

Annexes: Documentary and Pédagogical File

1. Annotated Bibliography

This chapter presents a review of documents that concern different decentralization and rural development themes. The majority of the texts have been prepared by FAO but some emanate from academic institutions. The review is made up of 15 documents considered the most representative of the experiences and assets of FAO concerning decentralization.

Analysis of Documents Concerning Decentralized Rural Development

FAO's Rural Development Division (SDAR) has examined documents that directly or indirectly concern the theme of Decentralization in Rural Development³³ Among the 60 analyzed documents, for which an analytic profile is available, 15 were considered especially representative of the eight lines of FAO action in relation to decentralization.

FO:DP/NER/90/016, Evaluation et capitalisation des méthodes d'intervention en matière d'environnement sur les projets (NER/90/016 et NER/89/004: Communication et participation, 1993

(FO:DP/NER/90/016, Assessment and stock taking of the intervention methods concerning environment in the NER/90/016S and NER/89/004S projects: Communication and participation, 1993,)

This document is an evaluation of two environmental projects concerning the participatory approach in Niger, as well as an effort to take stock of their experiences. Environmental issues are specific in that they are bound to individual behavior and have an impact on people, but are also under collective responsibility. The participatory approach is therefore a requirement because good natural resource management can only be collective and consensual. In this sense, the participatory approach, which is based on negotiation, consultation and partnership, has been adopted in order to encourage coherence in the different levels of intervention.

In the NER/89/04 project, in particular, important training on participatory processes enabled high participation by the animators and technical agents of this process. However, they do not seem to have integrated the importance of ownership as success criterion for a participatory process. The conclusion is that it is necessary to intensify the bias of the projects towards village autonomy ('village weaning phase'). The weaned village continues to receive the support of the project but through punctual visits. This process encourages the appropriation by the villagers of the actions initiated with the project.

DE GRANDI, J.C., "Développement durable des systèmes d'exploitation agricole familiaux", in FAO/CIRAD/CTA, Promotion de systèmes agricoles durables dans les pays d'Afrique soudano-sahélienne, 1994.

(DE GRANDI, J.C., Sustainable development of family-based farming systems in FAO/CIRAD/CTA, Promotion of sustainable agricultural systems in Sudan-Sahel African countries, 1994.)

In 1993, FAO launched a Special Action Program for the development of sustainable family-based farming systems (PAS/SPFD). The original approach exclusively centered on the household operating system. This was expanded by incorporating the relations

³³ See FAO-SDA, "Analyse de documents en matière de développement rural décentralisé et participatif", Coll. Décentralisation et Développement rural, No 2, 1997. ("Analysis of documents concerning decentralized and participatory rural development", Coll. Decentralization and rural development, No 2, 1997).

between the household production unit and its social, political, economic, ideological and physical context. The challenge is therefore to integrate the dimension of sustainability, social fairness and citizen participation. The PAS/SPFD was designed to face this challenge.

This document presents the objectives of the program as well as its strategy. The objectives were: i) to improve the knowledge on the factors that encourage or limit sustainable development of family-based farming systems and to better understand their operation in terms of development and natural resource management and ii) to identify intervention opportunities in the areas of programs and projects related to human resources development and training, and of the institutional reforms. The strategy places in the center the small farmers and particularly the poorest. Priority regions are the most vulnerable and threatened zones. The African continent and the Sudan-Sahel region constitute priority regions.

FAO, Training for decentralized planning: lessons from experience, 1987

This document emphasizes the fact that decentralization will be able to ensure its promises of growth, fairness and efficiency by the public sector, only if it comes with new expertise and behavior on the part of the planners. New expertise and attitudes are transmitted by the technical services of FAO thanks to a training methodology namely “in-service training.” The document introduces a certain number of decentralization experiences and training programs that came with them. It is therefore simultaneously, a review of experiences and an effort of detailed explanations of themes that deserve serious consideration. The document also analyzes the main problems associated with decentralization.

- In Asia, the lack of experience of executives as well as the lack of methodologies and techniques.
- In Latin America, the difficulty to make regional priorities compatible with national priorities and to imply in the regional planning process, not only citizen organizations but also civil servants.
- In Africa, the absence of qualified and motivated personnel and the insufficient financial devolution to the local units, as well as the problems of coordination between the national and regional levels.

The document finally introduces an analytical instrument that enables planners to analyze the decentralization process, and to value the needs in training that result from it.

FAO, Training Manual on Decentralized Planning (district level), 1990

FAO collaborated with APROSC (Agricultural Projects Service Centers) in Nepal in a training program for the analysis of agricultural projects and rural development (FAO/GCP/NEP/035/SWI). One of the results of this program was the editing of a training manual for decentralized planning. The program and the manual were important in the context of the decentralized planning process in Nepal. This document introduces decentralized planning in Nepal and the lessons from the training experience.

A presentation of the specific role of each institution in the decentralized planning is also made. It shows that in spite of the complexity of the process, some coordination is ensured between descending (general lines and financial ceilings) and ascending (allowance of resources between the projects presented by the citizens) approaches in planning. The regional level proves to be of particular importance because it is the one that can ensure the integration of the two approaches (top-down/bottom-up) and of the specific constraints at the national and local levels.

FAO, Approche méthodologique et démarche de la restructuration des institutions du développement rural, 1993

(FAO, Methodological Approach and process in the restructuring of rural development institutions, 1993)

FAO's approach to restructuring of the public institutions starts from the following principle: the more policies enjoy the adherence of citizens and institutions, the more they will be effective as they will be the expression of the citizens' wishes, needs and constraints. The document gives a detailed presentation of the following criteria to build performing rural development institutions:

- the commercial and productive activities would be transferred to the private sector or to organizations of the civil society. The sectors for public intervention would be the promotion of private initiatives, the strengthening of farmers' capacities, regulations, and protection of the environment;
- people's participation in the choices and implementation of development actions and, in a general manner, in the management of matters that concerns them;
- decentralization of the powers and the financing modes of actions in order to give more freedom to the level closer to local realities;
- a global development approach that takes as starting point the knowledge of the local level, its potentialities, constraints and people's wishes and priorities coordinated first at local and then regional and national levels;
- a rational management of resources subject to regular monitoring and evaluation of results.

FAO, Organization and Management of Agricultural Support Services for Small Farmers in Latin America and the Caribbean, 1991

This piece of work is part of FAO's efforts to help member states reduce the costs of agricultural and rural development and improve support services to small farmers. Case studies carried out by FAO arrive at the following conclusions:

- small farmers play an important role in producing food in the region;
- land ownership remains concentrated in the hands of a few and efforts to ensure land redistribution have failed;
- small producers are experiencing little improvement in their technologies and revenues;
- the main causes of this stagnation are the scarcity and low quality of available inputs and weak organization;
- the lack of coordination between different levels has had negative consequences on rural development;
- extension workers are not trained to understand the mentality of small producers and the role of women is not well integrated.

The organization of small producers is important to ensure their representation and thus their negotiating power at all levels. The FAO document concludes that support services have to improve their level of coordination and they must begin to function in a more decentralized manner.

ARDOUIN-DUMAZET P., "L'expérience du Centre d'investissement de la FAO en matière de préparation de projets de gestion des ressources naturelles et de gestion de terroirs", in FAO/CIRAD/CTA, Promotion de systèmes agricoles durables dans les pays d'Afrique soudano-sahélienne, 1994

(ARDOUIN-DUMAZET P., "The experience of the Investment Center of FAO concerning the preparation of natural resources and soil management projects", FAO/CIRAD/CTA in, Promotion of

sustainable agricultural systems in the Sudan-Sahel African countries, 1994)

FAO's Investment Center helps public institutions understand the nature of constraints inherent to the agricultural systems and to the agrarian structures on which they intervene. It has tried out a new way of managing natural resource projects using the "Gestion de Terroirs" approach which has the following objectives:

- sustainable production and protection of productive resources capital;
- participation of rural people in the definition of policies;
- technologies based on the expectations of the rural population;
- decentralization of decision-making power and financing mechanisms;
- management aimed to avoid tenure conflicts;
- biodiversity protection.

The approach stresses the responsibility and ownership of rural people in the management of their heritage and a contractual relation to define the modalities of its use. Training of project facilitators is essential in order to guarantee good participatory processes. The process proposes coupled projects that develop in a concomitant manner, activities concerning natural resource management, rural infrastructures and support to biodiversity.

BKF/94/005, Gestion des terroirs : appui à la concertation/coordination, 1995

(BKF/94/005, "Gestion de Terroirs": support to consultation/coordination, 1995)

This study is part of a project, financed by the UNDP and executed by FAO in Burkina Faso, concerning the consultation and the coordination in 'Gestion de Terroirs' (GT) projects, in the context of a decentralization policy. In Burkina, coordination did not yet reach the desired level and the government decided to develop a new relation's approach with organizations based on consultation. The main obstacles remained expertise, legitimacy, representation of producer organizations as well as conflicts with customary authorities. Another problem concerned the weakness of legislative texts concerning tenure and natural resource management. Furthermore the GT approach cannot be developed without a certain organizational basis of rural communities. In the context of decentralization in Burkina, a law has been adopted which foresees putting in place village advisors.

One can see GT projects led to a progressive strengthening of the social cohesion within villages. Villagers meet and debate; and discussions between farmers and pastoralists have been tried; the level of technical skills has increased, and the knowledge and understanding of the natural resource degradation has expanded.

MAU/88/002 PNUD/FAO, La vulgarisation participative: texte méthodologique, 1991

(MAU/88/002 PNUD/FAO, Participatory extension: methodological text, 1991)

The government of Mauritania called on the UNDP and FAO to establish a national system of agricultural extension based on the principle of farmer participation. The country needed a group approach and to take into consideration the diversity of production systems by putting into place an extension system with differentiated messages. Moreover, it was about seeing the extension as a tool that reinforces associative capacities of local communities and their sense of responsibility in order to solve upstream and downstream production problems.

The main feature of the extension system allows one to define it as: "a coordinated set, aiming to introduce some improvements in farming systems". By supporting farmers through a series of activities related to sensitization, facilitation, training and technical assistance, following consultation with them and an analysis of the situation of their

farming systems. The regional coordination articulates the activities between neighboring and more diffuse intervention zones.

FAO, FAO People's Participation Programs - the First Ten Years: Lessons Learned and Future Directions, 1990,

The People's Participation Program (PPP) approach was conceived during the world Conference on Agrarian Reform and Rural Development, organized by FAO in 1979. "Established in 1980, PPP aims to develop an operational method for people's participation through pilot projects, which could be incorporated into large-scale agricultural and rural development programs, and adopted by governments in their national development strategies, policies and plans. Its main emphasis was on the training of small self-help groups within the poor section of the rural population. This would enable members to work together on income-generating activities, access to credit, farm inputs and training, and would provide a collective voice for representing their interests with local government and other organizations with whom they wish to interact" (p. 1).

The assessment of the PPP shows that it was an important contribution of FAO to the promotion of participation in agricultural and rural development, because it allowed the creation of organizations of the poor in rural environment and their structuring to develop income-generating activities. These activities were effective to demonstrate the interest of the participatory approach for the poorest sectors of the rural population.

FAO, Participation populaire au développement rural: le plan d'action de la FAO, 1992
(*FAO, Peoples' Participation in Rural Development: the FAO Action Plan, 1992*)

The FAO People Participation Action Plan was adopted in 1991 and this document presents its content. This rural strategy recognizes that if one does not give to the rural poor the resources to participate in the actions concerning them, they will remain excluded and marginalized in relation to the extension of rural markets, saving and investment. Hence the large majority of the rural population is not yet organized and does not benefit from such group dynamics. FAO therefore decided to integrate the concept of participatory development in all development policies and programs and has implemented an action plan on people's participation, which underlines the necessity to intensify cooperation between the governments, FAO and the NGOs.

The main points of this action plan are: i) sensitization of public opinion about the role of participation in rural development, ii) legal framework favorable to citizen participation, iii) strengthening of internal capacities of people's organizations at local and national levels, iv) decentralization of decision making, v) dialogue and technical collaboration between all development actors, vi) procedures and operational methods towards participation, and vii) follow-up and evaluation of people's participation.

FAO, FORESTS, TREES AND PEOPLE: phase II.

Rural populations depend to a great extent on forests and trees for food and energy requirements as well as for buying materials and medicine. The objective of the second phase of the Forests, Trees and People Program (FTPP) was "to reinforce national and regional institutions in their activities to develop the capacities of local populations to manage and to use their natural resources". The program ran through a partnership between a team of the community forestry Unit in Rome and the national and regional institutions in Africa, Asia and Latin America that lead the program. Regional facilitators and local institutions identified the assets and the constraints for the development of community forestry. On this basis, national and regional priorities were fixed and planned" (p. 1). The participatory approach was key to local level operations.

Four complementary objectives were: “i) to deepen the knowledge and to develop the strategies, methods and more effective tools concerning rural populations participation, and more specifically of the poor; ii) to increase the human and institutional capacities to better answer problems experienced by local forest communities; iii) to integrate participatory methods in ongoing forestry activities by bringing them technical support; iv) to disseminate information on participatory forestry methods and experiences in this matter, by providing networking, improvement of communications and distribution of publications” (p.1).

FAO, New institutional arrangements for agricultural and rural development in the region, 1994

For a very long time the state played a considerable role in agricultural and rural development in Latin America and the Caribbean. Since the debt crisis and the structural adjustments and stabilization programs that followed, this situation has changed. One can see a wave of democratization and a demand for participation, which implies local strengthening of local administrations. New institutions responsible for agriculture and rural development are now appearing, whose efficiency no more depends on the fact that they own resources but rather on their mechanisms of “governance through democratic exercise of encouragement, self-management and a broader span to social or individual initiatives” (p. 3).

The institutions of the local government appear weak in this context in terms of resource management, which must, however, be reinforced. FAO activities regarding the role of the local government level have been i) structuring of the local governments and participation in the planning of local initiatives, ii) training for the organization and local government administration, iii) study on the necessary institutional conditions to increase the efficiency of the decentralized and participatory structures.

FAO, Municipalidad rural, participación popular e instituciones en servicios de apoyo a pequeños agricultores en Latinoamérica, 1993

(FAO, Rural Municipalities, People’s Participation and Institutions involved in the support to Small Producers in Latin America, 1993)

FAO seeks to identify the real potentialities of initiative of rural municipalities in terms of support services to the production and the social services, but also asks questions on the modalities so that the municipalities can fill these functions. According to this document, the role of municipalities can be multiple: i) promoter of local development, ii) coordinator of initiatives and resource mobilizer iii) control of public works, iv) coordination of inter-institutional actions, v) promoter of enterprises capable of satisfying the needs of the population. In a general manner, the municipality should be assigned to promote an institutional environment favorable to organize, systematic and sustained participation of the local population in the programs of the municipalities, the regions and the State.

While decentralization opens wide possibilities to the municipalities, its success depends on the fact that municipalities can establish mechanisms of coordination with the local levels of the central administration and with higher levels in the government. It is also necessary to recognize that the absence of participation in decision making at the municipality level decreases the legitimacy and the efficiency of the municipal management. Therefore FAO proposes to train the technical staff of the municipalities on their new functions and on the techniques enabling them to formulate their programs in collaboration with rural people.

FAO/SDA, CORUMED, Proposition pour un réseau destiné aux élus et représentants des communautés rurales méditerranéennes, 1996

(FAO/SDA, CORUMED, Proposition for a network destined for elected officials and representatives of the Mediterranean rural communities, 1996)

In the framework of local government development, it appeared interesting to promote an exchange of experiences on participatory approaches. While breaking the isolation of these governments, the exchange of experiences can drive them to improve the quality of decisions and to reduce their costs. FAO therefore proposed “a dialogue with partners potentially interested in the North as well as the South of the Mediterranean Basin on the interest and the feasibility of an electronic exchange of experiences system and of support to decision primarily for the benefit of responsible persons in local jurisdictions and professional groups as well as their close partners” (p. 1).

The sectors covered by the system would reflect tendencies concerning community ownership, the improvement of their management capacities, and the sharing of responsibilities with the State and the other partners. The transfer of experiences and information would be an important activity of the network. The role of FAO would be: a) to collect and organize circulation of information on the activities and initiatives taken by potential partners of the CORUMED network; b) to provide qualitative information on the content of the initiatives undertaken and to disseminate the results of the sharing of experiences; c) to stimulate and organize deliberation on what could become a federative system of different initiatives to come.

Summary of the Documents on Decentralization and Rural Development Produced by SDAR in 1997

1. FAO experiences in Decentralized Rural Development

This document presents an analysis on the risks of the decentralization processes and the FAO’s advantages concerning the creation of conditions favorable to decentralization. Identification of decentralization risks and the consideration of FAO assets allow the suggestion of a model of decentralization (RED-IFO) based, on the one hand, on a methodology of regionalization of demands and differentiation of policies, and on the other hand, on three complementary policies related to the access to information, training and organization. The experiences of FAO are classified according to three perspectives:

- the public perspective whose lines of action are the approach of agricultural systems of production, the role of training, and the restructuring of institutions;
- the civil society perspective with three lines of action consist in the promotion of ‘Gestion de Terroirs’ projects, participatory extension, and the people’s participation programs as well as the structuring of producer organizations;
- the local government perspective whose two main lines of action are local government levels as poles for rural development, and the building of the interface between national and local government levels.

2. Analysis of documents concerning Decentralized Rural Development

This publication is the result of a review of documents produced by FAO in the framework of its activities that directly or indirectly touches the theme of decentralization in rural development. This review also incorporates other institutions’ publications (World Bank, IFAD, CFDE) chosen because they enlighten well the analysis of decentralization. The document consists of a set of analytical and summary cards on each of the 59 retained texts.

The texts have been classified according to the more precise areas they cover and that are presented under seven large categories: 1. Training, extension and research (five cards), 2. 'Gestion de Terroirs' (six cards), 3. Municipalities and rural development (two cards), 4. Decentralized planning, restructuring of institutions and management of support services to agriculture (ten cards), 5. Special program, poverty, employment and food security (eight cards), 6. People's participation (18 cards), and 7. Role of the region, local programs of rural development and communities (ten cards).

3. RED-IFO a model for the analysis of Decentralization

This document proposes a systematization of experiences of FAO in a model of participatory decentralization, namely the RED-IFO model. This model recognizes the influence of the inheritance of centralized policies on rural development. This must be taken into account to identify the risks involved in decentralization. Five main risks are presented: a) the replacement of a logic of "supply" by a logic of "demand", b) poor information sharing is not conducive to good coordination, c) persisting paternalism can reduce the offer of support services, d) traditions of "Clientélisme" (enlarged nepotism) create the risk of misappropriation by more powerful actors, and e) institutional rigidity and the pace of decentralization.

The consideration of these risks enables the model to propose a methodology of decentralization (Regionalization of demands and Differentiation of policies) and a pack of complementary measures (Information, Training and Organization). The methodology puts forward the necessity for an effort of creation and strengthening of representative intermediate associations of the whole of the rural population, whose mandate would be to be the key link of dialogue between the State and the other actors in rural development. The model advocates the need for the creation of institutions by rural populations themselves.

4. PANIAGUA, The Institutional System Analysis (ISA) Methodological Propositions

The working group of IG1, in the Rural Development Division of FAO (SDA), develops analysis and proposal instruments on rural development institutions, by reinforcing its activities related to exchange and stock taking of information on this theme, as well as its' comparative analysis capacities on ongoing experiences in the different regions of the world. The main aspects of this work on the development of instruments concern the restructuring of institutions, decentralization and the role of the regional interfaces and local governments. To happen, IG1 proposed to place an analysis tool on the institutional systems namely ISA, that would simultaneously be a management system for internal information in FAO, an entrance door to other information networks, and a strategic surveillance system on information pertaining to the work of IG1.

This document presents a summarized manner the desirable features of ISA and poses a certain number of strategic decisions required for the launching and to the start up of this analysis tool. This being done, the document takes a closer look at the problematic of institutional systems analysis and the lines of research on decentralization that result.

5. The role of the Region, Proceedings from the Regional Workshop on Local Interface Development / Strategic Frameworks, the Role of the Regional Level, Praia, 10th – 18th May 1996

FAO organized a workshop entitled Local Interface Development / Strategic Frameworks, the role of the regional level. It appeared interesting to review the knowledge and present practices that contribute to the preparation at the national and even international level, of big programs of development notably in favor of the protection of the environment for

the fight against desertification or eradication of poverty. The document compares the modalities of their global formulation with the other means of intervention in rural environment that privilege the participatory approaches at the local level, for example village development, the 'Gestion de Terroirs' approach, etc.

This document is a detailed and interesting account of the discussions of this workshop that gathered about thirty people coming from countries in Sahelian and Maghreb Africa (Algeria, Benin, Burkina Faso, Cape Verde, Guinea, Guinea Bissau, Mali, Morocco, Mauritania, Niger, Togo, Chad and Senegal). The analysis of the experiences was followed by the presentation of the RED-IFO model of decentralization and the EC-LEADER program. The main discussions presented in this document are about the institutions, participation and the role of the region.

6. NADIR M. T., Restructuring of Rural Institutions: principles and methods, lessons of FAO's experiences

This text analyzes recent experiences on the restructuring of rural institutions to which FAO brought its expertise. It also includes new orientations that go in the sense of a political democratization and economic liberalization reducing the field of intervention of the state to the profit of the one of the civil society. The document aims to clarify the type of supports that FAO brought to public institutions in the rural sector in their adaptation effort to the new economic context. The author shows how FAO managed in the institutional sector, to define and improve its methodologies and analytical tools on types of organizations, after these being tested in real contexts,

The report details the objectives, the basic principles and the stages of the restructuring of public institutions, the methodology followed by the governments to move forward this restructuring as well as the impacts of the process on human resources and the recommended accompanying measures. The document ends by presenting some examples of restructuring in Benin, Ivory Coast, and Togo, and extracting the main lessons of these efforts.

7. Municipalización del desarrollo rural in America latina: situación actual y perspectivas

(The municipalization of rural development in Latin America: Present situation and perspectives.)

This document confirms that the challenge faced by the process on economic and political reform in Latin America essentially concerns the necessity for restructuring the institutions and the modalities of policy formulation, in order to ensure a broader representation, participation and ownership. The municipalization of development is thus analyzed as one of the most promising ways in the region to ensure the objective of an equitable and sustainable rural development. The document shows the main results of the reflection organized by FAO and CLACSO on the municipal spaces, their structures, the range and the limits of their interventions. It also presents the future tasks to achieve a real municipalization of rural development.

The document particularly analyzes the experience of the social investment funds and the modalities of participation that were associated to them, and presents three case studies: a) the municipal development space in Nicaragua, b) people's participation as axis of the change in Bolivia and c) the difficulties of municipalization in Colombia. The conclusion of these analyses is that the relations between municipalization and decentralization have not clearly been established, which limits the impact of these processes.

8. NADIR Mr. T., Chambers of Agriculture: models of representation and tool of farmer participation

This document synthesizes different experiences of FAO concerning the creation and strengthening of the bodies representing farmers. The objective of these experiences was to give to the farmers their right place in the civil society, by facilitating their access to the economic channels and the integration of their activities to the whole of the economy. The components of this experience are: a) the conversion of agricultural organization of economic character into professional units, managed by the farmers and answering to the criteria of efficiency and profitability; b) putting in place professional organizations whose mission is to represent the farmers and to participate on their behalf in the development and implementation of rural development policies and programs.

After having presented the problems created by the absence of farmer representation, the author suggests an institutional model to ensure this. The principles, functions and organization of the Chambers of Agriculture are discussed. In the last part of the text, the author gives some examples of restructuring or creation of Chambers of Agriculture in Mali, Togo and Maghreb countries.

9. GAIHA R., DECENTRALIZATION: the Indian experience

The analyses of this document are about the different phases of decentralization in planning in India, based on the constitutional principle of strengthening the Panchayats as autonomous local institutions. The document particularly shows the difficulties encountered by this process to reinforce the ties between the national public institutions, the Panchayats and the rural organizations, in the context of programs to fight against poverty. The document consists of a presentation of the structure and the organization of the Panchayats, an analysis of the difficulties in the implementation of the decentralized planning process.

The author proposes some orientations on the desirable reforms in order to give a wider efficiency to decentralization. The first thing is the selection of activities. Any organization that does not answer to the need of the communities will not be attractive to them. Experience shows that the people's participation will be better if it is accompanied by financial incentives. People's management capacities grow gradually. When an organization is sustainable, it then varies its activities.

10. GORDILLO G., The Reconstruction of Rural Institutions

This text presents the basic concepts to understand the processes of rebuilding rural institutions, from the point of view of the reform of the State as well as that of the dynamics of rural governments and producer organizations. The general context is one of building of a new development model that is more productive, equitable and sustainable, and whose central objective consists in the establishment of a growth path that results from the building of consensus and that gives stability, certainty and orientation to agricultural policies.

The author's essential contribution comes because he does not only see in the rebuilding of the institutions a change in the organization and the functions of the state, but more globally the reform of the set of rules and conventions through consultation and social interactions. The text analyzes the new tendencies in the formulation and the implementation of the rural policies, the structural changes in the link between urban and rural areas, and the reform of the policies and the intervention modalities of the State. This approach enables him to demonstrate the links between strengthening of democracy, notably at decentralized levels, and the economic efficiency, and to stress the crucial role that the local level will have to play in the new strategies of development.

11. BAAS S., News Trends in Rural Development and Poverty alleviation: the concept of participatory institutional development

This document starts from a historic viewpoint that tries to summarize previous experiences of rural development. Underlying the results of this historic exploration, stress is then placed on the specific challenges that present themselves in rural development in arid and marginalized areas which also have a weak production potential. More particularly, the text moves towards the analysis of some of the essential components in rural development and the struggle against poverty that took an increasing importance during recent years, such as community ownership at local level, the participation and institutional strengthening.

In a first section the author underlines the lessons from past experiences in development whose failures would be linked to the lack of people's participation, the weakness of local governments in a very centralized context and decision to encourage large commercial agriculture, let alone the little consideration that has been given to the woman's role in these strategies. This statement enables the author to propose a certain number of ways to improve the approaches to rural development and fight against poverty, with a special consideration for arid zones.

12. MUJERI Mr. K. /SINGH L. S., Case Studies one the impact of decentralization: Bangladesh

This text analyzes the long history of the decentralization process in Bangladesh and its impact on rural development. Decentralization came from the request for autonomy by local level governments, which were given an increasing number of functions. A key moment of this process was the Constitution of 1971 following independence, which indicates that "the local government responsibilities in each administrative unit of the Republic must be given to local entities comprising of elected people according to the law" (p. 4). The author analyzes the reasons that explain that, in spite of a favorable enough legal environments, the implementation of decentralization has been rather dissatisfactory.

Strengthening of government's local institutions is the most recent way for local governments to trying to go ahead with decentralization. The document analyzes the modalities of this strengthening and the functions assigned to every type of local institution. A special chapter is dedicated to the development of the role of municipalities and urban corporations, based on a devolution process. In this context, the relations between the local and central levels and the impacts on rural development appear quite problematic, and deserve a special chapter with conclusions and recommendations.

13. GONZALEZ R. P., Case Studies on the Impact of Decentralization: Philippines

This document aims to demonstrate that the decentralization process in the Philippines, in spite of a history of strongly centralized governments, succeeded in putting in place a Local Government Code, whose main features are drawn with a lot of detail. The strengthening of Local Governments came with a more global process of economic liberalization, withdrawal of the State, and participation of the population in the mechanisms of decision making: "devolution and decentralization have marked Philippine government policies over the past ten years. The emergent thinking is that while central government provides the broad policy framework and social environment, it is the Local Government Units (LGUs), private sector and civil society entities who shall act as the prime engines for growth, equity and sustainability", (p. 5).

The responsibility of the LGUs is especially strong regarding anti-poverty policies. The author therefore dedicates part of his text to analyze poverty in Philippines. Following this

analysis, he presents the main features of the 1991 Local Government Code, and the performances and obstacles encountered during its implementation.

14. FAO/CERFE, Italian Lessons on the Relations between Civil Society and Public Administration in the Context of Decentralization

In its first part, the document identifies the recent tendencies concerning decentralization and the main challenges which it must face. The relevance of the Italian case is justified by the importance that Italy gave to the municipal dimension on decentralization and by the capacity that the country showed in terms of institutional innovation. These two features seem, according to the authors, quite relevant for developing countries.

A characteristic, which the document stresses, concerns the relations between decentralization and reform of public administration. These relationships enable us to understand the opportunities, the potential, the risks and the implicit obstacles in decentralization. Of equal importance are the relationships between the public administration and the civil society. Their account of the accumulation of social capital and the public spirit for which the efficiency of the institutions largely depends: “studies on the subject have shown that Italy’ efficiency of its public institutions at local and regional levels is at present much higher where there are well established civic traditions and a wealth of social capital” (p. 8). The training, information and implementation of decentralization also receive closer attention.

15. BAKO-ARIFARI N., Decentralization Processes and Traditional Powers: Classification of policies encountered

The document explains the role that traditional institutions can play in favoring or slowing-down decentralization. According to the author these institutions are today witnesses and actors in decentralization policies. They are a vehicle for local projects and the values of local democracy, development, promotion of civil society, citizen participation and good governance. They especially stress the merit, acquired position and the structures of adherence. This can imply traditional values at that can apparently contradict state law and modern values. However, the values of solidarity and proximity often inherent to traditional values should be appreciated.

The positioning in relation to these institutions in the framework of a decentralization policy can be different but it has an impact on the performances of decentralization itself. This is why the text tries to classify various governmental policies: the policies of integration, association, strategies of adaptation and policies of against exclusion.

16. BONNAL J. / MUHEIM P., Preliminary analysis of a questionnaire on decentralization: Outline of a Typology

In order to better understand the process of decentralization, the SDAR Division of FAO formulated a questionnaire on the main characteristics and modalities of decentralization in the agricultural sector and rural development. This questionnaire has been sent to about twenty countries that have undertaken a process of decentralization in the near past. The text of BONNAL and MUHEIM constitutes a first approximation the results that emanate from these questionnaires. The authors aim to formulate a typology of decentralization on the basis of a sample of 20 countries and 7 variables considered most applicable.

The typology straightaway distinguishes two main groups: the centralized countries (8) and the decentralized countries (12). This last group can be divided into two subgroups: the countries characterized by a strong degree of autonomy in the local and regional levels (6) and the countries where the central government drives in last analysis the process by strongly codifying the policies and procedures (6).

17. BONNAL J. and other contributors: Training Manual: ‘Understand, Analyze and Manage a Decentralization Process’ FAO, Rome 1997, revised 2004

18. FRANCIOSI P. Vers une typologie des processus de décentralisation FAO, Rome 2001 (Towards a Typology of Decentralization Processes)

The Rural Development Division of FAO (SDAR) launched an investigation to identify a limited number of decentralization processes, to analyze the strengths and constraints of each type of process, and to improve FAO and other partners’ support as well as the performance of decentralization processes in rural development. The first phase of the investigation saw the preparation of a questionnaire using the RED-IFO analytical model that aims to classify decentralization processes according to the extent to which local demands are considered and the extent to which national policies are modified accordingly. The questionnaire was sent to approximately twenty people in different Asian, African and Latin American countries. Analysis of the questionnaires led to the production of a series of Country Profiles in different countries. It also allowed for the identification of relevant information to put together a typology of situations met. Indeed, the term decentralization covers such different countries and situations that the design of a typology appeared important in as a tool to help understand decentralization.

19. FONGS/FAO (with the contribution of M’baye Sarr), Renforcement des capacités techniques et d’analyse des organisations paysannes: le cas du Sénégal, (Strengthening of the Technical and Analytical capacities of Producer’s Organizations, the case of Senegal) Rome 2000 (Volume 1 and Volume 2)

Senegal launched a strong decentralization policy and opted for the promotion of producer’s organizations, largely the establishment of umbrella organizations (Union, Federation) capable of creating a support structure for its members, which are grass roots groups and NGOs. To improve the capacities of these grass roots organizations during the negotiations they have with national public institutions or development partners, FAO was asked to train support teams and members of these organizations. These training sessions focused on the decentralization process and a preliminary analysis was carried out. Most of the elements were used in the pedagogical material (Number 17 above). Here they review the decentralization situation in Senegal using the RED-IFO model (volume 1) then they examine the behavior of producers organizations faced with the process (volume 2).

20. DGF (Maroc)/FAO, Les implications institutionnelles de l’approche participative, le cas de l’aménagement des bassins versants au Maroc, (Institutional Implications of the Participatory Approach to Watershed Management in Morocco) Rome 2000 (Volume 1 and Volume 2)

The project MOR/93/010 developed a participatory approach in two pilot zones (Tassaout and M’Soun), identified as priority in the National Watershed Management Plan (PNABV). It planned to carry out an analysis of institutional aspects of this consultation approach, in order to allow local actors to better carry out their actions. It also planned to help different levels of the project (local team, regional services, and central services) to identify established partners for the accomplishment of different project tasks, with the help of an analytical matrix of experiences of the local teams in their daily work. A deeper analysis was then carried out to examine the position of different identified actors, with regard to problems foreseen or tested solutions. This provides a review of different project activities in their intrinsic development and in view of the partners involved in each one of them. This work underlines the diversity and the complexity of the situations met. Partners have been classified according to their degree of involvement, the strategies they develop in activity

implementation, participatory approaches and the decentralization process. Three categories of actors can be distinguished according to their proximity, nature and degree on influence in their partnership.

21. FAO (with Sylvie Videnya's contribution), Analyse de documents en matière de développement décentralisé et participatifs (Analysis of documents in decentralized and participatory development) (2nd edition) Rome 2002

The first publication, edited in 1997 was the result of a text review produced by the FAO as part of its work in decentralization and rural development. It incorporates chosen publications of other institutions (World Bank, IFAD, CFDE). This second publication aims to update the 1997 document. As is the case of the first edition, the publication is the result of a collection of documents produced by FAO. The updating of this document was done through interviews with different FAO units (TCAS, AGSH, TCIR, FONP, FORC, AGPC), which present their most relevant documents and provide a search (by key word) on the web site of the organization. The result is the collection of 89 texts, each with Internet links that allow the texts in question to be opened for consultation.

22. FAO/SDAR (with contributions from Vivien Knips), Country Profiles on Decentralization and Rural Development: Overview of on-going processes in 21 countries, FAO 2002

The aim of this document is to provide a review of the specific modalities of decentralization processes in different countries. Country Outlooks were produced using an identical template. Some have been included on a pilot internet site created by FAO and the World Bank with the support of the online Columbia:University Source book on Decentralization and Local Development. It can be found at http://www.ciesin.org/decentralization/SB_entry.html. An update of the Country Outlooks has been carried out using a revised template and there are links with other documents on decentralization and concerning each of the examined countries.

2. Self-training exercises

Exercise 1 Definition of the concepts concerning decentralization

1. After having chosen a definition of your choice, give explanations, illustrations or corrections of the text proposed by the authors of the Training Manual (Part 1, Chapter 2).
2. Add a new term in the existing list and write an explanatory text.
3. Based on the first box on Senegal (Part 1, Chapter 2); draw-up an example for the country of your choice

Exercise 2 The History of Decentralization

1. Identify the main stages (political events, legislative or administrative decisions) that marked the recent years of the institutional development of a country of your choice. Indicate the dates of each of them.
2. For each of the stages identified, give the constraints that affected the previous situation and explain the change that occurred.
3. By placing the relevant phases along a time line, trace the historical trajectory of the decentralization process in the chosen country as illustrated in the manual by Senegal (Part One, Chapter 3, Box 2).

Exercise 3 Assessment of the situation in a given country: paying particular attention to the risks that a badly managed decentralization process can entail.

1. Among the 5 risks proposed in the Training Manual (Part 1, Chapter 4); indicate which one appears to be present in the country of your choice. Justify your answer.
2. Referring to the process of decentralization as a whole in a given country or a sector use the filter of the analytical model RED-IFO (Part 1, Chapter 5), to assess the situation.
3. Apply one of the components of the analytical model RED-IFO on a process of decentralization of your choice, outline the present situation and propose new measures aiming to improve the process.

Exercise 4 The Institutional Environment, the Identification of Actors and their Strategies

1. Draw up the list of actors that compose the institutional environment of a decentralized system. Start from the directly involved local actors and move on to the identification to the indirect actors, and then to the other levels of decentralization.
2. For the actors of your choice, indicate in a few lines, their main characteristics as well as the strategies that they develop faced with the process of decentralization.
3. Based on the diagram on Senegal (Part Two, Chapter 1, Box 5), insert actors present and indicate through symbols the position they occupy at different levels of decentralization.

Exercise 5 Development of a Country Overview

1. Using the finalization sheet proposed in the Training Manual, (Part 2, Chapter 2) establish the situation of decentralization in a country of your choice.
2. Fill-in the questionnaire on the situation of decentralization in a given country.

Exercise 6 Typology of Decentralization Processes

1. Using the 4 retained criteria to assess decentralization (State Participation/Management; Centralization/Decentralization – Part 2, Chapter 3), write down the country of your choice in one of the 5 groups of the formulated typology and on the corresponding graph. Justify your proposal.

Exercise 7 The Role of the Region

1. Using the finalization sheet proposed in the handbook, (Part 2, Chapter 1) draw up an overview of the decentralization process in a country of your choice and highlight the role of the region.

Exercise 8 The Restructuring of Rural Institutions

1. Using the three case studies (Part 3, Chapter 1), describe the main features of the restructuring process of the Ministry of Agriculture and Rural Development in your own country.

Exercise 9: The Place of Civil Society

1. Using the example of Senegal in Box 8 (Part 3, Chapter 3), describe the processes of strengthening civil society organizations in your country.

Understand, analyse and manage a decentralization process

The RED-IFO Model and its use

This publication has been written with a view to providing material for strengthening rural institutions. It provides a thorough overview of the decentralization process in rural development from the issue of state withdrawal and higher efficiency to the rise of civil society and its enhanced role in sustainable development.

This balance between the state and civil society is explored in all dimensions (historical, conceptual and operational) in such a way as to avoid the risks of a badly managed decentralization process. Experience demonstrates that institutional voids and blocked support can have serious implications for the most vulnerable rural producers. The text also analyses the temptations of clientelism (or enlarged nepotism) and paternalism that have been known to accompany the decentralization process when they are applied too quickly.

Based on FAO's experience in various countries, the text proposes an analytical model of decentralization (RED-IFO) and describes management modalities and ongoing processes. These proposals are not only concerned with better analysis of local demands by decentralized entities (the commune, district, irrigation plots or forest zones, etc.) but also better consideration of the diversity of agro-ecological and social situations in the definition of national policies. However, this approach must also include accompanying measures without which decentralization is unlikely to function. These are notably information sharing, the training of all stakeholders, stronger organizations and mediation mechanisms. On this basis, questionnaires, surveys and analytical tools are proposed to allow readers to follow and work on the process in their own countries. They may also choose to focus on a particular aspect of rural development such as agronomical research or extension services. It is even possible for the reader to compare evolutions in various countries and select a typology of situations met.

Finally, the document offers practical tools to take the lead in facing up to various dimensions of the problems of decentralization in rural development. It also proposes ways in which the RED-IFO model can be applied. These explications concern: i) the restructuring of public institutions in their new tasks and responsibilities; ii) the strengthening of civil society to enhance its role and function; and iii) the primordial role of institutions and intermediate bodies in a participatory territorial and negotiated approach.

This document is also available as a distance learning text on the FAO Web site.

