more than 90% sold in 2003. Another example is the number of farmers. In 1950 all 380 households in the area were farming; in 2003 only 1 out of a total of 400 households.

Example of possible results of landscape & history analysis

Meso level
» Resettlement policy of the national government led to an influx of a large number of farming families with horticulture tradition in the area.
» Few private and public service providers/providing organisations in and around the area.

Livelihood level
» In the past 5 years, male family members have moved out of the area to sell their labour in the big cities, remittances are little. The number of women-headed households is growing and the role of these women in farming is changing. Due to lack of adult farm labour, children have to work during harvest season and are kept from school.
» Small farming households are using their land mainly for subsistence. No excess produce is marketed. Input levels are low, mainly some locally available pesticides. The size of holdings is decreasing due to an increase in population.
» Traditional land tenure patterns between tenants and landowners.
» Yearly seasonal migration to find additional livelihood means.
For more information on landscape and history mapping, refer to the FAO website on field tools.\textsuperscript{26}

\textit{How is a landscape and history map used in SARD?}

A landscape and history map contains vital information for the construction of the household typology (access to and use of services, farming systems, ethnic diversity) and to making decisions on the strategic orientation of a programme (step 4). Therefore, time is taken during the analysis phase (step 2) to prepare the map and to analyse the changes that took place in the area.

\textsuperscript{26} FAO: http://www.fao.org/Participation
Info Sheet 6 Interview Checklists

In this sheet, checklists are given for making general observations for collection of information from the field on farm production and on livelihoods.

General observations

Key aspects to observe (and not necessarily to be asked during interviews):
» Landscape and the different natural resources.
» Soil type and condition (erosion).
» Vegetation, type of crops.
» Cultivation practices.
» Infrastructure (housing, irrigation system, etc.) and maintenance.
» Tools, equipment and their state.

Farm production

Main farming characteristics:
» Main agricultural activities: crops, labour, farm equipment, inputs, services.
» Land: ownership, tenancy, access, area, fertility.
» Livestock: type, number, role, production, management, ownership, responsibility, inputs, services.
» Access to water for irrigation: when, quantity, quality.
» Marketing versus home consumption: what, where, when, how, prices, to whom.
» Trends in production, production problems & causes, marketing of different produce.
» Future perspective.
» Agricultural calendar including who does what (gender roles, involvement of children).
» Crop sharing or tenanted farms: terms and conditions.
» Formal and informal credit: type, supplier, interest, for what.
» Other non-agricultural activities: by whom, when, of what importance.
» Use of agricultural and livestock related services (extension, input, treatment).

Wider perspective:
» Possible problems related to production, work organisation, conflicts, productivity, dependence on other sources of income.
» Comparison of past and present\textsuperscript{27}: if there are changes, why the difference.

Main aspects to tackle during an interview on the productive system are:
» Changes in activities, before and now and reasons for these changes.
» Constraints faced in current agricultural activities.
» Farm’s situation: stable, declining, in crisis, improving.
» Last investments made (what kind, reasons and means of financing).
» Links between social life and production.
» Recurrent question is: ‘If it’s not the same for everybody, for whom is it different, and why?’

Livelihoods

The livelihood framework serves as a reference for interviews that explore livelihoods of households. This type of interview should use the framework just as a guide so as to not to get lost or forget important aspects. The list below should in no way be used mechanically to structure an interview.

Main household characteristics:
» Household organisation; main roles, task and responsibility division.
» Main productive activities and sources of income.
» Food situation.
» Income versus other household costs (house repairs, health, education).
» Household changes over the previous years?

Livelihood assets:

Human capital:
» For each activity domain, the knowledge and competences—traditional or not—of different members.
» Access to basic/secondary/professional/other education.
» Working capacity, the health status of different members.

Social capital:
» Part or member of a group, association or union (formal or informal).

\textsuperscript{27} In case the analysis of an area is conducted before programming for interventions, SARD looks at relevant happenings in the past. If an assessment of development interventions is being done, one looks at the situation before and after the interventions.
Social relations or networks: their functioning, resources and material services provided, benefits, who is excluded, relations between different groups.

Natural capital:
- Access to land by the different household members? Forest? Livestock? Drinking or irrigation water?
- Differentiation for women and men, for age groups.

Physical capital:
- Household assets: type, quantity, shared property.
- Access to water: quality and quantity.
- Access to new technologies (radio, telephone, TV, internet, etc.).
- Access to infrastructure (rural tracks, roads, railways); free or paid.

Financial capital:
- Regular/irregular income of household and members.
- Household access to any kind of credit; equal access by women and men.
- Households savings: in what form, who has access, who decides on use.

Political capital:
- Collective organisation of households in community (see also social capital).
- Influence on laws and regulations, or budget allocation and monitoring of budget use by women and men in their community.

Complementary aspects to identify the vulnerability context:
- Trends (economic, demographic, climatic...) and change processes, and their effects on household assets.
- Shocks or conflicts in the area: effects, what actions taken.
- Aspects of seasonality: production, prices, health or employment possibilities.
- Any new recent opportunities.

Livelihood strategies and outcomes:
- Context: policies, institutions and organisations, processes, risks and vulnerabilities, opportunities, services.
- What do you use / need for doing what you do? (assets)
» What is your goal? Why do you do it in this way?
» How are decisions made? (gender roles, negotiation)

Explore decision making on livelihood strategies and what is influencing decision making; different elements of SLA. Explore decisions on agrarian production strategies and on the use of services.28

Services

Offer (public, private, informal, for profit or not for profit, etc.):
» What are the available services?
» Who provides which services? (What type of relations/arrangements do the different providers of the same service have amongst themselves?)

Demand for and access to services:
» Who has access to available services? Who does not have access and why?
» Amongst those who have access but do not use the services what are the reasons? Are the services culturally adapted, are there linguistic barriers, do forms of discrimination exist (gender, socio-economic or ethno-linguistic groups, etc.)?
» What are the costs for the use of services: direct costs (fees for health services, school fees, school uniforms, etc.) and opportunity costs (time, a person needs to be replaced for his/her tasks, etc.)?
» How do the people assess the services, quality and relevance?
» When several alternatives exist in terms of service delivery for a specific need (for an illness: health centre, purchase of medication and treatment by oneself, recourse to a traditional healer/doctor, etc.), which service is preferred and why?

Management:
» What contributions /responsibilities do communities take upon themselves in terms of service delivery and / or management?

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28 Refer to chapter 2, Agrarian System Analysis, Access to and Use of Services and the respective Info Sheets.