2.1 Development: definition and roles

Development = A sequence of problem-solving processes aimed at the sustainable improvement of human living conditions or at a prevention of their deterioration

- Roles of the State in Development

Principle: Development is a result of spontaneous, motivated individual or group efforts of members of a society. In line with this principle, major tasks of the state in initiating, facilitating or supporting development processes will be:

1. providing an enabling environment for people’s initiatives and activities (e.g.: legal environment, security)

2. providing public goods: these are goods which are used by everybody and which do not allow exclusion (e.g. roads in a town), or goods for which exclusion is socially unacceptable (e.g. basic education)

3. taking up tasks or functions which are considered to be necessary by the society but cannot be managed by the private sector due to reasons like size of necessary investment (e.g. railway networks), or lack of short-term profitability for private investors (e.g. environmental protection measures)

4. solving or avoiding problems resulting from private activities (e.g.: unemployment, over-exploitation, environmental degradation).

Robert Chambers refers to three universal functions of the state fundamental to rural development:

1. maintain peace and the democratic rule of law
2. provide basic infrastructure and services
3. manage the economy (e.g. with regard to agricultural pricing, some involvement in production support and marketing; provision of conditions with access to food and to basic goods at affordable prices)

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Role of Development Planning

Looking at development as a result of spontaneous efforts of the members of a society, development planning is not supposed to predetermine the process of development as such but to design activities which are necessary to create prerequisites for keeping the development processes in a society in line with certain basic societal objectives.

These are:

1. designing a conducive environment  
   (e.g.: a legal system, like in the case of land legislation)

2. designing the provision of public goods and services

3. designing other state-owned activities

4. designing problem-solving interventions of state agencies (or other support agencies) in fields which are within the private sector’s (the people’s, the society’s) responsibility  
   (e.g. advisory services, subsidies, taxes, marketing services).

Note: This approach towards planning is in contrast to the philosophy of ‘comprehensive planning’ that assumes that state planned activities generally show better results than the activities of the individual actors of a society.
2.2 Problem focused planning with a systems perspective

2.2.1 Problem focus

“At the beginning there was a problem. And the problem was with the people.”

The above phrase means simply that the articulation, definition and prioritising of development problems belongs with those who experience them; not with the outsider, intervener, planner, social scientist or technician.

Robert Chambers (in a reference to the core-periphery concept used in development economics) puts it this way:

“Normal professionals face the core and turn their backs upon the poor
New ones by standing on their head face the periphery instead.”

Chambers also quotes E. F. Schumacher (author of Small is beautiful):

“If we could turn official and popular interest away from the grandiose projects and to the real needs of the poor, the battle could be won.”

The starting point of a development intervention is a problem experienced by the people, hence problem focus. It follows then that planning is a process of identifying ways and means to overcome problems; and that the planning process starts with the identification of problems.

=> In other words, this approach focuses on problem-causing factors and on problem-solving potentials (instead of a comprehensive analysis of the whole situation and of any possible potentials)

a. Definitions:

| Problem | a deviation between the actual situation and the people’s (or societal) goals with regard to the sustainable satisfaction of people’s needs. In other words, problems are deficiencies, or, unsatisfied needs, defined by the people as such; or, they are undesirable conditions of life (with respect to people) or undesirable conditions of being (with respect to institutions or ecosystems). |
| Constraints | problem-causing factors, factors nourishing a problem. |

Example: Low productivity is not a “problem” in itself, but it can be a “constraint” which leads to malnutrition.

---

b. Reasoning for problem-focus approach:

Principle of minimum intervention: development planning to be applied only in cases in which the individual actors' activities are resulting in problems. This contrasts with the philosophy of comprehensive planning which assumes that state-planned activities generally show better results than those of the individual actors in a society.

* Minimising of planning efforts: Problem-focused analysis reduces time and cost requirements for studies, compared to a comprehensive situation analysis.

* Avoiding technocratic bias: The perception of the people (or society) is taken as a starting point of intervention, not the technocrats' perceived deviation from an “optimum”/”standard” level of effectiveness or productivity (e.g. yield level).

c. Method: the problem tree

Problem analysis, using the tool of a “problem tree”, allows for

- systematically analysing an existing situation surrounding a given problem
- identifying the major problems of the situation
- illustrating the structured relationships between causes and effects in a diagram format.

Example
Technical approach/application:

* Formulation of problem statements
  
  - Formulate problems as precisely and specifically as possible.

  Note: a problem is the description of an existing negative condition, and not the absence of a pre-conceived solution
  (Example: “harvest reduced by pests” is the problem, not “No pesticides available”)

  - Only existing problems, as opposed to possible, imagined or future problems are to be identified

  - The importance of a problem has nothing to do with its position within the problem tree

* Procedure for conducting a participative problem analysis
  
  - Brainstorm: list all major problems existing within the framework of the large identified problem

  - Identify a starter-problem

  - Identify major constraints which cause/nourish the starter-problem

  - Develop a diagram showing the relationships between causes and effects in the form of a problem tree

  Note: Detail regarding the steps in problem analysis is given in 3.3.1.

2.2.2 Systems Perspective

a. Definition:

* Systems are sets of elements or factors that are interrelated in a systematic manner.

* Adopting a systems perspective means considering all relevant factors and their interrelation.

* A comprehensive systems analysis would not be a feasible basis for planning purposes as interconnections between factors are typically too complex. As a result it is useful to select relevant sections of the system.

* A pragmatic approach would take into account that relevant sections of a system should include factors which affect the objectives of a system.

Example:

If we look at a farm-household as a system, its objectives may be securing subsistence production and achieving a certain level of cash-income. In such a case all factors (like land,
labour, equipment) which can be used for achieving food self-sufficiency and cash-income should be included in a systems analysis while education, for example, will only be included if there is a good reason for assuming that it has a strong influence on nutrition or cash-income.

b. Reasoning:

* **Efficiency and effectiveness**: the systems perspective helps planners to think one or two steps ahead when planning problem-solving interventions, and by doing so, avoid
  – overcoming one constraint just to find another one, i.e. “hidden” constraints arising later,
  – causing unpredicted negative side-effects through problem-solving interventions that are considered out of context.

* **Planning interventions in context**: better awareness among planners of the wider context and the mechanisms related to their interventions.

c. Method:

The systems perspective is illustrated via systems models, visualised through flow-chart diagrams. Due to the different nature of systems (eco-systems, production-systems, socio-economic-systems), there is no uniform procedure in visualising or depicting systems, rather the scientific know how of subject matter specialists is relied upon.
Example 1:

Here is an example of a (simplified) systems model of socio-economic systems. It is based on the interrelations between resources, people’s activities, markets and needs satisfaction in relation to certain frame conditions (which are external factors to the system):
Example 2 (for a specific systems context):
2.2.3 Combining the problem focus with a systems perspective

=> “Focusing without blinkers”

Practically this means:

* Using problems as an entry point of analysis

* Analysing problem-causing factors (constraints) and possible problem-solving potentials

* Analysing interrelations between these constraint and potentiality factors, and other factors which may be relevant (to achieve the objectives of intervention), by considering:
  → will other factors become bottlenecks as soon as the actual bottleneck is overcome by intervention?
  → will achievement of other objectives be endangered as soon as more resources or activities are allocated to solve the identified problem?

Note that:

* A problem focus considers all problem-causing factors, even if these are external to a certain system (e.g. urban job opportunities in relation to a set of rural problems).

* The systems perspective compels us to consider factors which are not yet problem-causing (e.g. labour), but which are likely to become a constraint as soon as the actual problem causing factor (e.g. market access) is overcome.

* The systems perspective compels us to consider competing utilisation of certain factors (e.g. labour) with regard to different objectives (e.g. nutrition).

* The systems perspective allows us to consider feed-back mechanisms (e.g. from nutrition to health conditions, from cash income to purchasing power).

Combining problem focus with systems perspective helps to identify problem-solving interventions which avoid mere patch-work solutions or which cause further problems.
Diagrammatically the combination of problem focus and systems perspective can be represented as follows:

*Diagram 1:*
**Diagram 2: Cash Income in a farming system**

Legend:
- cause(s) - effect(s) relationship
- feedback mechanism
- system’s approach
- problem focus
- overlap of problem focus and system’s approach
2.3 Interlinking bottom-up and top-down planning

a. Historically:
Shift of planning paradigms from “top-down” to “bottom-up”.
→ Necessity to arrive at a synthesis between those two approaches.
→ Necessity for a new kind of professional to combine the two approaches.

b. Major characteristics, strengths and weaknesses of bottom-up and top-down approaches:

<table>
<thead>
<tr>
<th>Approach</th>
<th>Top-down</th>
<th>Bottom-up</th>
</tr>
</thead>
<tbody>
<tr>
<td>Characteristics</td>
<td>• oriented towards national goals</td>
<td>• oriented towards people’s goals</td>
</tr>
<tr>
<td></td>
<td>• based on professional/specialist knowledge</td>
<td>• based on people’s knowledge</td>
</tr>
<tr>
<td>Comparative Strength</td>
<td>• Uniform standards and conditions</td>
<td>• Locally adjusted standards and conditions</td>
</tr>
<tr>
<td></td>
<td>• Consideration of resource and market limitations/ fair distribution</td>
<td>• Knowledge of local resources and markets</td>
</tr>
<tr>
<td></td>
<td>of opportunity</td>
<td>• Consideration of local know-how/ opportunities</td>
</tr>
<tr>
<td></td>
<td>• Consideration of external knowledge/ new opportunities</td>
<td>• Starting with people’s needs and people’s goals</td>
</tr>
<tr>
<td></td>
<td>• Avoiding contradictions between individual interests and societal</td>
<td>• Consideration of interlinkages of the local/household-level production and</td>
</tr>
<tr>
<td></td>
<td>goals</td>
<td>reproduction system</td>
</tr>
<tr>
<td></td>
<td>• Consideration of interlinkages within a wider regional/national socio-</td>
<td>• Promotion of people’s ownership and empowerment</td>
</tr>
<tr>
<td></td>
<td>economic or ecological system</td>
<td>• People’s felt needs considered</td>
</tr>
<tr>
<td></td>
<td>• Increased efficiency through specialisation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Reduced burden for people</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Normative/prescriptive needs considered</td>
<td></td>
</tr>
<tr>
<td>Relevant Fields</td>
<td>Predominantly external</td>
<td>Predominantly local</td>
</tr>
<tr>
<td></td>
<td>Competence</td>
<td></td>
</tr>
<tr>
<td></td>
<td>People’s concernedness</td>
<td>Problem/ Needs assessment</td>
</tr>
</tbody>
</table>
c. Interlinking of bottom-up and top-down-planning

![Diagram](attachment:image.png)
2.4 Combining problem-orientation with potentiality-orientation

a. History:

1950s/ 60s: Dominance of potentiality-oriented planning
   ⇒ aiming at optimum utilisation of natural and human resources for national economic growth.

1980s: Dominance of problem-oriented planning
   ⇒ aiming at corrective action / intervention in cases where individual actions do result in a situation which causes problems for people.

b. Limitations:

* Potentiality-orientation results in
  - plans which are not related to the needs and objectives of the people
    ⇒ lack of acceptance of planned measures by the people.
  - comprehensive planning based on the assumption that planners/specialists know better than the people when it comes to what to do at a particular location
    ⇒ remote planning efforts with high risk of mis-allocation of resources.

* Problem-orientation tends to result in problem-solving actions based on external resources, and disregarding availability and limitations of local potentials.
  ⇒ solutions are not sustainable
  ⇒ solutions are not replicable
  ⇒ gives rise to external dependency

c. Combination:

Problem-orientated planning with systematic consideration of problem-solving potentials

⇒ problem-oriented potentiality analysis

   e.g. : Nutrition problems may require analysis of different potentials, compared to cash income related problems.

* Problem analysis is the entry point of the planning process.
* Potentiality analysis is a systematic step in the process of identifying problem-solving alternatives.
### 2.5 Planning Methods in context

<table>
<thead>
<tr>
<th>Dimensions</th>
<th>Levels</th>
<th>Economic</th>
<th>Ecological</th>
<th>Social / Cultural</th>
<th>Institutional / Political</th>
<th>Planning Methodology</th>
<th>Results: Identification of:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Global</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Priority sectors for interventions &amp; levels of</td>
</tr>
<tr>
<td></td>
<td>National</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Identification of appropriate location specific land use patterns</td>
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<tr>
<td></td>
<td>Regional</td>
<td>Economy - Regional Development Planning</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Target groups and gender adjusted support</td>
</tr>
<tr>
<td></td>
<td>Communal</td>
<td>Ecology - Land Use Planning</td>
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<td></td>
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<td></td>
<td>Suitable SHO and implementing</td>
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<tr>
<td></td>
<td></td>
<td>Target-Group- and Gender-Orientation</td>
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</table>

#### Results:
- Identification of problems and constraints
- Identification of potentials
- Analysis of Alternatives
- Designs of regional development programmes
  - consistent set of proposed measures and objectives
  - specification by indicators
- Decision
2.6 Planning Procedure: an overview

2.6.1 Nature of the Planning Process

| PLANNING is a PROCESS leading from PROBLEMS taking into consideration problem-solving POTENTIALS via identification of ALTERNATIVE problem-solving options which are APPRAISED considering * economic * ecological * social/cultural * institutional criteria and via identification of alternative ACTORS / ORGANISATIONS (which are appraised as well) | ★ to a problem-solving STRATEGY consisting of a logically consistent and specified set of OBJECTIVES MEASURES and INPUTS taking into consideration ASSUMPTIONS about the development of relevant FRAME CONDITIONS | ★ with PARTICIPATION of all relevant actors, intended beneficiaries and knowledgeable persons |
### 2.6.2 Planning procedure - overview

<table>
<thead>
<tr>
<th>Steps</th>
<th>Problem Analysis</th>
<th>Potentiality Analysis</th>
<th>Alternatives Analysis w/r to sectoral &amp; technol. options</th>
<th>Organisation Analysis (Altern. Analysis w/r to institutional options)</th>
<th>Strategy Design (Logical Frameworks)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>National</td>
<td>Development-objectsives (as pointed reference)</td>
<td></td>
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<tr>
<td>Provincial</td>
<td>Province Planning workshops</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1a</td>
<td>1a</td>
<td>2a</td>
<td>Sectoral workshops</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>District</td>
<td>District Planning workshops</td>
<td>8c</td>
<td>9c</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community</td>
<td>Community Planning Workshops</td>
<td>7a</td>
<td>8a</td>
<td>9a</td>
<td></td>
</tr>
<tr>
<td>Individual Actors</td>
<td>1d</td>
<td>1d</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Target Groups</td>
<td>6</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1= Problem Analysis  
2= Potentiality Analysis  
3= Alternatives Analysis: Sectoral and Technological Options/ Regional level  
4= Economic appraisal  
5= Environmental impact assessment  
6= Target Group and Gender Analysis  
7= Alternatives Analysis: Sectoral and Technological Options / Community and Target Group Level  
8= Organisational Analysis  
9= Strategy Design
2.6.3. Planning procedure - rationale

**Levels / Dimension of Analysis**

- Situation Analysis
- Target Group/ Gender Analysis
- Situation Analysis

**Problem- and Potentialities- Analysis**

- Actual Situation
- Problems
- Objectives
- Constraints
- Potentials

**Alternatives Analysis**

- Identification of Alternatives
- Appraisal of Alternatives
  - General sectoral and technological alternatives (Regional)
  - Location and Target-group specific alternatives (local/ T.G.- level)
  - Organisational Alternatives (all levels)

**Logical Framework**

- Strategy Designs of regional development programmes
  - consistent set of measures and objectives
  - specification by indicators
2.6.4. Example: Envisaged organisational set-up for the planning process

Provincial Government

District Councils

Municipalities/ Rural Councils

Provincial Planning Team

Extended Provincial Planning Team (inc. District Teams)

Provincial Technical Sub-committees (Agric., Industry, Health, Water, etc.)

District Planning Team

Extended District Planning Team

District Technical Sub-committees

Community Committees

Community Committees

NGO’s

other relevant pole players

NGO’s

other relevant pole players

NGO’s

other relevant pole players

..... Roads Educ. Health Forest Agric.

..... ..... ..... ..... ..... ..... 

..... ..... ..... ..... ..... ..... 

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### 2.6.5. Planning steps

<table>
<thead>
<tr>
<th>No</th>
<th>Step</th>
<th>Level</th>
<th>Responsible</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Problem Analysis</td>
<td>Province, Districts, Loc. Gov., Target Groups</td>
<td>PPT, DPT’s, DPT’s, DPT’s (sample)</td>
<td>Problems and their causes as perceived by all relevant actors are prioritised and interrelated</td>
</tr>
<tr>
<td>2</td>
<td>Potentiality Analysis</td>
<td>all</td>
<td>PPT /DPTs, Sectoral Workshops (PTSCs)</td>
<td>List of potentials as perceived by relevant actors (during problem analysis)</td>
</tr>
</tbody>
</table>
| 3  | Alternatives Analysis                     | Province, Districts, Sectoral Workshops (PTSCs) | - Preliminary identification of priority sectors and levels of technology  
- Questions for Feasibility Studies  
- Information for participatory dialogue |
| 4  | Economic Appraisal                        | Province / Districts, EPPT & specialists | Economic viability of alternatives known                                     |
| 5  | Environmental Impact Assessment           | Province / Districts, EPPT & specialists | Environmental soundness of alternatives known                                   |
| 6  | Target Group and Gender Analysis          | Target Groups, DPTs        | Detailed information and analysis of target group and gender-specific problems, constraints and potentials. Preliminary identification of special target groups and of adjusted support measures |
| 7  | Problem-solving dialogue: Participative alternatives analysis on | Local Government, Target Groups, DPTs Community Workshops | - Prioritised lists of community-specific project proposals and support requirements  
- further adjustments of |
| 8 | **Organisational Analysis** | Target Groups  
Local Government  
Districts  
Province | DPTs (in combination with step 7)  
DTSCs  
Sectoral Workshops  
PTSCs  
Sectoral workshops | - Identification of responsible implementing agencies or groups  
- Identification of capacity building requirements of responsible implementing agencies  
- Clarification of responsibilities |
|---|---|---|---|---|
| 9 | **Strategy Designs:**  
Logical Frameworks | Target Groups  
Local Government  
Districts  
Province | DPTs (with step 7)  
DTSCs  
PTSCs | Simplified Logical Frameworks for local projects |
| 10 | **Operational and Budget Planning** | Province / Districts | RSDAs | Budget Proposal. Plans of Operation for each agency |
| 11 | **Discussion and Approval** | Province / Districts | DPF, PPF | Approved programmes |