

56649

POOR RURAL COMMUNITIES  
DEVELOPMENT PROJECT

农村贫困社区开发项目

**PARTICIPATION MANUAL**

**参与式手册**

Prepared by PRCDP with ITAD

由 ITAD 公司与 PRCDP 项目

共同起草

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## **Chapter 1: Introduction**

## **第一章：介绍**

## Introduction 第一章: 介绍

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## 1.1 About this manual 本手册的宗旨

### 1.1.1 Objective and contents of this Manual 本手册的目标与内容

The Participation Manual aims to provide guidance to management staff and facilitators at County and Township levels on how to implement and monitor the participation approach in PRCDP.

《手册》的宗旨是为县、乡级管理人员和协调员，如何在PRCDP中实施与监测参与式方法提供指导。

#### Box 1: Contents of this Manual; 框1:本手册的内容

<b>Chapter 1</b> 第1章	Concept, objective and approach to participation 参与式的概念、目标和方法
<b>Chapter 2</b> 第2章	Methods for participation 参与式方法 <ul style="list-style-type: none"> <li>○ Objectives, rationale and principles 目标、原理和原则</li> <li>○ Main steps and recommended methods 主要步骤和推荐方法</li> <li>○ Practical cases, examples and guidelines 实际案例和指南</li> <li>○ Indicators and checklists for M&amp;E 监测与评估的指标和检查表</li> </ul>
<b>PPA</b>	Participatory Poverty Assessment 参与式贫困评估 ( PPA )
<b>PP</b>	Participatory Planning 参与式规划 ( PP )
<b>PI</b>	Participatory Implementation 参与式实施 ( PI )
<b>PM&amp;E</b>	Participatory Monitoring and Evaluation 参与式监测与评估 ( PM&E )
<b>Chapter 3</b> 第3章	Institutional arrangements, Capacity Building, costs and benefits of participation 参与式项目机构安排、能力建设、以及成本与收益
<b>Chapter 4</b> 第4章	Assessment of the participation process (Chapter 4) 对参与过程的分析 ( 第4章 )
<b>Annex</b> 附件	Sources for further learning on participation (Annex 1) 参与式的进一步学习素材 ( 附件1 )

### 1.1.2 Who should use this manual? 本手册的使用对象

The manual is written for several different groups: provincial project officers, county-level project planners, project managers, and township facilitators. Given differing modes and levels of involvement in PRCDP, we suggest that certain

chapters and sections may be focused on by particular staff depending on their involvement in the project.

从项目角度看，无论是省级项目官员，还是县级项目规划人员、项目管理人员，以及乡镇项目协助者，都可以参考本手册。但由于这些项目人员涉足PRCDP项目的程度和方式等都是不一样的，我们因此建议特定人员应根据其在项目中的参与程度对参考的具体章节有所侧重。

Provincial and County-level project (management) officers need to understand the project cycle of the entire PRCDP, and basic principles and quality requirements of the participatory approach in the PRCDP. They should therefore focus on Chapters 1, 3 and 4 and some of the 'good practice' cases.

对于省级和县级项目（管理）官员而言，他们需要了解整个PRCDP项目的基本周期、参与式方法在PRCDP项目中的基本原则和基本质量要求，但并不一定需要掌握具体的参与式方法在项目中的具体操作过程，因此可以重点参考本手册的第一、三、和四章，以及相关的一些案例介绍。

County and township project planners and implementers will need to refer to all sections of the manual, particularly Chapters 1, 2 and 3, dealing with procedures and methods of PPA and PP. They should read carefully the practical cases, examples and guidelines included in the annex of Chapter 2 and 3. The indicators and checklists on participation are a useful reference for project workers throughout the participation process.

对于县乡级的项目规划和实施人员而言，他们需要完整地参阅本手册，特别是第一、二、三章，包括参与式贫困分析（PPA）、参与式规划（PP）的指导性步骤和方法。他们应仔细阅读第二、三章附件中的实际案例和指南。其中有关参与式的指标和检查表将非常有助于项目工作者有效把握整个参与的过程。

Project management and supervision should refer to the indicators and checklists included in each chapter to assess the project performance.

项目管理与监督应参阅各章分析项目绩效的指标和检查表。

### 1.1.3 How this manual has been written 本手册的撰写过程

This manual is the result of one year of discussion, learning, reflection and practice on participation within PRCDP as part of the cooperation between PRCDP and ITAD. It includes contributions from project staff, facilitators and practitioners in the three Provinces. The principles, methods and indicators have been developed through a series of workshops and trialled in places within the project areas<sup>1</sup>. Practical cases and examples written by the facilitators provide valuable sources for learning on participation within the PRCDP area<sup>2</sup>. The

<sup>1</sup> Guangxi has contributed a valuable document on this process. It is included in the Annex of Chapter 3 (learning system in Guangxi). 广西为本部分提供了重要文件。详见第3章附件（广西的学习系统）

<sup>2</sup> Please refer to the Annexes of Chapter 2 and 3 for the cases. 案例请参阅第2和3章附件

manual has been compiled and edited by ITAD, based on the contributions from the Provinces.

本手册针对PRCDP项目中的参与式内容，  
是为期一年的讨论、学习、反思和实践的结果，属于PRCDP项目和ITAD公司合作的一部分。  
它是三省项目工作人员、协调员、具体参与人员共同努力的成果。其原则、方法和指标是在一系列研讨会和项目区试验的基础上开发的。协调员编写的实际案例为PRCDP项目领域内参与式的学习提供了宝贵的素材。手册最终由ITAD根据各省提供的内容进行了汇总和编辑。



## 1.2 Participation in PRCDP; PRCDP项目中的参与式

### 1.2.1 Background 背景

Over the past few years, governmental, public sector and non-governmental organizations have devoted considerable time and resources to the development of poor areas and particularly the poorer sections of the community. At the same time, government at all levels and social organizations have come to recognize that reliance on top-down planning and decision-making is unlikely to result in sustainable development and capacity building of local communities. Local communities, local government organizations and NGOs are seen to play equally important and decisive roles in poverty alleviation.

长期以来，无论是各级政府还是各社会团体，都在为贫困地区的发展特别是贫困人口的脱贫发展而不懈的努力。但与此同时，各级政府和相关的社会团体也认识到，单纯依靠自上而下的规划和决策形式很难实现脱贫发展的目的，特别是在可持续发展和当地社区的能力建设方面。因此，政府部门在扶贫发展中的角色是非常重要的，但并不是全部的角色。当地社区群众、当地的政府组织和非政府组织在扶贫发展的过程中参与程度对扶贫发展的成功同样具有十分关键和决定性的作用。

PRCDP aims to improve livelihoods and capacities for sustainable self-development of the poorest groups in Provinces within the project. Effective cooperation between the government, Project and target groups has become the key condition for success of PRCDP. To achieve this, PRCDP is working to ensure sustained and effective participation of poor groups, women, ethnic minorities and marginalized groups throughout the whole project cycle: from poverty analysis and development planning to implementing, monitoring, evaluating and revising project activities.

PRCDP项目是以项目省份中最贫困的人群作为目标群体，项目的实施不仅要设法改善他们的生活状况，也要提高他们的自我发展和管理能力。所以，这些目标人群同政府和项目机构的有效合作成为项目成功的关键。因此，确保这些目标人群包括社区中不同的贫困人群、妇女、少数民族以及边缘化人群的持续有效的参与到整个项目过程中，包括对贫困现状的分析、发展规划以及项目活动的实施、监测和评估调整，成了PRCDP项目成功的重要条件，也是PRCDP项目的关键特色。

Poverty alleviation projects in China are increasingly using participatory approaches. However, there are wide differences in understanding of participation with no guidelines or manuals covering areas such as poverty assessment, limited relevant practical experience, and a shortage of facilitators. As a result, the use and impact of genuinely participatory approaches throughout the project cycle have been severely limited. The most serious problem has been the failure of poor groups to participate effectively, particularly in decision-making, which has directly impacted on the success of development projects.

事实上，中国越来越多的扶贫发展项目在采取参与式的方式进行，但由于对参与式方法的理解的差异，以及缺乏适合不同地区包括不同社区贫困实际的操作指南或者操作手册，以及缺乏必要的实践经验和协助服务，使参与式方法在整个项目过程中的应用程度和效果受到很大的影响，最突出的问题就是当地的贫困人群并没有真正有效的参与到项目当中特别是发展项目的决策去，直接影响了项目的成功。

### Box 2: Key elements of a participatory approach; 框2:参与式方法的关键因素为

- **Legal and policy framework:** Government willingness to devolve some degree of autonomy in decision-making to local communities: In PRCDP this means strengthening the role of townships during planning and implementation.

**法律与政策框架：**政府赋予地方某些项目决策权利的意愿，这在PRCDP中则意味着有关的乡镇的权利和作用在项目规划和实施过程中应该得到强化；

- **Rights to manage and use land and natural resources:** Recognition of the customary rights of indigenous people to their ancestral lands and the utilization of natural resources: In PRCDP this links with the reasonable compensation policies for resettlement or requisition of land.

**对土地和自然资源管理利用的权利：**承认社区居民对法定的土地利用权利和对一些自然资源有效管理的传统机制和习惯权利。这在PRCDP项目中意味着必须把因项目产生的移民或征地同补偿政策合理联系起来；

- **Effective, culturally appropriate communication based on mutual respect:** effective communication between the project and the local community should use traditional means of communication as much as possible, including local dialects, minority languages, folk songs etc.

**基于当地文化习惯的有效的沟通：**在相互尊重的基础上项目和当地社区要进行有效的沟通，并尽量使用当地习惯的沟通方式，包括当地方言、少数民族语言和表达方式例如山歌等

- **Building on traditional strengths** Building on traditional environmental knowledge and livelihoods systems in the development of new knowledge, technologies and economic activities, fully understanding local people's preferences and rationales (not only during PPA, PP, but also during technical and environmental feasibility assessments).

**利用传统优势：**在传统优势例如有关环境保护的传统知识、传统的生存发展体系的基础上开发新的发展知识、发展技术和经济活动，充分理解和尊重当地的偏好和合理的行为原则（不仅仅是在进行贫困分析和参与式规划时，也包括在对项目活动进行技术和环境可行性评估的时候）。

In an attempt to fill this gap, the three provinces in South-West China (Yunnan, Sichuan and Guangxi) involved in PRCDP have pooled experiences of participatory development, particularly Participatory Poverty Analysis (PPA) and Participatory Planning (PP) carried out during the first half of 2004, and past experiences (such as Qinba Poverty Alleviation Project financed by the World

Bank) to develop a set of operational guidelines or a 'manual' suited to the actual conditions in the three provinces.

因此，PRCDP涉及到的三个中国西南省份（云南、四川和广西）将结合过去从事参与式发展的经验（例如世界银行的秦巴扶贫项目）特别是PRCDP在2004年上半年在上述三省实施的PPA和PP经验，来开发一套适合三省实际情况的具有操作性的指南或者手册，确保“贫困人群参与”在PRCDP项目中主流化，包括贫困分析、项目规划、项目监测和评估等阶段，以顺利地实现PRCDP的项目目标。

### 1.2.2 Progress on participation 参与式的进程

Although there is a growing base of experience in using participatory methodologies in South-West China, most are PRA-type methods, and their use has been limited to project planning and needs assessment. There is wide recognition that participation can lead to better-targeted and more effective poverty alleviation<sup>3</sup>, but limited experience of use of participation in community-centred projects through all stages of the project cycle within the government system.

尽管中国西南地区使用参与式方法的经验比较丰富，但多数只是把类似参与式乡村快速评估（PRA）的方法用于项目的规划和需要评估中。虽然大家都认为参与式方法可以用于更有针对性的扶贫活动中，但在政府系统内开展以社区为中心的项目活动还不是很多，因此应验也比较有限。

Therefore, the challenge for the PRCDP is to implement a participatory approach effectively throughout the project cycle using local facilitators (such as township and county government staff) rather than outside experts, and also

因此，PRCDP项目目前面临的挑战就是如何在PRCDP的整个项目周期内以当地的项目协调员（例如乡和县政府人员）为主而不是依靠外来专家来实施参与式的发展过程，并将相关经验推广到更大的范围和区域，这包括了下列一些具体的方面：

- To introduce appropriate tools and methods for participatory approaches;  
为PRCDP项目引入适当的参与式方法和工具；
- To ensure effective, high quality participation of poor and marginal groups throughout the development process, and  
确保贫困人群参与整个过程特别是参与的质量和效果；
- To institutionalise these participatory processes within the government system.

<sup>3</sup> Apparent in the SW China Participatory Methods Development and Innovation Workshop held in December 2002 in Kunming

从2002年12月在昆明举办的“中国西南参与式方法开发与创新研讨会”上可以看出。

将参与思想融入到政府体系内。

During the project preparation phase, the three PRCDP Provinces have trialled and implemented participatory poverty analysis and planning as part of their feasibility studies in sample villages. In addition, participatory implementation and PM&E has been tried out in pilot villages in Guangxi<sup>4</sup>. Their experiences with participatory methods have been incorporated in the manual to describe the localised approach taken by PRCDP (Chapter 2).

在项目准备阶段，三个PRCDP省份都在抽样村里试验、实施了参与式贫困分析和计划，作为他们的可行性研究的一部分。此外，广西已经在试点村里试验了参与式实施和参与式监测与评估。他们的参与式方法经验已经被融合进了手册里，以说明PRCDP采取的本地化了的方法（第二章）

### 1.3 Concept of Participation 参与式的概念

#### 1.3.1 What is participation? 什么是参与式？

Participation means different things to different people. In China there are a wide range of interpretations from simply *being there* to *empowerment - a process through which primary stakeholders influence and share control of their development initiatives, decisions and resources*<sup>5</sup>.

参与式对于不同的人有不同的理解。在中国，仅仅是对“参与就是对社区赋权”的解释就有很多种。所谓赋权，就是主要利益相关群体能够影响和共同控制他们的发展方向和资源利用、共同进行决策的过程。

Participation ranges from superficial or shallow to deep or meaningful, for example participating in project decision-making. The following table (Box 3: Spectrum of modes of participation; 框3:不同的参与式方式的范围) illustrates the spectrum of modes of participation. Different stakeholders (such as villagers within the local community) may be engaged in different levels of participation.

参与式可以从表面的象征性的，也可以是非常深入的具有实质意义的参与，例如参与项目的决策等。下面的表3（框3:不同的参与式方式的领域）罗列了各种形式的参与式的范围，因此不同的利益相关群体（例如当地社区村民）可以根据不同的实际需要表现为不同范围的参与。

<sup>4</sup> As part of the EAT-projects (“Easy Achievable Tasks”) implemented in co-operation with ITAD. 作为EATS项目（“容易实现的任务”）的一部分，与ITAD合作实施。

<sup>5</sup> Blackburn, Chambers and Gaventa, ‘Mainstreaming Participation in Development’, OED Working Papers no 10, 2000 quoted in ITAD ‘A Review of the Use of Participatory Techniques in China’, 16 January 2003

布莱克本、詹伯斯和加文塔，《发展的参与主流化》，ITAD公司2003年1月16日在《中国使用参与式技术的回顾》一文中引用的OED 2000年第10份工作报。

### 1.3.2 Who should participate? <sup>6</sup> 谁应该参与? <sup>6</sup>

All stakeholders who are directly or indirectly affected by or can affect the project should participate in the development process. These include:

凡是受PRCDP项目影响或者将影响PRCDP项目的人和机构都应该参与到项目过程中来，特别是项目的目标群体，这些人包括：

- Provincial and county project offices (PMO)  
省级和县级项目办；
- Township working stations  
乡镇工作站
- People in the community within the project area, especially poor groups, poor households and women.  
项目社区群众，特别是贫困人群和贫困家庭、妇女等；
- Indirectly affected groups, such as township people who may benefit from improved infrastructure and services, nongovernmental and private sector organisations.

其他可能间接受到影响的群体，例如当地的一些私营企业和民间机构等。

Although different stakeholders have different levels of power, different interests and different resources (such as money, time, land, etc.), all stakeholders need to work collaboratively in development projects. This Manual focuses on ensuring effective participation of poor groups and individuals in the PRCDP process.

尽管不同的利益相关群体有着不同的权力、不同的利益和不同的资源（例如，资金、时间、土地等），但是这些利益相关群体都应该共同合作来推动发展进程。本《手册》的重点就是要推进贫困人群和贫困个体等在PRCDP项目过程中的有效参与和合作。

<sup>6</sup> Based on the World Bank Participation Sourcebook  
根据《世界银行参与原始资料集》。



### 1.3.3 Who are the project primary stakeholders? 谁是项目的主要利益相关群体？

The approach taken by PRCDP is **poor people-centred** with the focus on mountainous areas, minorities and other disadvantaged groups. Special attention is given to including particularly poor natural villages and marginalised groups (including the poorest households, women, ethnic minorities).

作为扶贫项目，山区、少数民族和其他贫困人群和贫困人口毫无疑问是PRCDP的项目目标群体，这些人群包括了社区中的特困户、妇女儿童、少数民族包括社区中少数的民族，以及那些相对更难介入社区活动的边缘化人群和农户，因为他们得到的关注、帮助和实际服务相对来说更少。

Many cultural, economic and political barriers effectively prevent the poor from having any real stake in development activities. The **poorest** tend to be particularly adversely affected, including women, unless policies are in place to ensure the conditions and opportunities necessary for their successful participation.

客观上有许多的文化的、经济的和政治的障碍影响着贫困人群真正从发展项目中受益，特别是那些特困人群包括妇女，除非有针对性的政策保证和必要的机会和条件。

The **poorest villages** are usually located in isolated and remote locations which lack access to infrastructure and communication. Their environment is characterized by difficult ecological conditions which make them vulnerable to natural disasters.

**最贫困的村子**一般都位于与世隔绝、偏远的地方，缺少基础设施和交通。他们所处的环境特征是生态条件恶劣，使他们在自然灾害面前显得脆弱。

The **poorest households** are those with high dependency ratio, few assets, living in remote areas and facing cultural isolation due to language barriers or low levels of education. Within households, particular individuals are likely to face discrimination due to physical disability, gender or age. The use of a participatory approach to poverty assessment and village planning will increase the capacity of the project to ensure that the poorest households and individuals can benefit from the project as well as providing data to monitoring the impact on equity in project areas. It will also provide the opportunity to include villagers' own views on existing approaches and constraints to ensure that the priorities and technical approaches to project activities support villagers' preferences and build their existing capacity and capital.

**最贫困户**是那些倚赖率高、资产很少、居住在偏远地区，由于语言障碍或受教育水平低而面临文化隔绝的农户。在农户家里，具体的个人可能由于生理残疾、社会性别或年龄而受到歧视。使用参与式方法进行贫困评估和村计划将增强项目的能力，以确保最贫困的农户和个人能够从项目中受益，并提供数据，监测对项目区公平性的影响。它

还将提供机会，将村民们对现有方法和制约因素的看法，以确保项目活动的优先事项和技术方法支持村民们的偏好，并建立他们现有的能力和资本。

**Women** have consistently been found to be the group most seriously affected by problems of poverty. At the same time, women do not automatically benefit from efforts to involve poor people in poverty alleviation projects. This is because women's economic situation and development priorities are often assumed to be the same as those of other poor groups, even though they play completely different roles both in the community and at home to men or other poor groups. In particular:

**妇女**受贫困问题的影响往往最为严重。同时，妇女并不能自动地从那些牵涉穷人的扶贫项目中自动地受益。因为他们的贫困状况和发展需求往往被笼统的包含在一般的贫困人群中了，尽管他们在社区中和家庭中扮演的角色根本不同于男人和一般贫困人群，例如：

- Local customs, beliefs and attitudes often limit women's participation in activities outside the home;

当地习俗和信仰往往限制妇女们参与家庭以外的事务；

- Women's economic and domestic workloads impose severe time burdens on them: thus they frequently have neither the opportunity nor the time to participate in community affairs;

妇女们往往同时承担家庭经济和家务劳动双重负担，没有参与社区事务的机会和时间；

- Certain customs, policies and even the laws effectively limit women's access to credit, productive inputs, employment, education, information, medical care.

一些传统习俗、某些政策甚至某些法律客观上限制了妇女们获得信贷、生产性投资、就业、教育、信息和医疗的机会。

People from **ethnic minorities** are frequently losers in the development process, despite being the poorest of the poor. As a result of historical and cultural factors, ethnic minorities often live in remote locations away from the dominant nationalities in the community. In addition, linguistic barriers make it especially difficult for the outsider to communicate with ethnic minority groups, and to win their trust. To ensure that ethnic minorities effectively participate in and benefit from the project, PRCDP needs to incorporate the priorities of ethnic minorities into all community development projects. It is also required to design the project based on their particular situations and priorities in order to protect their interests. This is a World Bank safeguard policy for ethnic minorities.

少数民族包括社区中相对弱小的民族群体往往不能从项目中受益，尽管他们常常是社区贫困人群中最为贫困的群体。由于历史的和文化的原因，少数民族往往居住在远离社区主体民族和更偏远的地方，加上可能存在的语言障碍往往使这些少数民族无法与外界沟通甚至不信任外来人员，使得他们的特殊状况和需求不能得到全面的反映。因



此，为了确保少数民族的有效参与和受益，PRCDP项目不仅必须把少数民族的需求纳入和整合到整个社区发展项目中，也需要针对他们的特殊状况和需求规划设计项目，以保证他们的利益，这也是世界银行的少数民族特殊保障政策之一。

As a result, specific steps need to be taken to ensure provision of special opportunities and channels for these groups to participate and benefit throughout the project cycle. This manual describes specific mechanisms which can be used to ensure participation of poor households, women and ethnic minorities, including indicators for their participation.

因此，PRCDP应该提供专门的机会和途径来确保妇女的参与，包括贫困分析、项目规划、项目实施与监测评估等全部项目周期，《手册》为此罗列了一些特别机制，可用于保证贫困家庭、妇女和少数民族的参与，特别是参与的一些指标。

## **1.4 The Participation Approach of PRCDP; PRCDP项目中的参与式**

### **1.4.1 Objective and Rationale目标与原理**

It is a basic premise of PRCDP that the nature and causes of poverty differ from place to place, between individuals and groups, between genders, between ethnic minorities, etc. It is not possible to effectively address poverty by applying a single solution in all locations. The different needs of different poverty groups must be recognized and respected – the project should be tailored to address different specific needs at the level of the very poorest (i.e. poor groups within natural villages).

PRCDP的一个基本前提是贫困的性质和起因因地而异，因不同的个体和群体、不同的社会性别和不同的民族等而异。如果对各地采用同一种方法，是不可能有效地解决贫困问题的。不同贫困群体的不同需要必须得到承认和尊重  
应当修整项目，以便解决最贫困层次（比如自然村里的贫困群体）的具体需求

The participatory approach adopted by PRCDP aims to achieve a more effective and sustainable poverty alleviation through the following objectives:

PRCDP采用的参与式方法旨在通过以下目标取得更为有效、可持续的扶贫成果：

## Objectives of Participation in PRCDP

### PRCDP项目中参与式的目标

- **Poor communities are able to participate in decision-making and action related to need assessment, planning, implementation, monitoring and evaluation and are enabled to express their needs and priorities and achieve their objectives in terms of poverty reduction actively during the entire PRCDP project cycle:**

贫困社区在整个PRCDP项目周期内都能够积极地参与需求评估、计划、执行实施、监测及评估有关的决策和行动，并能够表达他们的需要和优先事项，达到他们关于减贫的目标：

The poor groups and communities including the marginalized, the disadvantaged and the socially excluded should find enough space to fully express their views under transparent and fair decision-making process of PRCDP project cycle and have opportunities favouring resource allocation for human poverty reduction. The project process must reflect biases in decision-making in favour of poor groups and poor and remote villages/sub-villages.

贫困群体和社区，包括边缘群体、弱势群体和被社会排斥的群体，在PRCDP项目周期内，在透明而公平的决策过程中，应当能够找到足够的空间来表达他们的观点，并有机会优先得到人道减贫资源分配。项目过程必须反映有利于贫困群体和边远、贫困村/屯。

- **The needs of different poverty groups are identified and effectively addressed by project interventions:**

通过项目干预，找出并有效地处理不同贫困群体的需要：

The poor and the marginalized groups find enough opportunities to determine indigenous poverty criteria based on which different social groups can be identified within the villages/sub-villages for appropriate pro-poor interventions under PRCDP. Poverty groups (households, sub-villages, women and small ethnic minorities) need to be identified and the indicators by which they are classified need to be described. PPA/PP outputs would reflect the need identification of the "poverty groups".

贫困和边缘群体能找到足够的机会，根据村/屯里能够识别出的不同社会群体，确定乡土贫困指标，以便PRCDP进行适当的对穷人有利的干预。需要识别出贫困群体（农户、屯、妇女、少数民族），并说明对他们进行分类的指标。PPA和PP输出应反映“贫困群体”的需求标记。

## 1.4.2 Main Characteristics and Principles of the Approach 方法的主要特点和原则

In order to succeed in working with the primary stakeholders throughout all project stages and to ensure that the benefits of PRCDP reach the poor the following principles should be taken into consideration.

为了在项目各阶段与主要利益相关群体成功合作，并确保PRCDP项目中的贫困人受益，就必须考虑以下原则：

**Table 1: Main Principles for working with Primary Stakeholders in PRCDP**

表1:与PRCDP项目主要利益相关群体合作的主要原则

Main Characteristics and Principles 主要特点和原则	Stage阶段
Working with poor and marginal groups to learn about their poverty situation and development perspectives: 和贫困和边缘化人群打成一片，了解他们的现状和发展愿望；	<b>Participatory poverty assessment (PPA)</b> <b>参与式贫困分析-PPA</b>
Understanding how communities decide on and implement their development strategies; 了解社区的发展决策过程和管理；	
Working with them to identify opportunities and mechanisms for economic and social development: 与他们一起寻找出脱贫发展的机遇和机制	<b>Participatory planning (PP)</b> <b>参与式规划-PP</b>
Facilitating the implementation of appropriate development activities and, through this, building and improving the capacity of local communities: 协助他们实施相关的发展活动，并通过这个过程推动当地的能力建设和提高；	<b>Participatory implementation (PI)</b> <b>参与式实施-(PI)</b>
Ensuring the resources and services provided by the project serve the specific needs of poor groups and make a positive impact on their lives; and 确保项目所提供的资源和服务真正服务于贫困人群，并改善他们的生活；	
Learning together with them from the entire participation process and its outcomes: 与他们一起总结学习整个参与式过程和结果。	<b>Participatory M&amp;E (PM&amp;E)</b> <b>参与式监测与评估 (PM&amp;E)</b>

Implementation of PRCDP will be based on Participatory Plans which are unique to the place and the people that created them. All targeted villages in PRCDP need to produce their own Participatory Plans and all villages need to be engaged in a participatory manner beyond the planning process, which means that

communities must be able to fully participate in all aspects of the project cycle (need assessment, planning, implementation, monitoring and evaluation).

因此，PRCDP将根据因地、因人而异的《参与式计划》实施。PRCDP里的所有目标村都需要编制他们自己的《参与式计划》，所有的村子都需要从事超越计划过程的参与方式，这就意味着社区必须能够全面地参与项目周期里的方方面面（需要评估、计划、实施、监测与评估）。

This simple project cycle with two stages in design<sup>8</sup> (PPA and PP), an implementation stage and an M&E stage is less sophisticated than the traditional project cycle used for poverty alleviation initiatives, but the Participation Manual explains in detail how the participatory project cycle matches with the PRCDP project stages. In essence it is as follows:

这个简单的项目周期有两个设计阶段（参与式贫困评估和参与式计划），一个实施阶段和一个监测与评估阶段，没有用于扶贫开发的传统项目周期复杂，但《参与手册》详细地解释了参与式项目周期如何与PRCDP项目阶段配套的问题。其重点内容如下：

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<sup>8</sup> As shown in the table, whilst PPA and PP are distinct separate stages in in-depth participation, they will be done together in most cases in PRCDP. However they are described separately here for clarity.

如表所示，参与式贫困评估和参与式计划是深度参与的不同独立阶段，他们在PRCDP里的多数情况下，都会一起进行。不过，在这里单独说明，以明视听。

Table 2: Participation in PRCDP Project Stages; 表2:PRCDP项目各阶段中的参与式

Stage阶段	Participatory Approach; 参与式方法
<b>Planning</b> <b>计划</b>	PPA and PP, and integration of PPs with county plans 参与式贫困评估和参与式计划，将参与式计划与县级计划融合
<b>Budgeting</b> <b>预算</b>	Continues to be a county/township function, though there are opportunities for communities to make decisions on budgets with village allocations. Part of participatory planning 继续是县、乡的职能，尽管社区有机会就村级拨款的预算作出决定。是参与式计划的一部分。
<b>Procurement</b> <b>采购</b>	Procurement will involve principles of community participation – at the minimum, improved information flow to improve transparency and accountability, but community contracting and fund management will be tested. This is part of participatory implementation 采购将涉及社区参与的原则 – 至少，改善的信息流会提高透明度和可信度，但应当试验社区发包和资金管理。这是参与式实施的一部分。
<b>Implementation of specific projects/ construction of infrastructure</b> <b>具体项目的实施/基础设施的建设</b>	Participatory implementation 参与式实施
<b>Supervision of implementation process</b> <b>实施过程的监督</b>	PM&E and assessment of the use of participatory approach according to standards for quality of participation 参与式监测与评估，根据参与的质量标准，评估参与式方法的使用。

### 1.4.3 A phased approach to PRCDP; PRCDP分期阶段性工作方法

The Participatory Approach will be implemented within three phases

参与式方法将在三个阶段里实施：

- PPA/PP during preparation phase, to inform the feasibility study and prepare for first year of implementation

在准备阶段，实施参与式贫困评估、参与式计划，以便通知可行性研究，准备第一年的实施；

- During the first and second year: PPA/PP for all remaining villages directly targeted by PRCDP and start of participatory implementation and monitoring in villages which have already done their PPAs and PPs.

第一年和第二年：PRCDP剩余村落的所有直接目标的参与式贫困评估、参与式计划，开始参与式实施，并监测那些已经完成了参与式贫困评估、参与式计划的村子。

- Participatory implementation and monitoring in all remaining villages directly targeted by PRCDP

PRCDP直接锁定的所有其余村子的参与式监测与评估。

The pilots undertaken in the Feasibilities Studies showed that the capacities for implementing a participatory approach need to be built up over a time and that the lessons from each case are useful for improving work on participation in the next case. Therefore, each phase can be seen as a learning cycle, with the opportunity to reflect and improve on the participation in the cycle between one phase and the next

《可行性研究》里进行的试点表明，实施参与式方法的能力需要花时间建立，每个案例的教训对下一个案例改善参与工作都有用。因此，每期都可以看成是一个学习的周期，在一期和下一期之间，将有机会反思并改善周期内的参与。

The advantage of this phased approach is that PMO and cadre staffs are able to give better support to each village, because all villages will not be at the same stage at the same time. This will reduce the administrative burden on each Township and County. The costs of participatory planning and training in participation are no longer front loaded at the start of PRCDP, but spread throughout the project. The training pressure is thus less.

这种分期的方法是，项目办和干部队伍能够给予每个村更好的支持，因为所有的村子不可能同时处于同一期。这将减少每个乡和县的行政负担。参与式计划的费用和参与培训不再是PRCDP一开始就一锅端了，而是分布在整个项目过程中。培训的压力因此而更小了。

There needs to be an agreed system for selecting the villages for each phase. It is suggested that phasing occurs at the Township level, so that each Township has a number of villages in each phase, and each phase thus consists of a number of administrative villages in each Township. The villages for each phase could be selected on the basis of the depth of poverty (eg the poorest villages

first), the type of investment needed (e.g. some sub-projects may require longer than others), distance from the township, as a cluster, or because they were in the Feasibility Study (e.g. take the FS villages as the first Phase), etc. It is up to the PMOs to agree which villages will be in which phase, and explain why. The output should be a phasing plan. This would not be a rolling plan; each annual phase is a discrete block within PRCDP and should have its own budget and review points.

对每期挑选村子，需要有一个约定的制度。建议在乡一级分期，这样每个乡在每期都有几个村子，每期因此而在每个乡里由几个行政村组成。每期的村子都可以根据贫困的深度（比如，先从最贫困的村子开始）、需要的投资类型（比如，有些子项目可能比其它子项目要求长一些）作为一个组团，距离乡里的远近，或者因为它们《在《可行性研究》里（比如，《可行性研究》里的村子作为第一期），等等为基础挑选。由项目办决定哪个村将在哪一期里，并解释为什么。输出应当是一个分期的计划。这不会是一个推广计划；每年的一期都是PRCDP里的一个独立的单元，应当有自己的预算和审议点。

#### **1.4.4 Principles for Rolling-Out the Participation Approach; 启动参与式方法的原则**

- Each village will conduct its own PPA/PP based on the agreed principles and criteria (see Chapter 2) which will ensure an effective participation of the local community;

每个村都将根据约定的原则和标准（见第二章）进行自己的PPA/PP，这些原则和标准将确保当地社区的有效参与。

- PPA/PP shall be conducted within a phased approach, starting from pre-feasibility and continuing into the first two years of implementation;

PPA/PP将按分期的方法进行，从预可行性研究开始，连续进行到实施的头两年。

- Rolling out PPA/PP will be part of the annual WB evaluation and county project evaluation and planning schedule, so that the PP outcomes can be incorporated into the county implementation plan of the next year;

推广PPA/PP将是世行年度评估、县级项目评估和计划进度的一部分，这样PP结果就可以被合并到下一年度的实施计划中去。

- PPA/PP will serve as a starting point for adapting county-level planning and initiating village-level project implementation in a flexible way and according to local situations and needs;

PPA/PP将作为修改县级计划、以一种灵活的方式，根据当地情况和需要启动村级项目实施的出发点。

- Considering the quality of the participatory approach will be the base for arranging the roll-out of PPA/PP. The counties will need to decide how many villages can be covered in each phase, considering capacities of

local facilitators and previous experiences. Coverage of poor sub-villages and other marginalised groups within the villages must be adequate to ensure good quality of the PPA/PP process.

考虑到参与式方法的质量将是安排推广PPA/PP的基础，各县将需要决定每一期可以覆盖多少村子，并考虑当地协助员的能力和以前的经验。各村里贫困屯和其它边缘群体的覆盖面必须足够大，以确保PPA/PP过程的质量良好。

- Each village will have its own documentation of the PPA/PP process and outcomes. They will serve as a base for participatory implementation and monitoring at the community level.

每个村子都会有自己的实施参与式贫困评估、参与式计划过程和结果。他们将作为社区一级参与式实施和监测的基础。

- The contents of village plans will be adjusted as an outcome of the PPA/PP process and the county planning will be revised accordingly (within the limitations describe above).

作为PPA/PP过程的结果，村级计划的内容将进行调整，而县级计划也将（在上述限制内）相应地修改。

- Roll-out of PPA/PP will be organized by county facilitators, but implemented by township and village facilitators along with the local community members.

PP的推广

将由县协助员组织，但是要由乡和村协助员与当地社区成员一道实施。

#### 1.4.5 Participation in the four stages of the PRCDP project cycle. PRCDP项目周期四个阶段参与总结表

The approach taken by this manual is to describe and specify the participatory approach within the four stages of the project cycle along with basic principles, quality indicators, best practices and issues to be considered and addressed.

本《手册》采用的方法是描述并具体说明项目周期的四个阶段里的参与式方法，连同基本原则、质量指标、最佳做法和需要考虑并处理的问题。

- ◆ For good quality participation within the different stages, the approaches taken needs to follow the **principles** laid down in the first column of the table included below.

为了在不同的阶段里有高质量的参与，采用的方法需要遵循下表第一栏里定下的**原则**。

- ◆ The quality **indicators** specify the requirements described above; they form the base for monitoring the participatory approach in PRCDP.



质量 **指标** 具体说明上述要求；它们形成PRCDP项目中参与式方法的基础。

- ◆ The **best tools/practices/methods** described in each chapter illustrate how the basic principles can be implemented with good quality; they are drawn from experiences within PRCDP.

每章里描述的 **最佳工具/做法/方法** 举例说明如何高质量地执行基本原则；他们是从PRCDP项目的经验中提取出来的。

- ◆ The **checklist** in the last part of each chapter shows what aspects/issues need to be considered and addressed while implementing participation.

最后一栏的 **检查表** 显示在实施参与式的时候，需要考虑并处理哪些方面/问题。

Table 3: Summary table of participation in the four stages of the PRCDP project cycle PRCDP

表3: PRCDP项目周期四个阶段参与式总结表

	Principles 原则	Quality indicators 质量指标
PPA 参与式贫困分析	<ul style="list-style-type: none"> <li>▪ Shows diversity of poverty situations and poverty groups 显示贫困状况和贫困群体的多样化</li> <li>▪ Describes dimensions of poverty such as seasonal poverty, poverty over time, intra-household poverty etc. 说明贫困的范围，诸如季节性贫困、长期贫困、家庭内贫困等</li> <li>▪ Indigenous poverty criteria and grouping developed by the poor 由穷人开发出的乡土贫困标准和分级</li> <li>▪ Disaggregates information on poor natural villages 分解贫困自然村的信息</li> <li>▪ Gendered poverty 按社会性别划分的贫困</li> </ul>	<ul style="list-style-type: none"> <li>▪ Direct involvement of poor households (poor and remote villages, women groups and ethnic minorities and the socially excluded and the disadvantaged) in decision-making and project-related activities 贫困户 ( 边远贫困村、妇女群体、少数民族、被社会排斥的群体及弱势群体 ) 直接参与决策及与项目有关的活动</li> <li>▪ Conclusions and results are cross-checked by different methods and tools 用不同的方法和工具质证结论及结果</li> <li>▪ Cross-checking data and information before drawing conclusions 在得出结论之前，先质证数据和信息</li> <li>▪ Geographical, professional and social biases are avoided 避免地理、职业和社会偏见；</li> <li>▪ Reflects situation and needs of minority and marginal groups (women, ethnic groups) within the communities 反映社区内少数和边缘群体 ( 妇女、少数民族 ) 的状况和需要</li> </ul>

	Principles 原则	Quality indicators 质量指标
PP 参与式规划	<ul style="list-style-type: none"> <li>▪ PP must be based on the outcomes of PPA PP必须以PPA的结果为基础</li> <li>▪ Budget frame must be clear in the beginning 预算框架必须一开始就清楚明了</li> <li>▪ Consider/ protect needs/interests of minority social groups 考虑、保护少数社会群体的需要、利益</li> <li>▪ Needs of poor natural villages (sometimes: cluster of natural villages for infrastructure) 贫困自然村 (有时: 对基础设施, 是一组自然村) 的需要</li> <li>▪ Conflict settlement and mediation (transparent mechanism in place and known to people) 冲突解决和调解 (有透明的机制, 为人们所了解)</li> <li>▪ Encourage pro-poor decision making 鼓励做出对穷人们有利的决策</li> <li>▪ Avoid decision-making biases 避免决策偏见</li> <li>▪ PP needs to involve technical personnel for information, technical validation and feedback</li> </ul>	<ul style="list-style-type: none"> <li>▪ Proportion of poor households actively involved and participating in decision-making and revealing their priorities/preferences related to the planning process 在计划过程中, 作为潜在的受益人, 有代表的贫困自然村比例, 在人道减贫方面的利益类型和潜在利益</li> <li>▪ Proportion of women actively making decisions/ in the planning process and their scope for influencing decision-making and action in terms of gender 积极参与决策、计划过程的妇女比例, 她们在社会性别方面影响决策和行动的范围</li> <li>▪ Different ethnic groups are represented in the planning process and actively participating in decision-making and action 各民族在计划过程中都有代表, 并积极地参与决策和行动</li> <li>▪ Transparency of planning process and impartial decision-making and clarification of mutual roles and responsibilities 计划过程透明, 决策公正, 各自的责任和义务明了</li> <li>▪ Social justice and fairness of the results in terms of equity and gender aspects 在平等和社会性别方面, 社会正义和结果公平</li> <li>▪ Priorities/Preferences and roles of poor and marginal social groups, as reflected in project activities 贫困和边缘社会群体的优先事项、偏好和角色反映在项目活动中</li> <li>▪ Specific needs of poor HH and sub-villages are addressed by project activities 项目活动处理贫困户和贫困屯的具体需要。</li> </ul>

	<b>Principles</b> 原则	<b>Quality indicators</b> 质量指标
	<p>PP需要技术人员参与，以便提供信息、技术把关和反馈</p> <ul style="list-style-type: none"><li>▪ Feasibility needs to link up with PP 可行性研究需要和PP联系起来</li><li>▪ Social and technical validation of data and information during PP 在PP过程中，数据和资料需要社会和技术把关。</li></ul>	

	Principles 原则	Quality indicators 质量指标
Implementation 执行	<ul style="list-style-type: none"> <li>▪ Administrative village needs to set up coordination structure 行政村需要建立协调框架</li> <li>▪ Project implementation group (PIG) needs to be based where project is (sub-village) 项目实施小组需要以项目所在地 ( 屯 ) 为基地</li> <li>▪ Coordinators + PIG to be chosen by village plenary meeting 协调员和项目实施小组由村民全体会议选出</li> <li>▪ Project Implementation Group must be able to coordinate and solve the conflicts 项目实施小组必须能够协调和解决冲突</li> <li>▪ Transparency throughout the processes (publicize project components and budget) 全过程透明 ( 公布项目组成部分和预算 )</li> <li>▪ Quality need to be ensured by technicians and community 质量需要由技术人员和社区保证</li> <li>▪ Projects selected and designed primarily to benefit poor natural villages (consider poorest households)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number of beneficiaries from: poor households; poor natural villages; women; different ethnic groups directly participating and benefiting from the project 以下受益人的人数：贫困户；贫困自然村；妇女；直接参与并从项目中受益的不同民族；</li> <li>▪ Number of people directly involved in implementation and maintenance: poor households; poor natural villages; women; different ethnic groups and whether voluntary work load distributed equitably amongst poor and non-poor 直接参与实施和维护的人数：贫困户；贫困自然村；妇女；不同民族，不管是否在贫困和非贫困人群之间平等地分摊劳务；</li> <li>▪ Project implementation group (PIG) set up and functioning according to principles 项目实施小组根据原则建立并行使职能；</li> <li>▪ Mix of project activities likely to contribute to sustainable development and reduction of human poverty 可能有助于可持续发展及人道减贫的混合项目活动；</li> <li>▪ Villagers' capacities for self-help and initiatives strengthened by implementation of project activities 通过实施项目活动，村民们自力更生的能力和主动性得以加强。</li> </ul>

	Principles 原则	Quality indicators 质量指标
	项目的挑选和设计主要是为了让贫困自然村受益（考虑最贫困家庭）	
PM&E 参与式监测 评估	<ul style="list-style-type: none"> <li>▪ Indicators on project implementation must be developed and monitored by communities 项目实施的指标必须由社区开发和监测</li> <li>▪ Communities monitor project process, outcomes, impacts 社区监测项目过程、结果、影响</li> <li>▪ Documentation of PME through: 通过以下方式制作成文件：               <ul style="list-style-type: none"> <li>▫ Photos; 照片</li> <li>▫ Mappings; 构图</li> <li>▫ Songs/theater; 歌曲/剧院</li> <li>▫ Writing form/Narratives; 书面形式/叙述体</li> <li>▫ Case studies; 案例研究</li> </ul> </li> <li>▪ Regular documentation of the PME outputs by township facilitators 由乡协调员存档PME结果。</li> </ul>	<ul style="list-style-type: none"> <li>▪ Indicators for project implementation are developed during the participatory planning process by project beneficiaries and facilitators 项目受益人和协调员在参与式计划过程中开发出项目实施指标</li> <li>▪ Different groups (women, poor households, ethnic groups) actively participate in PM&amp;E (i.e. undertake monitoring themselves) at regular intervals 不同群体（妇女、贫困户、少数民族群体）定期积极参与PM&amp;E（即由他们自己进行监测）</li> <li>▪ Villagers feed back their views, experience and opinions on project implementation through PM&amp;E – these are recorded by the project staff 村民们通过PM&amp;E反馈他们对项目实施的看法、经验和意见 – 由项目人员记录；</li> <li>▪ PIG maintains complete documentation on the implementation process 项目实施小组保持实施过程的完整资料</li> <li>▪ Lessons are shared and villagers learn from PM&amp;E process 村民们分享教训，并从PM&amp;E过程中学习</li> <li>▪ Creative development and use of PM&amp;E tools PM&amp;E工具的创造性开发和使用。</li> </ul>

**Chapter 2: Methodological Approach to  
Using Participation**

**第2章参：与式应用方法**

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## 2.1 Participatory Poverty Analysis (PPA) 参与式贫困分析(PPA)

### 2.1.1 Objective of PPA; PPA及其作用

PPA is an assessment by local people, especially the poor and the disadvantaged, of their poverty situation and the strategies they can use to alleviate poverty. A PPA exercise in local communities and groups is generally facilitated by outsiders. It has as its aims:

PPA是由村民特别是贫困村民与弱势群体对他们的贫困状况以及脱贫策略进行的参与式的贫困分析。在农村开展的PPA通常有外来的协助者提供服务，帮助村民开展下列工作：

- To learn about people's perspectives and understanding of poverty;  
了解人们对贫困的看法和认识；
- To learn about people's indigenous knowledge;  
学习当地人的传统知识；
- To motivate people to think about their problems and solutions to these problems;  
鼓励村民思考、分析存在的贫困问题与解决办法；
- To understand people's situation and the 'reality' of the lives of the poor;  
感受村民的真实生活。

### 2.1.2 Why it is important to do a PPA; PPA的重要性

The focus of PPA is on the poorest and marginalized groups often neglected in the course of poverty analysis and poverty alleviation strategies, in particular women, and other disadvantaged groups/households. Their learning and appraisal of the poverty situation is subsequently used in participatory planning and implementation, for example to improve targeting of key groups, such as the poorest households in the community. Thus the PPA exercise can improve understanding of poverty of different social groups and households within the communities, and inform county-level PRCDP pro-poor project planning exercises and poverty alleviation project activities.

PPA的目的是重点关注最贫困的人员以及那些在分析贫困和脱贫策略过程中往往被边缘化（忽略）的人群，特别是妇女和其它弱势群体/农户。通过PPA过程所了解到的有关贫困的信息可以很好的用于随后开展的参与式社区发展规划（PP）和实施，以确保应该得到扶贫帮助的人群得到帮助，例如，社区中最贫困的农户和人群等。因此，PPA可以帮助了解社区中不同贫困状态的群体和农户，从而使PRCDP的（县级）项目能够开发出针对不同贫困群体和农户现状和需求的脱贫策略与脱贫项目活动。

It is important to learn about people's perspectives, especially those of poor women and men. Justification of PPA includes that:

了解人们对贫困的看法和认识是非常重要的，特别是贫困妇女和贫困男性的看法。下面是一些有关PPA的评价。

- PPA contributes to analysis and understanding of poverty based on local people's perspectives.

PPA有助于从当地人的角度分析和了解贫困问题；

- PPA empowers local people to assess their own problems of poverty and propose ways of alleviating them.

PPA使得当地人能够自己分析自己的贫困问题并提出减轻贫困的方法；

- PPA contributes towards gradual capacity building of stakeholders at different levels.

PPA有助于各利益相关者逐渐实现能力建设；

PPA is a demand-driven approach, where local people describe their experiences of poverty and processes at work and identify ways to alleviate the situation.

PPA是一种“需求驱动”的方法，当地人可以根据他们的经验来描述贫困的过程与贫困的原因以及脱贫的方法，以帮助确定人们最关心的贫困问题；

- PPA offers poor people opportunities to participate in poverty analysis and poverty alleviation, thereby creating scope for poverty reduction programmes to be more effective and efficient.

PPA为贫困人员参与分析贫困和脱贫提供了机会从而使得扶贫项目更加富有成效；

- PPA helps open channels of communication between policy makers, practitioners and poor people in determining poverty reduction policies and strategies.

PPA为决策者、项目人员和贫困人员在确定脱贫政策和脱贫策略方面提供了沟通的机会；

- PPA helps improve poverty-reduction strategies and establish the roles and status of the local people in this process.

PPA帮助我们改善脱贫策略以及确定当地人在这个过程的角色和地位；

- Carrying out PPA on a regular basis can provide a system of built-in accountability for the “higher level” decision-makers.

常规性的PPA可以使上级决策者了解贫困的动态变化过程

### 2.1.3 The principles of PPA; PPA的基本原理

In PRCDP, as described in Chapter 1, the local community is the central body of the PRCDP project process: similarly for the participatory poverty assessment (PPA). This means that destitute households, women, ethnic minorities and the other marginal groups should play an active role in the PPA process, and the perspectives and wishes of the different groups should be fully articulated. PPA should follow these basic principles:

PRCDP正如在第一章所描述的一样，当地社区是整个PRCDP项目过程的主体，参与式贫困分析也是一样。所以社区中的特困户、妇女、少数民族和其它弱小的贫困群体将在参与式贫困分析过程中扮演主动的角色，充分表达这些不同贫困群体的看法和愿望。就PRCDP项目而言，PPA主要是基于下面的一些原理：

- **Minimize and avoid all the usual biases** during the PPA process (such as investigating the road-side households/groups and neglecting households/groups living in interior locations; investigating men but neglecting women; visiting communities only in the dry season, not rainy seasons, and so on) to ensure information on poverty in the community is as complete as possible;

**尽量减轻和避免PPA过程中常见的各种偏见**（例如，调查交通便利地方的农户/群体而忽略交通不便地方的农户/群体；调查男性而忽略女性；调查干旱季节而忽略雨季等等），使有关社区贫困方面的信息尽量完整和全面；

- **Understand the diversity of poverty situations:** poverty situations amongst different social groups, gender groups, age-groups and other ethnic and non-ethnic groups etc. are often highly diversified;

**了解贫困的多样性**：社区中不同社会阶层、不同性别、不同年龄、不同民族等不同群体的贫困状况并不是一样的，而是高度多样化的；

- **Adopt a holistic approach** towards understanding of poverty and provide sensitive facilitation to ensure that different dimensions of poverty emerge from all viewpoints, especially those of the poor groups themselves, to help us better understand and interpret "poverty";

**关注不同群体对贫困的不同理解**，特别是特困人群对贫困的理解，以帮助我们很好的了解和诠释“贫困”；

- **The communities themselves**, in particular poor groups in the communities, should discuss and decide their own "poverty criteria of the community", rather than merely copying national definitions;

由社区自己特别是社区中的贫困群体自己来讨论来确定“社区的贫困标准”而不是套用国家的贫困标准；

- Organise **information** on the basis of **poor natural villages** rather than simply by administrative villages.

以自然村为单位整合“贫困”方面的信息，而不是简单地以行政村为单位来整合信息。

#### 2.1.4 Key contents of PPA; PPA的主要内容

**Classifying poverty groups:** All households in the community should be grouped by the households themselves (especially the poor) into different groups to indicate different situations of poverty. This grouping should be based on indigenous categories developed by the community, such as destitute households, poor households and ordinary households;

**贫困分组：**社区中的所有农户应该通过他们自己（特别是贫困户）所讨论确定的社区贫困标准划分为不同的贫困类型，例如特困户、贫困户和一般户等；

**A Poverty Analysis:** to identify specific indicators and root causes of poverty in a multi-dimensional way (rather than simply stating shortage of money);

**贫困分析：**对贫困的具体表现和导致这些贫困问题的根源进行全面分析（而不只是单纯停留在缺钱上面）；

**Seasonal poverty analysis:** to analyse different indicators of poverty according to seasonal changes, such as food shortage.

**贫困的季节性特点分析：**分析具体贫困表现（例如食物短缺）在不同季节的表现；

**Analysis of history of poverty:** to show how the current poverty situation has evolved (from the past to the present day).

**贫困的历史变化分析：**分析贫困的产生和变化历史（过去到现在）；

**Poverty vulnerability analysis:** primarily to identify key factors which might directly reduce or aggravate poverty;

**贫困脆弱性分析：**主要是识别出那些直接使“贫困”减缓或者恶化的因素；

**Gender analysis of poverty:** to understand intra- and inter- household poverty situations of different groups, especially the poorest and disadvantaged groups (rather than simply the poverty differences between men and women generally);

**贫困的社会性别分析：**分析社区中家庭内部个体之间、不同家庭之间和不同群体之间贫困的不同特点，特别是特困户与弱势群体的贫困特点（而不仅仅是男女之间贫困差异）；

**Community institutional analysis:** to identify institutions in the community that play key roles in poverty alleviation, particularly those which could play key roles in PRCDP;

社区机构分析：分析确定社区内部存在的在扶贫过程中、特别是在PRCDP项目中可以扮演重要角色的社区机构；

**Poverty situation analysis of ethnic groups:** to ensure that the poverty alleviation needs of all disadvantaged groups in the community have been understood, appreciated, and accepted: particularly those of relatively "small and weak" groups in the community;

少数民族贫困状态分析：主要是要确保社区中不同弱势群体的贫困状况的脱贫需求都能得到了解和确认，特别是那些相对“弱小”的群体；

**Problem-Solutions Assessment:** analyze and identify poverty-related problems and solutions, potential conflicts and solutions, and the roles that communities themselves can play during the course of poverty alleviation.

问题和策略分析：分析确定社区最关注的有关贫困的优先问题、优先对策、脱贫过程中潜在的冲突与解决办法，以及社区自己可以发挥的作用等。

## 2.1.5 How to do a PPA: Main steps and some tools; PPA的主要步骤

### 2.1.5.1 General steps in PPA; PPA的一般步骤：

For implementing PPA in the PRCDP project area, key steps are:

PRCDP项目中实施PPA一般包括下面几个步骤。

1. Decide the percentage of communities/households for PPA sampling, and the focus of samples (communities/farmers) etc.  
决定PPA的抽样社区/农户的比例和重点样本（社区/农户）等；
2. Prepare a checklist of issues for field inquiry  
准备用于实地调查的调查清单；
3. Do the actual PPA in the field. Use a variety of methods and include different groups, poor and disadvantaged groups and householders, including groups of women and men, ethnic and non-ethnic minority groups. Cross-check data and present findings

实地访问贫困群体/农户和弱势群体，包括妇女、男性、少数民族、非少数民族的等，并交叉检查调查所得到的信息；

4. Analyse and synthesise field inquiry results and findings

分析和整合调查到的信息、结果和发现；

5. Prepare PPA report and share with policy-makers and practitioners

撰写PPA报告并同有关决策人员和扶贫工作者交流；

6. Integrate into the Participatory Planning (PP) process.

将PPA的信息融入到参与式规划 ( PP ) 活动中。

### 2.1.5.2 Some tools for PPA; PPA相关工具

During the field assessment, a variety of PRA (Participatory Rural Appraisal)<sup>9</sup> tools can be used to facilitate the process of communication and analysis: Box 1 shows some of the PRA tools that can be used in implementing the PPA process.

参与式贫困分析必须借助参与式评估工具，下面是在实施PPA过程中可以使用的一些PRA工具。

#### Box 4: PRA Methods; 框1: PRA相关工具

- Joint walk and observation; 社区联合行走与观察；
- Group discussion/interview; 小组讨论/访问；
- Semi-structured interview; 半结构访谈；
- Family tree; 家庭树；
- Seasonal calendar; 季节历；
- Community mapping/natural resources mapping; 社区平面图/社区资源图；
- Social poverty grouping; 社区贫困分组 ( 图 ) ；
- Seasonal and trend analysis ; 贫困季节和趋势分析；
- Vulnerability analysis; 贫困脆弱性分析；
- Community institutional analysis; 社区机构分析；
- Problem and solution analysis; 问题与对策分析 ( 问题树和对策树 ) ；
- Community meeting; 社区大会；
- Scoring and matrix; 打分与 ( 矩阵 ) 排序；

<sup>9</sup> The annex of this manual includes a selection of PRA tools.  
本手册的附件中罗列了一些特选PPA工具

### 2.1.5.3 PPA field work; PPA实地工作

PPA may take many steps and many different tools should be used in the field. In the following, some suggestions on conducting a PPA are given .

PPA可以有很多步骤，下面的基本步骤可以供大家在实施PPA时参考使用。

#### **Step One: Social grouping of natural villages in administrative villages**

##### **步骤一：对行政村中的各自然村进行贫困分组：**

Villagers and/or their representatives discuss and decide on their own criteria for defining social groups and then group the natural villages of administrative villages into different social groups with different poverty situations according to these criteria such as poorest natural village, poor natural village and normal natural village. Essentially, the poorest natural villages will be the key project villages of PRCDP.

由全村或者全村农户代表开会讨论确定社区自己的贫困标准，再根据这些标准对全村各自然村进行贫困分组，例如特困村、贫困村和一般村，而特困村应该是PRCDP项目的重点项目村；

⇒ *case 1: Natural Village Grouping on Poverty in Gaowen Village, Hongshui Township, Rongshui County, Guangxi province;*

案例：广西区融水县红水乡高文村贫困屯（自然村）分组

⇒ *case 2: Poverty Grouping Process, 案例：贫困分组操作过程, Changning County, Yunnan Province*

#### **Step Two: Poverty grouping at household level**

##### **步骤二：贫困户分组**

Using the criteria for poverty grouping discussed and decided by all households and farmers' reps (Step 1 above), all households in the natural village are given a score so that they can be grouped into three/four groups e.g. poorest, poor and middle level households and/or better offs.

（基于上面确定的）特困村中的所有农户或者农户代表通过讨论确定本自然村的贫困标准，然后根据这个贫困标准对自然村中的所有农户进行贫困分组，这样可以把全自然村的农户分为三类或者四类，例如特困户、中间户和一般户等。

⇒ *case 3: Poverty grouping at household level in Dongling village, Banlan Township, Rongan county, Guangxi province;*

案例2：广西区融安县板榄镇东岭贫困户分组



### Step 3: Poverty analysis

#### 步骤三：贫困分析

All poverty groups need to be investigated and analyzed but the main focus should be on the poorest groups. The following activities could be carried out one by one or in parallel if the facilitators and associated resources are available.

所有的农户的贫困状况都要得到分析，但重点是特困户。下面的几个内容可以根据工作人员情况同时或者逐个进行。

- **Analysis of poverty problems and solutions:** Facilitators should organize and facilitate local villagers to arrive at their list of specific poverty problems (such as poor drinking water supply) and also come up with their own solutions;

**贫困问题与对策分析：**项目协助者组织和协助当地村民形成具体贫困表现的一个清单（例如缺乏清洁的饮用水等），并让社区自己分析和思考解决这个问题的具体办法；

- **Seasonal poverty analysis and trends:** The purpose of this is to understand seasonal poverty and poverty trends such as “the lack of food in May every year”

**贫困季节与趋势分析：**给分析的目的是帮助大家了解具体贫困问题的季节表现，例如“缺粮主要集中在每年的5月份”等；

⇒ [case 4: Seasonal poverty and trend analysis in Jindai village, Tongle Township, Sanjiang County, Guangxi province:](#)

案例：广西区三江县同乐乡净代村贫困年度和季节变化参与分析

- **Vulnerability analysis:** All community participants need to analyze (through good facilitation) factors which make them more and less vulnerable, whether poverty is getting worse or better under particular conditions, and whether these conditions could be managed or controlled in any way.

**贫困脆弱性分析：**协助者要协助所有的社区（参会）人员分析那些可以直接使贫困减缓或者恶化的因素和相关的环境条件，已经如何控制/管理这些因素等；

⇒ [case 5: Vulnerability analysis in Jindai village, Tongle Township, Sanjiang County, Guangxi Province;](#)

案例：广西壮族自治区三江县同乐乡净代村贫困脆弱性分析

- **Community institutions analysis:** Facilitate community people to identify any formal institutions (such as villagers’ committee) and informal institutions (such as private shops) in the community which affect aspects of poverty and especially any potential there may be for improving their role in through PRCDP as an institution which benefits the poor, as well as any

ideas for managing local institutions which are not favourable towards PRCDP;

社区机构分析：协助社区人员分析社区中存在哪些正式的（例如村委会）和非正式的（例如私营小卖部等）对扶贫可以产生影响的机构，特别是对PRCDP项目有潜在影响或者可以扮演重要角色的社区机构，以及社区对如何管理/利用这些机构的建议和想法；

#### **Step Four: Household interviews**

##### **步骤四：农户访问：**

Based on the poverty grouping, some households, especially the poorest, will be interviewed individually as a sample group of key informants. All topics which have been analyzed in community/group meetings (Steps 1-3 above) could be covered within the individual household interviews: they can then be used to validate the results of group analysis.

基于贫困户分组，对一些农户特别是特困户进行抽样访问，问题的主题同上面进行小组分析的主题可以是一样的，同时对小组分析的结果进行验证；

#### **Step Five: Community meetings or villagers' representatives meetings:**

##### **步骤五：召开村民大会或者村民代表大会：**

Community meetings should focus on the confirmation and validation of data collected previously during the PPA process, using a scoring exercise in decision making. The success of the community meetings depends on how representative the participants are (if it is difficult for all villagers to participate in the meeting), as well as on the facilitation skills available to coordinate the priorities and views of individual/minority groups with those of the other people/groups.

社区大会主要是确定和验证PPA过程中收集到的信息，并对一些重要的具有决策形式的问题进行打分排序。社区大会的成功与否取决于大会成员是否具有代表性（如果全体村民不可能都参加会议时），以及会议协助者的组织和协助能力，要把个人/少数群体的需求与观点同其它人员/群体的需求与观点相协调。

⇒ **case 6: The selection of villagers' representatives for community meeting in Jindai village, Tongle Township, Sanjiang County, Guangxi province;**

**案例：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会代表的选择**

⇒ **case 7: Community Meeting Practices of Jindai village, Tongle Township, Sanjiang County, Guangxi province;**

**案例：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会的操作**

#### 2.1.5.4 Outputs of PPA; PPA的基本产出

The PPA process should identify the problems of poverty of the community and all poor and marginal groups, and basic strategies for poverty alleviation. Basic outputs of PPA should include:

通过PPA过程，应该识别出社区及其各种贫困群体的贫困问题和脱贫的基本策略。因此，PPA的基本产出应该包括：

#### Outputs of PPA

##### PPA的基本产出

- Basic information on the community, including: population, ethnic groups, principal economic activities, and social service system;  
社区基本情况：包括人口、民族、主要经济活动状况和社会服务体系状况；
- Current status of resources in the community: including land, forest, water conservancy, transportation, telecommunication, and other natural and infrastructural resources;  
社区资源现状：包括土地、森林、水利、交通、通讯等自然和社会资源；
- List/map of poverty groups, including a list of poor natural villages and the poverty status of households in these natural villages (such as destitute households, poverty households, normal households);  
贫困群体名单/图：包括特困自然村名单以及这些自然村中的贫困户名单（例如特困户、贫困户、一般户）；
- Poverty problems of different poverty groups and their underlying causes;  
不同贫困群体的贫困问题与贫困原因；
- Poverty characteristics of different poor groups, including: specific indicators of poverty and seasonal and annual changes in these poverty indicators  
不同贫困群体具的贫困特点：包括具体的贫困表现？这些贫困的季节性和年度性变化特点？
- Major factors in ameliorating or worsening the poverty situation of different poor groups.  
不同贫困群体贫困状况恶化或者减缓的主要因素。

### 2.1.5.5 PPA Checklist for Facilitators; 供协调员参考的PPA检查表

The following checklist summarises the main aspects that should be covered by a PPA. This checklist should be used by facilitators planning and conducting a PPA.

以下检查表总结了PPA应涵盖的主要方面。此检查表可供协调员规划并开展PPA使用。

#### PPA Checklist for Facilitators

##### 检查表

- Appropriate sub-village sampling;  
按屯采样
- Poverty grouping;  
贫困分级
- Seasonality poverty analysis;  
季节性贫困分析
- Poverty History and Trend analysis;  
贫困历史和趋势分析
- Vulnerability analysis;  
脆弱性分析
- Institutional analysis  
机构分析
- Gender analysis on poverty;  
贫困的社会性别分析
- Poverty situation of ethnic groups  
少数民族贫困状况
- Problem-solutions preference/conflict solutions;  
问题-解决方案偏好/冲突解决
- Choices of poor and disadvantaged groups as revealed in priorities, preferences, suggestions and recommendations  
在优先事项、偏好、建议和推荐中反映出的贫困及弱势群体的选择

### 2.1.6 Indicators for PPA; PPA的基本质量保证

PPA can be carried out in different ways according to particular situations rather than copying a blueprint "PPA Model" from an existing PPA exercise. The objective of PPA is to focus on learning about the poverty situation by both local villagers and outsiders. Therefore, even though the ways of conducting PPA may vary, it should be based on certain principles. Central to these is the necessary participation of

people from local communities, so that the PPA may be endorsed as a true picture of poverty with a local perspective.. The following indicators should be used by the project management to guide the PPA. This basic list should be used as a guide to develop more specific indicators, including quantified targets, according to local conditions.

PPA可以根据不同情况采取不同方式进行，而不是照抄某一个所谓的“模式”。

PPA的基本目的是通过社区内外的人员共同学习和分析社区的贫困状况和问题，所以尽管PPA方式可以多种多样，但基本的质量必须得到保证，特别是确保当地社区人在PPA过程中的必要‘参与’以真实的反映出当地人对贫困和脱贫的观点和方法。因此，在PRCDP项目实施PPA时，可以参考下面的一些指标来确保当地人的‘参与’：

### Indicators on PPA process

#### PPA指标

- Number and percent of poor natural villages directly covered by PPA;  
PPA直接涵盖的自然村数量和比例；
- Number and percent of poor households directly covered by PPA;  
PPA直接涵盖的贫困户特困户数量与比例；
- Number and percent of women directly covered by PPA;  
PPA直接涵盖的社区妇女的数量与比例；
- Number and percent of different ethnic groups directly covered by PPA;  
PPA直接涵盖的不同少数民族群体的数量与比例；
- What different methods and tools are used to cross-check the conclusions and results?  
使用了哪些不同的工具和方法对得到的结果和结论进行交叉印证？
- What specific methods are adopted to avoid normal biases? Such as geographical allocation of samples, professional backgrounds of the staff, and gender, etc.;  
采取了哪些具体办法来克服常见的偏差？例如样本的地理分布、工作人员专业背景、社会性别等等；
- How has it been ensured that the different situations and needs in the community have been appropriately reflected, particularly those of ethnic minorities and marginalized groups (women, weak and small groups within the communities)?  
是否真实恰当的反映了社区中的不同现状和不同需求？特别是少数民族和边缘化人群（妇女和社区中的弱小群体等）。

## 2.1.7 PPA Follow-Up

### PPA的后续活动

It is important that PPA leads to follow-up action. As an immediate outcome of the PPA process the community itself might decide to implement some concrete actions to address the issues they have identified.

在PPA之后开展后续活动是很重要的。作为PPA的直接成果，社区可以自主决定开展哪些具体活动以解决他们所确定的问题。

In PRCDP PPA will be the basis for planning community projects. Participatory Planning (PP) will build on the outcomes of PPA, as described in the next chapter.

在PRCDP项目中，PPA将是社区项目的规划依据。如下章所述，参与式规划（PP）将基于PPA的成果。

Also, the assessment of poverty during PPA can provide some baseline information for M&E. Follow-up PPAs during later stages of project implementation will help to assess changes in poverty.

同样，

PPA过程中的贫困分析可为M&E提供部分基本信息。项目实施后期阶段中开展的PPA后续活动将有助于对贫困变革的分析。

It is important to document the PPA process and outcomes both for planning and monitoring purposes. During the feasibility phase, Guangxi has compiled separate PPA reports<sup>10</sup>. During the roll-out of PPA/PP within the three Project Provinces, the documentation of the PPA process and outcomes will be included in the PP-report/documentation.

为了规划和监测，应将PPA过程和成果予以记录，这是很重要的。在可研阶段，广西将各个PPA报告进行了汇总。在三省启动PPA/PP的过程中，记录PPA进程和成果的文件将纳入PP报告或文件中。

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<sup>10</sup> The Guangxi PPAs are now published and distributed for learning and sharing purposes. 广西的PPA业已出版并分发，以供学习和分享。

## 2.2 Participatory Village Development Planning (PP) 参与式村级发展项目规划

### 2.2.1 PP and its Rationale; PP的基本目的

As one of the prerequisites for implementing PRCDP, participatory village development planning (PP) is an important component of the entire project. The basic purpose of PP is to enable the poor households, marginal groups and other key stakeholders (poorest households, women and other disadvantaged groups) who have been identified and whose poverty situations have been analysed during the PPA, to develop a joint strategy to overcome poverty through community development activities. Poor households and groups should be enabled to feel strong ownership over the PRCDP through effective participation in decision-making on project activities. At the same time, PP can provide a point of reference for county-level project planning and designing, making county-level project planning of PRCDP more relevant to the realities of poverty at county and community levels. PP will also assist in ensuring that PRCDP attains its poverty alleviation targets through well targeted projects which meet the needs of the main poverty target groups (poor households and marginal groups). 作为PRCDP项目实施的前提条件之一，参与式村级项目规划（PP）是整个项目的重要组成部分。实施PP的基本目的，就是要基于在参与式贫困分析（PPA）中识别出来的具体的贫困社区（最贫困的自然村）、具体的贫困对象（特困户、妇女和其它弱势群体等）的不同的贫困状况和不同的贫困原因等信息，由这些贫困农户和群体以及其它关键利益相关者继续共同开发出以贫困农户和群体为对象的脱贫策略与具体的社区发展项目活动，使贫困农户和群体因有效的参与了拖脱贫项目活动的决策而对PRCDP项目具有强烈的拥有感，从而使PRCDP项目能够有效顺利地实施。同时，参与式的村级项目规划（PP）更可以为PRCDP的县级项目规划设计提供相应的参考样本，使PRCDP的县级项目规划更能切合县级和社区级的贫困现状和主要贫困对象（贫困农户和贫困群体）的脱贫发展需要，从而确保PRCDP项目能实现真正服务于贫困对象的目标。

Thus, the basic purpose of PP is;

因此，参与式村级发展项目规划（PP）的基本目的包括：

- to ensure project planning of PRCDP is suited to the actual conditions of particular communities, poor households and marginal groups;  
使PRCDP项目规划更切合具体社区和具体贫困农户和群体的实际情况；
- to effectively enable participation of the project community and target groups of project, especially the poor and the disadvantaged, in decision-making over their own development and supportive services (such as technical services);

使项目社区和具体的项目对象特别是贫困户在具体的项目活动开发和相应配套服务（例如技术服务）的决策方面继续有效的参与和介入；

- to develop and improve community capacity to bring about sustainable socio-economic development of the communities and their different groups, particularly the poor and disadvantaged, by directly involving them in PP (emerging from PPA);

通过直接参与与参与式贫困分析（PPA）直接关联的PP活动过程，提高社区和社区中不同群体特别是贫困群体在经济和社会发展方面的开发和管理能力；

- to promote community-based socio-economic development processes within and outside PRCDP: to develop participatory county planning capacity of the local government, and contribute to better understanding of poor communities and community development.

推动PRCDP和PRCDP以外的以社区为基础的经济和社会发展进程，提高地方政府县级发展规划的能力，以及完善对贫困社区和社区发展的理解和认识。

- ⇒ case 8: The impact of PP on the local community: A song from Zhiwen Village, Guangxi;

案例：PP对当地社区的影响：志文村之歌

### 2.2.2 PP Principles; PP的基本原理

PP is a key component of the PRCDP project cycle rather than an independent process and should therefore follow the participation principles:

根据PRCDP的项目周期，PP不是一个完全独立的过程和结果，而是整个项目周期中的一个关键环节，一般要遵循下面几个原理：

- PP needs to be based on the outcomes of PPA, which includes the identification of the poor and disadvantaged target groups, poverty problems, causes and solutions;

PP应该基于PPA的分析结果，包括贫困对象、贫困问题与贫困原因以及相应的脱贫对策；

- PP needs to consider and protect the needs and interests of poor and disadvantaged social groups, particularly women;

PP应该注重和保护贫困群体和弱势群体的发展需求，特别要考虑妇女的需求

- PP needs to use poor natural villages instead of administrative villages as the basis for planning;

PP应该以贫困屯为规划基础而不是以行政村为规划基础；



- PP needs to involve technical personnel for specific technical services;  
PP应该要有相关的技术人员参与规划过程以提供针对性的技术服务；
- PP needs to have specific management mechanisms for conflict settlement and mediation;  
PP应该在项目规划过程中对有关的冲突形成具体的管理办法；
- PP needs to ensure social and technical approval and validation of data and information generated during PP;  
PP应该在规划过程中对相关的信息和资料进行确认；
- The budget framework of PP must be transparent and clear from the beginning;  
PP应该在规划开始时就明确通报项目的大致预算；
- PP needs to avoid decision-making biases;  
PP应该尽量避免项目决策中可能的偏差；
- Feasibility of county plan in PRCDP needs to be linked up with PP. To focus on poverty groups and disadvantaged groups, continue to promote the effective participation and involvement of key stakeholders in decision making related to specific project activities.

PRCDP县级项目规的可行性应该与PP相衔接。关注贫困群体和弱势群体发展需求的前提下继续推动贫困群体等关键利益相关者的有效参与，特别是具体项目活动的决策。

The facilitators will play a key role in supporting a fair and transparent process of decision-making within the community and safe-guarding the interests of marginal groups. The main purpose of PP is to decide who will actually benefit from the project, and it is very important to avoid biases in this process. (see **Box 5: How to avoid bias in PP; 框2：如何规避PP中的偏差**)

协调员在社区公平与透明化决策、保护边缘化群体利益中将起到重要的辅助作用。PP的主要目的是确定项目的真正受益对象，在此过程中很重要的一点是规避偏差。（见框2:如何规避P中的偏差）

**Box 5: How to avoid bias in PP<sup>11</sup>; 框2 : 如何规避PP中的偏差**

Possible Biases 容易出现偏差的方面	Avoiding and Controlling Biases 偏差的避免与控制	Working Method 工作方法
1. Communication 沟通、交流的程度	Avoid investigation not being thorough 避免调查的不深入	Facilitators living and working in the village with local people. 项目协调员吃住在村里，与当地人同吃同住。
2. Types and quantity of participants 参与者的类别与数量	Avoid only asking officials or cadre 避免只问官员或村干部	Consider diversity of participants with respect to sex, age, wealth, ethnicity and residence/location. 让尽量多的不同性别、年龄、贫富、民族、居住地的当地人参与分析。
3. Timing 时间的选择	Avoid time bias 避免时间上的偏差	Staying in the village and working with local people at times they find it convenient during morning and evening periods. 安心住在村里，利用早晨和夜晚时间开展工作。
4. Degree of focus on disadvantaged groups 对弱势群体的关注程度	Avoid neglecting women and disadvantaged groups 避免忽略妇女和弱势群体	There should be a considerable percentage of women, old people and poor among the local people participating in groups analysis and individual interviews, 在参与集体分析和个别访谈的当地人中，妇女、儿童、老人和最贫困的人应占有较大的比例。
5. Role of facilitators 项目协调员的角色定位	Avoid influencing analysis of local people 避免影响当地人的分析	During the course of analysis, outsiders (facilitators) should not lecture or give instructions, or dominate the discussion, but function as a facilitator in encouraging local people to talk, analyze and decide. 在作分析时，外来者（项目协调员）不讲课，不给指示，也不在讨论分析中占支配地位，而是作为协助者，推动当地人自己发言、分析、决定。

<sup>11</sup> **Source:** Mr. Zhou Zhifei, Banqiao Township, Rongan County, Guangxi province.

案例来源：周志飞（广西融安县桥板乡）

Possible Biases 容易出现偏差的方面	Avoiding and Controlling Biases 偏差的避免与控制	Working Method 工作方法
6. Role of local people 当地人的角色定位	Ensure the outcome of analysis is as accurate, genuine and reliable as possible 使分析的结果更准确、真实、可信	Local knowledge and capacity should be acknowledged and respected, and trust local people's ability to solve their problems. Mapping, drawing conclusion and decision-making are all completed by local people themselves. 承认并尊重当地人的知识，相信当地人解决自己问题的能力，作图、投票、作结论、决策都以当地人为主完成。

### 2.2.3 Main contents of PP; PP的主要内容

As the follow-up to PPA which provides the detailed analysis of local poverty, PP will focus on the following topics:

作为对PPA的继续，PP一般包括下面几个方面的内容：

- Based on the outcomes of PPA, to determine detailed poverty alleviation solutions, especially solutions as they are prioritised by the poor;

根据PPA的分析结果确定具体的脱贫对策特别是优先的脱贫对策；

- To define the local development objectives for the project, particularly the objectives of target groups based on their prioritisation of problems, solutions and strategies for poverty reduction;

根据优先脱贫对策确定村级发展项目的具体目标，包括针对贫困屯、贫困户和其它弱势群体具体需求的发展目标；

- To elaborate what is required for achieving the objectives and implementing this project, especially in terms of funding. Balance the project budget with the available funding from PRCDP;

基于这些发展目标和需求确定项目的基本要求和资金需求（额度），并根据项目可能提供的资金情况进行修订；

- To determine priorities for implementing project activities, including the specific beneficiaries (poor households and other disadvantaged groups) within financial constraints;

基于这些资金状况确定优先的具体的项目活动内容以及相应的受益对象（贫困户

和其它弱势群体)；

- To assess the technical, environmental and marketing feasibility of project activities and to determine the overall feasibility of particular project activities;

对这些具体项目活动进行可行性(技术、生态环境和市场等)分析,以确定最后可行的具体项目活动；

- To finalize project activities and budget allocations;

确定项目活动实施计划与相应预算；

- To decide how this project will be managed (management team, personnel and management rules, including maintenance plan);

确定项目活动实施的管理方案(管理机构、管理人员和管理制度等)；

- To share and verify the PP plan report amongst the key stakeholders

同各关键利益相关者分享和确认项目计划报告。

## **2.2.4 How to do a PP: Main steps and recommended tools; 实施PP可以参考的一些PRA工具和方法**

### **2.2.4.1 Tools for PP; PP相关工具**

Many PRA tools and methods used in PPA could be applied in the PP process: a number of these are listed in the following box for reference<sup>12</sup>. The main purpose of using PRA tools in this stage is to identify priorities, potential problems and bottlenecks which will affect the project design, to discuss them with the community and reach joint solutions.

许多在PPA阶段使用的PRA工具和方法在PP阶段都可以使用,下面方框中是PP常用一些PRA工具和方法。

#### **Box 6: Selected tools and methods for PP; 框3 : PP中常用的工具和方法**

- Semi-structured interview ; 半结构访谈
- Group discussion/interview; 小组讨论/访问
- Problem tree; 问题树
- Seasonal calendar; 季节历
- Community mapping/natural resources mapping/social grouping

<sup>12</sup> For a detailed description of tools, please refer to the annex of this manual.有关工具的具体内容,详见本手册的附件

社区平面图/社区资源图

- Community institutional analysis; 社区机构分析
- Scoring (by sexes and groups) and matrix  
(按性别和群体进行的) 打分与矩阵排序
- Community meeting; 社区(代表)大会
- Selection of village representatives through local participation  
村民代表的选择
- Conflict settlement; 冲突管理
- Involvement of technical personnel in PPA, PP and social validation  
技术和社会可行性评估

#### 2.2.4.2 Main steps of PP; PP的主要步骤

PP can be implemented in many ways. The following are key steps which should be adhered to and some suggested methods<sup>13</sup>. The numerous case studies which are included in the annex of this chapter provide practical examples and guidance on how these steps could be implemented.

实施PP的步骤也是多样化的，以下内容是应当坚持的主要步骤和一些推荐的方法。本章所附的附件中有大量的案例，对如何实施这些步骤提供了具体的实例和指导。

#### Step1: Community Meeting

##### 步骤1: 社区大会

Community meetings are essential for facilitating a fair and transparent PP process. If it is not possible to hold plenary meetings, facilitators need to ensure that the poverty groups (such as destitute households, women and other disadvantaged groups) which have been identified during the PPA, are sufficiently represented and that solutions for addressing their specific problems will be developed during the PP.

<sup>13</sup> During the preparation phase, the PRCDP Provinces have developed their specific approaches to PPA/PP which share some commonalities, but also differ on some aspects. For guidance and information, please refer to the guidelines and training material developed by the Provinces. 在筹备阶段，PRCDP项目省开发了各自的PPA/PP方法，其中虽有共性，但也各有不同。要得到更多的指导和信息，请参阅各省开发的指南和培训材料。

协助项目社区（如贫困自然屯）召开社区大会或者社区代表大会，确认PPA中识别出来的具体贫困对象（例如特困户、妇女和其它弱势群体）以及他们的具体的优先贫困问题和具体的脱贫对策；

⇒ case 7: Community Meeting Practices of Jindai village, Tongle Township, Sanjiang County, Guangxi province;

案例：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会的操作

⇒ case 6: The selection of villagers' representatives for community meeting in Jindai village, Tongle Township, Sanjiang County, Guangxi province

案例5：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会上村民代表的选举

## Step 2: Prioritise problems and solutions

### 步骤2: 对这些脱贫对策进行排序

During the PP, the community will prioritise the poverty problems and solutions of different poor groups that have been identified during PPA. Based on that, the community will develop objectives for village-level development projects. It is important to inform communities about available resources and financial constraints before going into the planning.

由不同贫困群体对这些脱贫对策进行排序，以确定社区中不同贫困群体的优先脱贫对策，并据此开发出村级发展项目的发展目标，但在进行排序之前最好先向社区通报项目可能的资金能力；

⇒ case 11: Determining priorities on poverty and its solutions, Pinchang County, Sichuan Province; 案例：确定优先问题和需求

⇒ case 9: Gender Sensitivity in Ranking; 案例：项目选择中的社会性别敏感性考虑

## Step 3: Develop project activities

### 步骤3: 项目活动清单

The aim of this step is to develop the list of project activities based on the prioritised solutions and the objectives, check that the selected activities will address priority problems and that the remote natural villages, poor households and marginal groups (women, ethnic minorities) will benefit.

根据具体的脱贫发展目标对应的开发出具体的脱贫发展项目活动清单；

⇒ case 12: Needs of Poor Households and Coordination of Common Interests;

案例：贫困户需求与共同受益的协调

⇒ Practical Example 1: Table for checking PP 实例5: PP检查表

#### Step 4: Assess feasibility of proposed activities

##### 步骤 4: 推荐活动的可行性分析

The aim of this step is to validate the project activities in terms of technical, environmental and commercial feasibility by involving technicians and other relevant people, as well as balancing the budget with PRCDP funds availability for carrying out project activities;

( 通过技术人员等有关人员的参与 ) 对这些具体的脱贫项目活动进行技术、生态环境和市场等方面进行可行性分析，并参考PRCDP项目可能的资金能力确定出最后的脱贫项目活动清单；

- ⇒ **Practical Example 3: Checklist for assessing the technical feasibility of PP:实例7: PRCDP中技术人员做技术可行性研究用的检查表：**

#### Step 5: Specify planning of project activities and management arrangements

##### 步骤 5: 项目实施行动计划

To develop and finalize the plan for implementation of the project, including specific management methods for resolving conflicts during the project process, and to develop the corresponding project budget, based on the list of final project activities and project partners. The whole process of deciding and allocating activities and resources requires balancing different interest and mediating conflicts within the community and between project stakeholders.

根据最后的项目活动清单和项目合作方的情况，开发和确定项目实施行动计划包括项目过程中有关冲突的具体管理办法，以及相应的项目预算；活动确定和资源分配的总过程需要平衡各方利益、并协调社区内和项目各方面的冲突。

- ⇒ **case 13: Conflict management, Xuyong County, Sichuan Province; 案例: 冲突的管理**  
⇒ **case 18: How to Facilitate Farmers to Reasonably Contribute Labour and Money in Community-based Public Projects; 案例: 社区公共项目中如何协助农户合理投劳、集资**

#### Step 6: Project management plan

##### 步骤 6: 项目实施管理方案

To work out the community-based project management plan, including the management body or mechanism, the management team and management rules; this includes the arrangements for maintaining equipment and structures built under the project.

制订出相应的以社区为基础的项目实施管理方案，包括管理机构或者机制、管理人员以及相应的管理制度；

⇒ case 14 : Collective property management, Xuyong County, Sichuan Province;  
案例：公共资源/财产的管理

## Step 7: Finalise project proposal document

### 步骤 7: 项目建议书

Based on the outputs of the earlier process recognized by the community and all the stakeholders, draw up the project proposal. After sharing and confirming with all the stakeholders, submit to PRCDP project management organization for approval, and make feasible modifications based on the outcomes of examination and approval.

基于上面的社区和各利益相关者认可的成果撰写完成项目建议书，并在与有关利益相关者分享确认后提交给PRCDP项目管理机构审批，并根据审批结果进行可能的修订工作。

In order to ensure that PP outcomes are within the budgetary limitations of the county plan, county and township facilitators should be involved in PP, especially in handling and fine-tuning pro-poor priorities and preferences. In this way the priorities of destitute groups should be accurately reflected in the county plan.

为了确保PP的产出能够同县级项目规划相融合，县乡项目协调员最好参与能够参与PP过程，特别是在了解和确定特困人群的优先问题和发展需求方面，这样可以保证特困人群的需求能够真实的反映到县级项目规划中去。下面是一个参考案例。

⇒ case 10: Integrating PP into the county plan of PRCDP; 案例：PP与县级PRCDP项目的衔接

### 2.2.4.3 Outputs of PP; PP 的基本产出

PP should focus on developing and finalizing specific feasible project activities and associated budgets, including a management plan for implementation of the project.

因此，PP的主要内容就是开发和确定出以PPA为基础的针对具体贫困对象需求的可行的脱贫发展项目活动以及相应的行动计划与预算，包括项目实施的管理方案。

Each village needs to have its own documentation of the PP-process and outcomes which will form the base for community level implementation and monitoring.

每个村都有将其PP过程和成果记录下来，以便开展社区级实施与监测。

The documentation should include the following basic outputs:

作为PRCDP项目的关键部分，通过PP过程，应该得到下面的基本产出



**Major Outputs of PP ; PP的主要产出**

- Poverty alleviation solution analysis and result of sequence targeting different poverty groups (priority solutions for poverty alleviation)
- 针对不同贫困群体的脱贫对策分析及排序结果 ( 优先脱贫对策 ) ；
- List of poverty alleviation projects targeting different poverty groups;
- 针对不同贫困群体的脱贫项目清单 ；
- Specific beneficiary groups targeted by specific poverty alleviation projects;
- 针对具体脱贫项目的具体的受益群体 ；
- Possible conflicts and solutions for the project;
- 项目可能遇到的冲突及解决方案 ；
- Budget estimates and sources of project funds;
- 项目资金估算和资金来源 ；
- Institutional and management mechanism for project implementation;
- 项目实施的组织和管理机制 ；
- Community (village-level) plan/report.
- 社区 ( 村级 ) 规划报告

The PP clearly needs to document what has been identified as the main problems and causes of poverty, how they will be addressed and who will benefit from the project. The facilitators should use a checklist for checking whether all these aspects have been sufficiently analysed and documented.

PP无疑需要将已确定的主要问题和贫困原因记录在案，并同时记录解决的方法和项目的受益人。各位协调员应检查以上各项是否已得到充分分析和记录。

⇒ **Practical Example 1: Table for checking PP**

**实例1: PP核查表****2.2.5 Quality indicators on PP; PP过程中社区参与的质量保证**

As mentioned above, PP can be implemented in many ways and by many methods depending on the particular situation in different communities and the nature of poor groups, rather than following a specific 'PP Model'. However, regardless of what is included and how the PP process is carried out, it is essential to ensure extensive and representative participation of different groups in the communities, particularly in the decision making process concerning priorities and preferences, village development objectives and specific poverty alleviation project activities. The following indicators provide a guide in assessing and ensuring the basic quality of participation of different groups in the community. They are the basis for more

specific indicators, including quantified targets, to be developed by the project management according to local conditions.

同PPA一样，实施PP的具体过程和方法可以因具体社区和贫困对象的差异具有多样化的特点，而不是千篇一律的操作形式。但无论如何，PP过程必须确保社区中不同群体参与的广泛性和代表性，特别是在优先脱贫对策、村级发展目标和具体脱贫项目活动的决策这些环节。下面的一些指标可以帮助分析和确保社区不同群体基本的参与质量：

### Indicators on PP-Process: PP过程中的指标

- Proportion of poor natural villages represented in the planning process as potential beneficiaries  
贫困屯参与规划过程并作为脱贫项目活动的主要受益对象的比例。
- Proportion of poor households actively involved and participating in decision-making and revealing their priorities/preferences in the planning process.  
贫困农户参与优先脱贫对策、脱贫目标和脱贫具体项目活动确定等重要决策过程的比例？
- Proportion of women actively making decisions in the planning process and their scope for influencing decision-making and action in terms of gender.  
妇女参与具体的规划决策活动的比例以及它们对项目决策的影响情况？
- Different weak and marginal groups (such as other ethnic groups) represented in the planning process and their scope for influencing decision-making.  
社区中其它弱小群体（例如其它民族）在规划决策过程中参与的代表性以及影响力？
- Transparency of the planning process and impartial decision-making and clarification of mutual roles and responsibilities.  
规划决策过程的透明度和公正性，以及相关各方具体的角色与责任？
- Social justice and fairness of the results in terms of equity and gender.  
规划过程和结果在社会公正和社会性别方面的敏感程度？
- Priorities/preferences, and specific needs of poor households, women and marginal social groups reflected in project activities.  
针对贫困群体、弱势群体、妇女以及其它边缘化群体优先脱贫需求和特别需求的项目活动情况？

### 2.2.6 Checklist for Assessing PPA/PP; PPA/PP分析检查表

The quality of PPA/PP process and outcomes needs to be assessed based on the available village-level documentation and field visits. The following checklist will be used for supervision.

根据现有的村级资料和实地访问，我们需要对PPA/PP评估过程的质量和成果进行分析。

以下检查表可用于监督管理。

**Checklist for Assessing PPA/PP; PPA/PP 分析检查表**

<p><input type="checkbox"/> For multi-ethnic communities: Does the PPA/PP cover different minority groups, and especially small ethnic minority groups, within the community and are their views and preferences clearly documented?</p> <p>对于多民族聚居的社区：参与式贫困评估/参与式计划覆盖了社区内不同的少数民族，特别是那些小少数民族了吗？他们的看法和偏好是否清楚地记录下来？</p>
<p><input type="checkbox"/> Does the PPA/PP cover the poorest and remotest natural villages within the administrative village?</p> <p>参与式贫困评估/参与式计划覆盖了行政村内最边远、最贫困的自然村了吗？</p>
<p><input type="checkbox"/> Have women been sufficiently represented (at least 30%) and actively involved in decision-making?</p> <p>妇女是否已经有了充分的代表（至少30%），并积极地参与了决策？</p>
<p><input type="checkbox"/> Did the majority of participants during meetings come from the poorest households and are they actively involved in decision-making?</p> <p>最贫困户是否已经有了充分的代表，并积极地参与了决策？</p>
<p><input type="checkbox"/> Have criteria of poverty been developed and poor groups within the village been identified through participatory methods?</p> <p>是否已经通过参与式方法，开发出了贫困标准，并识别出了村里的贫困群体？</p>
<p><input type="checkbox"/> Did the decision-making during PP process include village plenary meetings at crucial stages, like prioritisation of projects, allocation of budgets etc.?</p> <p>参与式计划过程中的决策是否包括了包括在关键阶段举行村民全体会议，比如将项目排出优先顺序，分配预算等？</p>
<p><input type="checkbox"/> Does the PPA/PP document the different views and preferences of different groups?</p> <p>参与式贫困评估/参与式计划是否记录了不同群体的不同看法和偏好？</p>
<p><input type="checkbox"/> Does the PPA/PP show clear linkages between causes of poverty and the strategy adopted by the project?</p> <p>参与式贫困评估/参与式计划是否清楚地说明了贫困原因及项目采用的策略之间的联系？</p>
<p><input type="checkbox"/> Does the PPA/PP clearly explain who benefits and why?</p> <p>参与式贫困评估/参与式计划是否清楚地解释了谁受益，为什么？</p>

## 2.2.7 Integrating Village-Level PP into County-Level Project Planning 将村级PP整合到县级项目规划中

In PRCDP, County plans are the foundation and precondition of village plans (PP), covering possible financial conditions and requirements on the percentage of different project types. Therefore, before implementing PP, the basic conditions for county-level projects will normally be taken as the starting point:

就PRCDP项目而言，县级项目规划是村级项目规划（PP）的基础和前提条件，这主要涉及到可能的资金条件和必要的项目类型比例要求。所以在开展PP之前一般都会先以县级项目的基本前提条件做基础：

- Based on the findings of PPA and financial resources of PRCDP and budget constraints, initially decide on the project funding structure of the community (capital structure);

根据参与式贫困分析的发现和PRCDP项目资金能力和相应的条件限制，初步确定社区的项目资金框架；

- Conduct participatory village plan (PP) based on this capital structure;

根据这个资金框架进行参与式村级项目规划（PP）；

- Feed back the specific project outputs from PP into the draft county-level plan, and make necessary adjustments and modifications to the county-level project plan. At the same time, combine the county-level project plan and technical, environmental, economic and market feasibility studies of different village-level project plans; make necessary adjustments to the village-level project plan (PP), including the type, scale and capital requirements of project activities; and create a level of harmony between the aggregated PPs and the county-level project plan;

将参与式规划（PP）的具体项目结果反馈到县级项目规划草案中，并对县级项目规划进行必要的调整和修订，同时结合县级项目规划的情况和各村级项目规划项目在技术、环境、经济和市场等方面的可行性对村级项目规划（PP）进行必要的调整，包括项目活动类型、规模和资金需求等，使各PP之间以及PP与县级项目规划之间保持必要的协调性；

- Feed back the integrated county plan, particularly the village-level project plans (PPs), and obtain approval of the community; and finally incorporate into the county-level project plan.

将整合后的县级项目特别是村级项目规划（PP）反馈回社区并取得社区的认可，最终纳入到县级项目规划中。

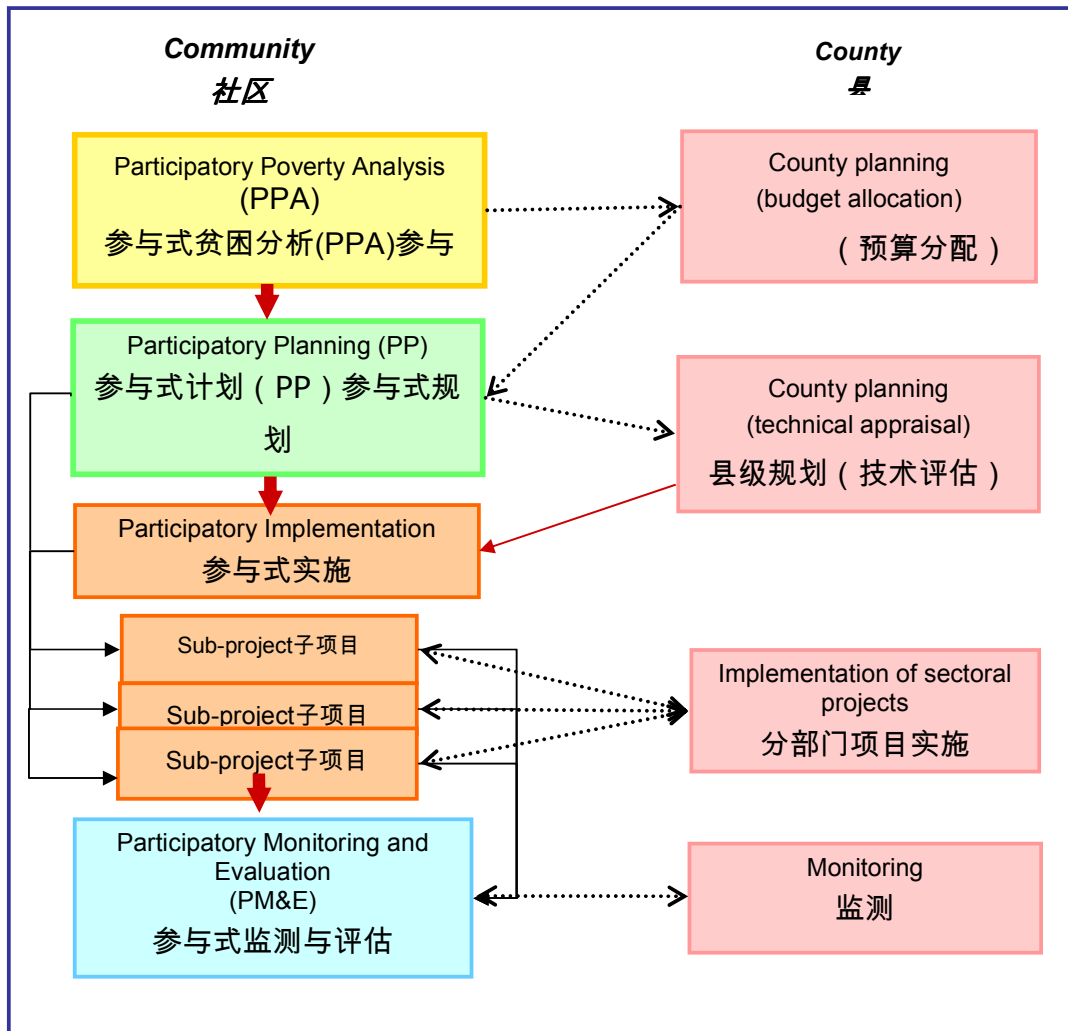
⇒ case 10: Integrating PP into the county plan of PRCDP; 案例：PP与县级PRCDP项目的衔接

In this way, village-level project plans (PP) not only fully reflect the actual needs of the community, but are also incorporated into the county-level project plan of the government, and became development plans recognized by the local government. At the same time, PP was taken as a representative "sample", reflecting the actual situation and needs of the community: in this way helping to modify and improve the county-level project plan, and make it more appropriate to actual needs and conditions. The following diagram indicates the links between the county plan and participatory plan process:

这样，村级项目规划（PP）不仅充分的反映了社区的实际需要，同时也被纳入到政府的县级项目规划中，成为地方政府认可的发展规划。同时，PP也作为“样本”反映了社区的实际状况和需要，帮助县级项目规划的修订和完善，使县级项目规划更加适合实际需求和条件。下图显示了县级规划和参与式规划过程之间的联系。

**Figure 1: Links between community planning and county planning**

图1:社区规划与县级规划的关系



To ensure that the PP is integrated with the county plan, there are basic guarantees for PP in the county plan. The people participating in integrating the project should pay particular attention to the following:

为保证在PP与县级项目整合过程中确保社区的必要参与特别是PP能够在县级项目规划中得到基本的保障，参与项目整合的人员需要注意以下几个方面：

- The people participating in integrating the project should involve the county and township facilitators who participated in the PP process;  
参与项目整合的人员应该包括参与了PP过程的县乡项目协调员；
- All the staff should be familiar with the PRCDP process, and be prepared to give priority to supporting the development needs of poverty groups;

所有人员应该熟悉PRCDP项目过程，具有优先支持贫困人群发展需求的态度；

- Be sensitive to the poverty situation and development needs of poor groups, women and other disadvantaged groups;

对贫困人群、妇女等弱势群体的贫困现状和发展需求具有敏感性；

- Be sensitive towards the protection of ethnic cultures and the ecological environment;

对民族文化和生态保护具有敏感性；

- During the process of integration, the priority should be on satisfying PP needs of the community, instead of taking the existing county plan as a basic precondition

整个整合过程中应该以尽量满足社区的PP需求为基础而不是以现有的县级项目规划为前提。

Thus, during the process of integrating all the PP reports into the county plans, the focus must be on incorporating the needs of the poor and marginal groups. All the outputs of plan integration should be fed back to the various poor groups of the communities through appropriate mechanisms such as community meetings, and be accepted by them. County plans need to include adequate documentation on the process of PPA/PP.

因此，在将所有的PP报告整合到县级项目规划的过程中，必须重点考虑贫困人群的需求，所有整合的结果应该通过社区大会等恰当的形式反馈到社区的不同贫困群体中，并应该得到他们的认可。下面的文本框中关于整合过程中的检查清单可以帮助我们确保整合过程中社区的必要的参与。



## 2.2.8 Checklist for integrating PPA/PP into County Plans; 把PPA/PP纳入县级计划的检查单

The county plan reflect clearly that project communities have assessed their problems and solutions of poverty have been assessed in the local setting and that their priorities are addressed by the county plans. The following checklist will be used by supervision.

县级计划清楚反映了项目社区已对贫困问题和解决方法进行了分析，其重点内容已列入县级计划。以下检查表可用于监督管理。

### Checklist for integration of PPA/PP into county plans

#### 将PPA/PP纳入县级规划的检查表

- How poor villages, poor sub-villages and poor households have been selected.  
贫困村、贫困屯和贫困户是如何挑选出来的
- How the priorities and needs of poor households, poor and remote villages, women and ethnic minorities have been assessed during PPA.  
在参与式贫困分析过程中，贫困户、边远贫困村、妇女和少数民族的优先事项及需要是如何被评估的
- How poor households, poor and remote villages, women and ethnic minorities have participated in the decision-making process of PP.  
贫困户、边远贫困村、妇女和少数民族是如何参与PP的决策过程的
- How the priorities and needs of poor households, poor and remote villages, women and ethnic minorities will be addressed by the project activities.  
贫困户、边远贫困村、妇女和少数民族的优先事项和需要将如何由项目活动解决
- How county plans have been modified, based on the outcomes of PPA and PP.  
县计划是如何根据参与式贫困分析和参与式规划的结果修改的
- How poor households, poor and remote villages, women and ethnic minorities will participate in the process of implementation and monitoring.  
贫困户、边远贫困村、妇女和少数民族将如何参与实施和监测过程

## 2.3 Participatory Implementation; 参与式实施

### 2.3.1 Purpose of this Chapter; 本章的宗旨

To develop a participatory approach for different types of sub-projects (where participation is feasible) and to specify how implementation will take place specifically at the community level.

为了给不同类型的子项目（可能实施参与的）开发一种参与式方法，并具体地说明如何在社区层次具体实施。

### 2.3.2 Preparing for Participatory Project Implementation 参与式项目实施的筹备

Before going into implementation, the communities need to do a detailed implementation plan which includes management and supervision arrangements. Also, they need to finalise the selection and design of project activities.

在进入实施之前，各个社区需要准备一个实施计划，其中包括相应的管理和监督安排。

同时，还要最终选定项目活动并对活动进行设计。

During PP, villagers come up with a variety of projects and related priorities. They then need to take a decision on which projects to implement as a priority, within a limited budget and within the range of choices provided by the county plan. The selection and design of projects for implementation needs to ensure that poor natural villages are benefited and that the needs of the poorest households are taken into consideration (with special focus on direct ways to involve poorest and disadvantaged households). The process of selection and micro-planning needs to be transparent and fair, but the facilitators also need to make sure that the voices and needs of poor groups are reflected in selected project activities.

在PP期间，村民们将提出一系列的项目和项目优先次序。然后，他们需要在县级计划框架内，根据有限的预算和选择范围，决定将哪些项目作为优先实施项目。实施项目的选择和设计需要确保让贫困自然村受益，并考虑到最贫困农户的需求（实施方式应特别关注使最贫困户直接受益）。项目选择和微观设计的过程应当透明、公平，但协调员还是需要确保在选定的项目活动中，贫困群体的声音和需求得到反映。

A major risk of participatory project implementation is that the active contributions made by the communities, especially on infrastructure projects, will increase the labour burden of farmers and in particular that of women and vulnerable households. The participatory planning process needs to be facilitated in a reasonable way that will reduce pressure on the community and significantly provide a sound base for project implementation.

参与式项目实施中的一个主要风险是社区的积极贡献，特别在基础设施项目中，会增加农民的劳动负担，对以妇女和贫弱人员为主的农户尤为如此。参与式规划过程需要用合理的方式予以协助，以减轻社区的压力，并为项目实施打下坚实的基础。

⇒ case 18: How to Facilitate Farmers to Reasonably Contribute Labour and Money in Community-based Public Projects; 案例: 社区公共项目中如何协助农户合理投劳、集资

During that phase, the facilitator does not only support the communication and decision-making process, but he will also need to safeguard the interests of minority groups and marginal villages and households throughout the process. And he needs to ensure that the project is implemented in a sustainable way, which means looking at possible impacts beyond the phase of actual implementation. The following checklist should be used by the facilitators to reflect if the participation is in place or not, and what aspects need more focus.

在这个阶段中，协调员不仅要沟通对决策过程予以协助，还要确保少数民族和边缘化村落与农户在整个过程中的利益。他要保证项目的实施是可持续的，即要找出具体实施过程以外的可能影响。以下检查表将提醒协调员反思推进参与式的工作是否到位，还需要在哪些方面多关注。

### Checklist for Participatory Implementation; 参与式实施检查表

- Who benefits and how? How much do the poor households benefit?  
谁受益？怎么受益？贫困户受益多少？
- Who is included and involved and how and how much and for what purpose?  
Who is excluded and why?  
谁被包括并参与了？如何参与的？参与程度有多少？为什么目的？谁被排斥在外了？为什么？
- Who is informed and how and when?  
谁被通知了？怎么通知的？什么时候通知的？
- Who is involved in the decision-making, how and to what extent?  
谁参与决策了，怎么参与的？程度如何？
- What is the role of women villagers and to what extent are they able to play their role? What are the constraints and how can they be overcome?  
妇女村民的角色是什么？她们在多大程度上能够扮演自己的角色？制约因素是什么？如何可以克服它们？
- How far will human poverty reduction and sustainable development take place with this project?  
这个项目的人道减贫和可持续发展能进展到什么程度？
- How effective is the maintenance plan?  
维护计划有多有效？
- What is the potential impact and on whom?  
潜在的影响是什么？对谁？
- What are the ecological impacts?  
生态影响是什么？
- For infrastructure: Who is being compensated? Do they belong to the socially excluded groups?  
对于基础设施：谁在得到补偿？他们属于被社会排斥的群体吗？
- What capacity of the villagers is being enhanced in this respect? How and whose capacity?  
村民的什么能力在这方面得到加强？如何加强的？谁的能力得到加强了？
- Will there be a social auditing of project management by the villagers? If so, how? And when?  
会由村民进行项目的社会审计吗？如果是的话，怎么进行？什么时候进行？

### 2.3.3 Basic Principles of Participatory Project Implementation 参与式项目实施的基本原则

Participation during implementation means that villagers are actively involved not only in doing the actual works, but in all levels of management and activities during the course of implementation. The basic principles of participatory project implementation are described below.

实施过程中的各个层面的管理或活动体现农户的参与，具体体现在以下方面：

- **Transparency throughout the process, with the community aware of the course of implementation**

#### 全过程透明，村民对项目实施过程的知情

All important aspects of the entire implementation process (including main activities, budget and expenses) need to be transparent for the communities. In addition, public awareness activities need to be carried out to reach even the poorest of the poor households, either through displaying it on village notice boards or having small group meetings in different localities including poor ones. In addition, results should be announced publicly and exhibited in places which are easily accessible to all villagers.

整个项目实施过程中的所有重要方面（包括主要活动、预算和开支），都需要对村民透明。而且公开方式需要方便贫困户的了解，例如通过在村公告栏中贴通知，或在不同的地点召开包括贫困户在内的小组会议。此外，会议讨论的结果应当公开宣布，并在所有村民都能容易地看到的地方展示。

- **Administrative village needs to set up coordination structure**

#### 行政村需要建立协调框架

The administrative village needs to select a facilitator or a coordination group who will coordinate the planning and implementation process between different natural villages. The person(s) in charge should have demonstrated/acknowledged coordination skills and pro-poor bias. The facilitator will have to balance group interests (with fairness and transparency and ensure pro-poor related interests/activities), coordinate issues which go beyond the natural villages, ensure appropriate convergence of social and technical appraisal, facilitate communication between different parts of the village and village groups and resolve conflicts as and when required. Village Facilitators could be cadres from the villagers' committee or other people. However, during the course of project implementation, the Facilitators and the cadres from the villagers' committee should be mutually supportive not at variance.

行政村需要挑选一名协调员或一个协调小组，负责协调不同自然村之间的计划和实施过程。负责人应当有公认的协助技巧和穷人优先的倾向。协调员必须平衡不同群体的利益

(公平、透明地，并确保与穷人利益、活动优先)，协调不同自然村之间的事宜，确保社会与技术的恰当整合，推进村里不同群体之间，以及不同村庄之间的沟通，并在必要时解决冲突。村协调员可以是村委会干部或其它人，但协调员与村委会干部在项目实施中是相互配合关系，应避免不协调。

- **Project Implementation Group needs to be based where the project is (natural village)**

**项目实施小组需要以项目所在地(自然村)组建。**

The actual project implementation will be done by the project implementation group. This needs to be based where the project is located, which means that if the project is implemented in one or several natural villages, the project implementation group would be organized locally rather than in the administrative village. The project implementation group will be responsible for organizing physical works, procurement and monitoring the work progress.

说明：实际的项目实施将由项目实施小组完成。这就需要在项目所在地组建项目实施小组，也就意味着如果项目在一个或几个自然村里实施，项目实施小组就应当在自然村就地组建，而不是统一在行政村里组建。项目实施小组将负责组织投劳、采购，并监测工作过程。

- **Facilitators and Project Implementation Group to be elected by village plenary meeting (or villagers' representative meeting)**

**村协调员和项目实施小组将由全体村民或村民代表选举**

Election of villagers or villagers' representatives are normally carried out through village plenary meetings, which are an important forum to discuss and decide matters of importance to all villagers. Such meetings need to be organized in a transparent and fair manner, and ways found to enable the poor to express their views and priorities. There should also be a forum to elect the village facilitators and the members of the project implementation group with appropriate representation of members from ethnic minorities, women and the disadvantaged groups. Community plenary meetings include administrative village level meetings and natural village level meetings. If it is impossible to hold village plenary meetings due to residents living far apart from each other, then managers elected as villagers' representatives from all the natural villages should discuss and decide community affairs. Among the villagers' representatives, there must be an adequate percentage of poor households, ethnic minorities, women and other groups.

村民或村民代表选举一般通过村民全体会议的形式实现，村民全体会议是所有村民讨论并决定重要事项的一种重要的方式。这种会议需要以一种透明而公平的、并且的确能够使穷人们表达他们的看法和自主确定优先事项的方式举行。还应该有一个过程或方式来

选举村级协调员和项目实施小组成员，成员中有适当比例的代表来自少数民族、妇女和贫困户。村民全体会议包括在村行政村层次的和自然村层次的，由于居住分散等因素影响，无法在行政村层次召开全体村民会议的，可以通过各个自然村选举村民代表，由村民代表讨论和决定社区事务和管理人员选择，村民代表的人员中，必须保证贫困户、少数民族、妇女等群体占足够的比例。

Electing personnel for project implementation means that the existing (official) structure of village administration is not automatically used for project implementation, but that villagers jointly decide on who would be the best persons to take over the specific tasks within the project, also considering the sufficient representation of women and ethnic minorities in the implementation group.

项目实施人员的选举意味着现有（官方）村级行政机构并不适用于项目的实施，但村民可以联合决定谁是接管这项任务的最佳人选，并考虑到实施小组中妇女和少数民族要有充分的代表性。

### **2.3.4 Participation in Community-Based Projects; 社区级项目中的参与式**

Community-based projects are targeted at villages and implemented by villages. In this type of project there are ample opportunities for community participation, beyond the contribution of labour. This type of project should be implemented in a way:

社区级项目的目标和实施场所都是村落。此类项目中，有充分的社区参与机会，且不止人力投入这一种方式。这类项目的实施方法包括：

- That helps to build the communities capacities for collective action and self-help throughout the process of implementation, and
- 帮助提高社区开展集体活动的的能力，以及贯穿实施过程中的自助行动
- That the specific interests needs of poor households and of minority groups are safeguarded.
- 保障贫困农户和少数民族人群的特殊利益和需求。

#### **2.3.4.1 Participation in Infrastructure Projects 基础设施项目中的参与式**

For the community, rural infrastructure is a type of non-monetary investment. Therefore, it is an important issue for the community if the money is going to be invested in the poor sections of the community, and their percentage share of the investment. At the implementation stage, the investments made to a particular village should be properly publicised. There should be participation of community households in allocation of money within the village, including which poor sub-villages (natural villages) are to be the focus of project investments. The basis for infrastructure investments by households is the project target group, which is a sensitive issue, and needs to be fully discussed and decided by the community.

农村基础设施对社区来说，是无偿投入，因此，资金是否投入的贫困社区以及投入资金的分配比例是社区比较关注的问题。在实施阶段，应该对投入到该村的资金情况以适当的方式公布。资金在村内部的分配也需要社区农户的参与，包括在村内，项目资金重点投入到那些贫困屯（自然村）。分户的基础设施项目投入时，谁是受益的项目目标群体，是一个敏感问题，应该由社区农户充分讨论后决定。

For guidance on participatory implementation of infrastructure projects, facilitators should refer to the practical examples from the field. The projects implemented by the communities themselves best display the steps taken, how participation occurs and issues and questions arising. The guidelines included in the annex provide a relatively detailed description on participation in different projects.

针对基础设施项目的参与式实施活动，协调员应参考实际案例进行指导。社区自主实施的项目是最能体现开展的步骤、参与式是如何发生的，以及具体提出的问题。附件中的指南对各类项目中的参与式做了比较详细的论述。

- ⇒ **Practical Guideline 1: How to implement infrastructure projects in a participatory way** 操作指南1: 如何用参与式方法开展基建项目
- ⇒ **Practical Guideline 2: How to implement community shopping** 实用指南2: 如何开展社区采购

**Community shopping:** Even though community procurement is not a type of project, it can be applied to either the self-help infrastructure projects implemented by the communities or the productive loan projects: particularly price enquiries of materials for community implemented projects, and agricultural inputs such as breeding stocks, etc.

#### **社区采购:**

社区采购虽然不是一种项目类型，但它在自主实施的基础设施项目和贷款性生产项目中都可能涉及，主要是自营工程材料的寻价、种畜等农用物资的寻价等。

#### **2.3.4.2 Financial Management in Community-Based Projects 社区级项目中的财务管理**

Community finance is a component of the budget of the entire project county. The community should be aware of the basic financial management requirements and regulations, and be clear about project finance directly related to the community, including the total sum of project money, the sums and limits on use of project money for all the sub-projects, the time period money is available, and expenditure procedures, etc. At the same time, the financial management of the community will be supervised and audited by the county and township financial managerial personnel, to ensure that the designated project money will be for this use only.



社区财务是整个项目县财务组成的一部分，一方面，社区应该了解整个县项目财务的基本管理要求和规定，也应该清楚与社区直接相关的项目财务情况，包括项目资金的总量、各个子项目资金数量和使用限制要求、资金到位时间、开支程序等。另一方面、社区财务管理接受县、乡财务管理人员的监督和审计，保证项目资金专款专用。

In addition to being informed of project budgets and expenditure, the community should also participate in choosing and deciding on the projects that they themselves will implement.

社区农户除了对本村整个项目资金的了解知情外，对自主实施的项目，应该参与到选择和决策中。

Projects implemented by the communities themselves refers to the project activities approved for implementation by the communities after the PP of the community has been integrated into the annual county plans, including the self-run projects of the collective, and the productive projects with loans granted to individual households. For loan projects, the community should participate in determining the households to be given loans, and loan amounts. For community projects, participation of the community includes selection of financial managerial staff, discussion on use of funds and management method, and working out criteria of expenditures, etc.

社区自主实施的项目指社区的PP整和到县年度计划后，并得到批准的由社区自主实施的项目活动，包括针对集体的社区自营工程和贷款到户的生产性项目。对贷款项目，社区应参与贷款户和贷款额度的确定。对社区自营工程，农户的参与包括资金管理人员的选择、使用和管理办法的讨论、开支标准的制定等。

⇒ [case 15: How the Community Participate in Financial Management;](#)  
案例：农户如何参与资金管理

The principles of participatory project implementation apply to different sectoral projects and different stages of project implementation. However, the exact operational steps for implementing different projects in different communities will never be identical. Therefore, this manual does not provide a blueprint for project implementation, but provides reference on the operational steps for principal project types involved in the PRCDP, focusing on how to promote and embed participation in each stage of the operation. However, for each project implemented by a community, the steps will be different, the ways of working will be different, and we would also encourage creative steps and methods. However, the methods and steps adopted should not contradict these participatory implementation principles.

参与式项目实施的原则需要在项目实施中的具体操作步骤中体现，然而，不同的项目、不同的社区在具体项目实施中的操作步骤是不可能一致的，因此，本手册也不是为项目实施提供一种固定的操作程序，而是针对PRCDP项目涉及的几种主要项目类型，提供一个参考的操作步骤，并将重点放在每个可能涉及的操作步骤中，如何推动和落实参与。

而在各个社区实施项目过程中，步骤可能不同、方式也可能不同，我们也鼓励有创新的步骤和方法，但所采用的方法步骤不应该与上述参与式实施原则相违背。

#### 2.3.4.3 Participation in Procurement 物资采购中的参与式

Households should participate in different aspects of the procurement process, particularly in those projects which are implemented by the communities themselves.

农户应该以不同方式参与到的不同的采购过程、特别是自主实施项目。

While the county and township PMOs are making inquiries and inviting bids to purchase large quantities of goods, there should be participation of representatives from the community involved in the purchasing process. For the self-run projects of the communities - mainly the self-operated construction projects - households' participation includes decision-making on key issues such as selection of purchasers and management of materials. The community representatives for procurement will be responsible for selecting and deciding the quantities, varieties, quality and purchasing locations and vendors. However, these need to be carried out with the support of PMO staff and technicians.

在县乡项目办的大宗货物寻价、招标活动中，尽可能有社区农户代表的参与采购过程。

而对社区自主实施项目，主要是自营工程项目，农户的参与包括对采购人员的选择、物资管理等关键问题的决定，而农户采购代表将负责采购物资数量、品种、质量、采购地点、厂家等的选择和决定等，但这需要在项目办人员和技术人员支持下完成。

⇒ case 16: : Community Participation in Purchasing; 案例：农户参与采购案例

#### 2.3.4.4 Health and Education Projects 卫生与健康项目

Participation of the community in the health component is mainly in selection of project focus groups and answering to needs of target groups. Facilities and services established through the **health component** should be pro-poor and responsive to the needs of different groups within the community (women, children, and elderly people). They would also need to cater for the different health situations and lifestyles in ethnic minority areas. The health component has taken a participatory approach during the assessment phase which is a good start. However, thinking about participatory implementation is still at an infant stage. Participatory assessment of community health needs should be integrated into the community planning process to provide a tangible basis for design of specific health services.

卫生项目中社区的参与主要体现在项目目标群体选择和回应目标群体需求方面。通过**卫生项目**建立的设施和服务应当穷人优先，并对农村社区（妇女、儿童和老人）不同群体的需求做出反应。设施和服务还需要适应不同少数民族地区的卫生状况和行为。卫生部们在评估阶段已经采用了参与式方法，这是一个好的开端。尽管如此，考虑到参与式实

施还处在初期阶段。社区卫生需求的参与式评估应当并入社区规划过程，以便为具体卫生服务设计提供有力的支持。

The **education component** is somewhat similar to the health component. The project implementing agency is the education bureau, the functional department, while the participation of the community is mainly indicated in reflection of community needs, and focusing on target groups. Design of education facilities is based on evaluation of community needs, which should mainly be focused on poor villages, primary schools and pre-school classes.

教育项目与卫生项目有相似之处，项目的实施主体是职能部门教育局，而社区的参与主要体现在反映社区需求和关注目标群体。教育设施的设计基于社区需求评估，评估应主要关注在贫困村、小学校和学前班

The design of **education facilities** is based on community needs assessment which focuses on poor village and small schools and pre-schools.

教学设施的设计是根据社区的需求分析进行的，重点是贫困村和小型学校及学前设施。

⇒ case 17: Participatory School Development; 案例: 参与式学校开发

#### 2.3.4.5 Technical training 技术培训

Taking a participatory approach to training in this project is not only households passively accepting training and technical services, but also actively seeking technologies, to guarantee that the technologies work in the project. It should also include training to improve capacity of the community. The participation of the community should include analysis of capacity and technical needs, choice of means of training and technical extension, as well as empowerment and ability to work out relevant measures, appropriate technologies to ensure project quality, etc.<sup>14</sup>

本项目中的参与式方法不仅是农户被动接受培训和技术服务，而且是主动寻求技术，并保证技术在项目中发挥作用。同时还包括社区能力提高方面的培训。农户的参与应包括能力和技术需求分析、培训和技术传播方式选择，以及有能力和可以制定相应措施，应用技术保证项目质量等。

Training in PRCD should be community based and supportive of group learning processes. The idea of establishing “community learning centres” within the education component is innovative, but probably needs time to be piloted and scaled up. As a minimum requirement, selection of trainees should be transparent, training activities field-based wherever possible and practical experimentation and sharing of lessons should be part of the training process.

<sup>14</sup> Guidance on the training approach is included in the Annex of this Manual.

培训方法指南见本手册的附件

## PRCDP

项目的培训应当以社区为基础，并支持群体学习过程。在教育项目中建立“社区学习中心”的想法有创新性，但可能需要时间来试点并扩大。作为最低要求，培训学员的选择应当透明，尽可能进行现场培训和实地操作，并使分享教训成为培训过程的一部分。

- While providing training guidance, it is necessary to pay attention to the impact of training, and see if the farmers have really understood the technologies demonstrated, and know how to use them. In addition, such technologies should be directly beneficial to the corresponding project activities they are engaged in, not merely stressing the training process and activities.

培训指导，应该注意培训后的效果，农户是否掌握了、而且能够实用了所培训的技术。另外，这个技术对他们所从事的相应的项目活动有直接的帮助作用，而不是只注重培训的过程、活动的开展。

- Ensure the training content is tailored to local circumstances, not only local natural conditions, but also anticipated levels of acceptance of new technologies by local farmers, for example, their educational background, previous technical progressiveness, etc. In other words, the training should not only be suited to local conditions, but also to the people. In addition, training contents should be combined with local traditional practices, i.e., project training should be integrated with experiences of local traditions, and based around farmers' existing experiences and practices, so that it will be easier for the farmers to accept.

注意培训的内容应该与当地实际的情况相结合，既要注重当地的自然条件等等实际情况，也要注意当地农户的接受能力，如他们的文化程度、过去的技术水平等等，也就是说，不仅要因地制宜，而且要因人制宜。同时培训的内容应该与当地的传统做法相结合，即项目的培训和当地传统的经验做法相结合，在过去农民已有的经验和做法的基础上进一步深化，这样更有利于农户的接受。

Improvement of community members' skills is not only an objective of the project, but also helps ensure other project objectives are achieved so that the project becomes sustainable. Whilst providing households with training and technical support, the technicians are not controlling by leading the contents and modes of training, but starting from the households' needs and technical capacities, and providing them with training and technologies which they need and which are easy to accept. The training and technologies should be particularly focused towards poor households and women: identify particular obstacles to their access to technologies, and take special steps to ensure that the technologies reach the project target groups, rather than ordinary households.

农户技能的提高既是项目目标之一，也是达到其它项目目标的保证，同时，也才有项目的可持续性。在为农户提供培训和技术支持中，技术人员不是扮演控制角色，主导培训的内容和培训方式，而是从农户的需求和技术水平起点出发，为他们提供他们所需要的

，并且能够容易接受的培训和技术。特别需要关注所提供的培训和技术是“亲近”贫困户和妇女，注意到他们在获得技术方面的一些特殊障碍，采取有针对性的措施，保证技术到达项目目标群体，而不只是一般意义上的农户。

### 2.3.5 Participation in Projects Targeted to Individual Households 针对个别农户项目中的参与式

Projects Targeted to individual households provide less scope for community action and communication. However, **transparency** and **mutual learning** are important principles of responsible and community-oriented project implementation that should be adhered to in those projects.

针对个别农户的项目不需要大范围的社区行动与沟通。不过，**透明度**和**相互学习**是这些负责的社区导向的项目在实施中应当坚持的重要原则

#### 2.3.5.1 Participation in Loan Management; 贷款管理中的参与式

The agricultural component accounts for half of the project's budget. The improved household agriculture subcomponent provides only limited scope for community participation at the implementation stage since households will decide themselves on the crop or animal raising activities for which they will use project financial support, and all of the loans are directly disbursed to individual households. However there is substantial scope for community participation in:

农业子项目占项目预算的一半。改善的农户农业子项目只提供了有限的空间，供社区参与实施阶段，因为农户们将自行决定他们将使用项目贷款支持的种植或养殖活动，而且所有的贷款都直接地拨付到一家一家的农户手中了。不过，社区在以下领域里有重大的参与空间：

- Data and findings from the PPA should inform selection of poor households and loan flows within the computerised loan management system and group collateral system.

PPA的数据和发现，应当在计算机化的贷款管理系统和群体担保系统中通知贫困户和贷款流量的选择。

The agricultural component potentially covers 100% of households within each project village. This means that the priorities and needs developed during PP could be followed up by the loan components, ensuring that all poor and marginal groups and households are covered adequately. At the same time, the project should give sufficient flexibility to the community households, to ensure loans may have diversified uses based on different circumstances.

农业项目可能覆盖每个项目村里100%的农户。这就意味着PP期间开发出来的需求和优先次序可以被贷款项目跟进，确保所有的贫困和边缘化群体及家庭都被充分地覆盖。同时，项目应给予社区农户足够的空间，保证贷款可以根据不同情况，有多样性的用途。

**Box 7: Selection of households crop, animal and micro-enterprise projects through community information meetings: 框7: 挑选农户种植、养殖和小企业项目的社区吹风会**

In PRCDP design, households make individual choices about which productive activities they will use project financial support for. Households however need to be well-informed about the opportunities and risks related to each type of crop or animal raising activity. Community meetings have proved useful in many projects to help households make informed choices.

Township facilitators are expected to organize these meetings and to bring relevant information to households. The project will provide information in the form of technical and economic information sheets.

在PRCDP设计中，农户单独地选择他们将把项目贷款支持用于什么生产活动。然而，农户们需要被很好地告知每种种植或养殖活动涉及的机遇和风险。在很多项目中，社区会议都被证实为能够有效地帮助农户作出明智的选择。希望乡镇协调员能组织这些会议，并将有关信息带给农户们。项目将以技术和经济信息表的形式来提供信息。

In PRCDP design, some of the households have the option of applying for a larger amount of financial support to develop services for other households in the community. Final decision-making on what type of micro-enterprise to develop is left to the applicant household. However community members have a role in helping identify which services would be most useful for the development of the community. This would be usefully done during a community meeting. The project implementation manual includes an initial list of potential good ideas of farmer-to-farmer services.

在PRCDP设计中，有些农户可以选择申请较高金额的贷款支持，以发展为社区内其他农户的服务。对发展哪种微型企业的最终决定权属于申请农户。然而，社区成员可以扮演一个角色，就是帮助找出哪种服务对社区的发展有用。这一点可以在一次社区会议上很好地完成。项目实施手册中有一个原始清单，包括了农户相互服务的可行的好点子。

- Identifying farmer-to-farmer services (micro-enterprises) that would be most beneficial to the community and advising the households on who will receive project financial support for the development of these services.

找出对社区最有利的农民相互服务形式（微型企业），并对那些为了开发这些服务而将要接受项目贷款支持的农户提供指导。

**Box 8: Community monitoring of enterprise contracts: 框8: 社区对企业合同的监测**

Agribusiness enterprises are increasingly active in the PRCDP project area. Communities have an important role to play in facilitating the establishment of fair, transparent and sustainable relationships between an enterprise and households. However this is very difficult to organize and would require the creation of farmer associations or the designation of farmer representatives. In practice, communities can have the following roles:

PRCDP项目区的农业企业正在变得日益活跃。社区在协调建立交易会、在企业和农户之间建立透明而可持续的关系方面，有一个重要的作用可以发挥。不过，这一点非常难以组织，它会要求创建农民协会或指定农民代表。在实际操作中社区可以起到以下作用：

- Farmers, local government or an enterprise may propose the creation of a farmer association or the designation of farmer representatives, the community can have a supportive role and can monitor progress.

如果农民、地方政府或一家企业提议创建农民协会或指定农民代表，社区可以发挥支持性的作用，并可以监测其进展。

- The PMOs should inform communities about PRCDP enterprise involvement guidelines. They should also inform them about which enterprises have agreed to be PRCDP “project partners” and therefore to comply with the guidelines.

项目办应通知社区关于PRCDP企业参与的方针。他们还应当通知他们，有哪些企业已经同意成为PRCDP的“项目伙伴”，并因此而遵守这些方针。

- The loan management system should include monitoring of loans by the community. A process of information sharing needs to be set up which allows full participation of the village (project group) in the monitoring process and feedback of their suggestions and complaints to the township working station.

贷款管理系统应当包括由社区监测贷款。需要建立一个信息分享过程，允许村庄（项目小组）完全参与监测，并反馈他们对乡工作站的建议和投诉。

⇒ **Box 14: Transparency and Monitoring of Use of Project Loans;** 框11:  
项目贷款的透明度和监测使用

- Group loans are a useful approach in building local capacities. The following example shows how groups can be actively involved in managing loans.

小组贷款对建立地方能力是一种有用的方法。下面的例子显示小组可以如何有效地涉足管理贷款。

⇒ **Practical Example 5: Loan groups, livestock credit groups (Yi, Sichuan)**

**实例2: 贷款小组, 牲畜信用小组 (四川彝族)**

- Other forms of collective action should be explored wherever possible. Within the agricultural component there is a big potential for developing sustainable approaches to common property resource management.

其他形式的集体活动也应大力开发。在农业子项目中, 开发公共财产资源管理可持续方法是极具潜力。

⇒ **Practical Example 7: Community-based common property resource management (especially for grassland)**

**实例4: 以社区为基础的公共财产资源管理 (特别是草原)**

### 2.3.5.2 Role and Function of “Pilot” households “示范户”的角色和作用

In PRCDP design, demonstrations and pilots aim to provide real opportunities for participating households to learn from doing and observing.

根据PRCDP项目的设计, 示范活动的目的是为参与农户提供真实的、边干边观察边学习的机会。

When preparing demonstrations, organizers should pay attention to the following:

在筹备示范项目的过程中, 组织者应注意以下方面:

- The purpose of demonstrations is not to inform less-advanced farmers about modern agriculture such as the use of modern agricultural inputs. The purpose of demonstrations is rather to help households adapt, with the help of their technician/facilitator, promising improved agricultural practice to the specific circumstances of their environment and their farming system.
- 示范的目的不是要向较落后的农民提供诸如如何使用现代农业技术等信息。其目的是向农户提供帮助, 使他们能够在技术员、协调员的帮助下, 把先进的农业改良技术应用到具体的环境和农业体系中。
- The topics of demonstration should therefore relate to sustainable mountain agriculture with low levels of external inputs. These are defined in the PRCDP guidelines for appropriate agricultural technology.



- 因此，示范活动这一主题还应涉及可持续性山区农业，那里少有外部的支持。这些内容在PRCDP项目指南中有关农业适用技术的章节有所说明。
- The selection of demonstration households and groups should be participatory and transparent.
- 示范户和示范组的挑选应是参与式的、并要有透明度。

**Selection of demonstration households** should be integrated into the community planning process and, wherever possible, the principles of targeting poor households and disadvantaged groups within the community should be followed. The project needs to ensure that benefits and learning from demonstration households are shared within the community (e.g. through small technical groups who join the process of training and experimentation in selected topics etc.).

**示范户的选择**应当被并入社区规划过程，只要可能，就应当遵守示范户的选择瞄准村里的贫困户和贫困群体的原则。项目需要确保来自示范户的利益和所学知识在社区内分享（比如，通过成立小型技术小组在社区分享知识，这些小组成员参与培训过程并选定试验/示范的主题内容等等）。

- The community representatives should discuss criteria for selection of demonstration households, how much support to give each household, responsibilities of the demonstration households, as well as how to share the technologies and experiences obtained from demonstration with other farmers, and the extent of sharing each demonstration household will be responsible for (how many households he/she should tutor);

应事先由村民代表讨论示范户的选择标准，对每一户的支持力度，示范户的责任，即将来如何将示范得到的技术、经验与其它农户分享，示范户负责分享的范围（他/她需要带动多少户农户）

- Then select households following these criteria;  
再根据标准来选择农户；
- Village and group cadres will enquire into the views of the preliminarily selected demonstration households, to ascertain whether the households volunteer to participate in the project. The households may also file project petitions when necessary.

初步入选的示范户由村组干部向其征求本人的意见，以确定农户是否自愿参加项目。必要时也可以由农户提出项目申请作为备案；

- While selecting the demonstration households, it is necessary to make sure that the selection process and method safeguards the independence of the electors (community reps). That is to say, the reps may independently

express their opinion , which is basically consistent with the precaution for farmers to choose the projects.

在选择示范户的时候，选择的过程、选择的方法应该保证选举人（村民代表）的自主性，也就是使代表能够独立地表达自己的意愿，这一点和农户选择项目时的注意事项基本一致。

The technicians should work together with the community, to ensure that the services and training provided by the project work and to guarantee the quality of project implementation. With ongoing support, the farmers will be able to monitor quality issues during project implementation, and propose suggestions on improvements. Such a learning-by-doing participatory training and technical service process will not only guarantee project quality, but also ensure continuous improvement of the communities' technical competence, and enhance their feeling of ownership and confidence over the technical management of the project.

另一方面，技术人员和社区一道，应当确保项目提供的服务和培训发挥作用，保证项目实施的质量。就是说，在技术人员的持续支持下，农户将有能力监测项目实施过程中的质量问题，并在必要时提出改进意见和建议。这种边做边学的参与式培训和技术服务过程，不仅保证项目质量，而且保证农户的技术水平得到持续提高，也促进农户对项目技术管理的拥有感和自信心。

⇒ **Practical Example 4: Farmer field schools 实例1: 农民田间学校)**

⇒ **Practical Example 6: Pilot projects for participatory action and learning on agriculturea**

#### **Box 9: Networking and Sharing among Project Villages; 项目村之间联网与交流**

##### **Exchange-visits in project villages; 项目村的交叉访问**

Exchange-visits are recognized to be an efficient means of learning in the rural sector. In PCDP, exchange-visits can be organized to visit field demonstrations and/or overall implementation of the agricultural component. When organizing exchange-visits, it is important to pay attention to the following:

交叉访问被公认为农村地区的一种有效的学习方式。在PRCDP里，可以组织交叉访问，考察农业子项目的现场演示及/或整体实施。在组织交叉访问的时候，重要的是注意以下几点：

- Exchange-visits are useful for technicians, village cadre and households. PCDP can supports exchange-visits for households.

交叉访问对技术人员、村干部和农户都有用。PRCDP支持农户的交叉访问。

- The purpose of exchange-visits is to visit other areas that are comparable to the area where the participants live. Exchange-visits for households should be to other project villages with comparable natural and human environments. Exchange-visits are not visits to model or better-off villages by less-advanced or poorer villages.

交叉访问的目的，是考察和参与者居住的地方有可比性的地方。农户的交叉访问应当

是到自然和环境方面都有可比性的其它村子考察。交叉访问不是欠发达村子或比较穷的村子到样板村或小康村去考察。

- In order to ensure that households actually acquire information from the exchange-visit, the organizers should take the time to organize two meetings with participating households, one before the exchange-visit, to explain the purpose of the visit, and one afterwards, to debrief about exchange-visit findings. The timing of exchange-visits should be carefully planned. Visits during the agricultural season are preferable so that visitors can actually see the crops
- 为了保证农户们真正地从交叉访问中获得信息，交叉访问的组织者应当组织参与的农户开两次会议，一次在交叉访问之前，以便解释考察的目的，一次在交叉访问之后，以便汇报交叉访问的发现。交叉访问的时间应当精心地策划。最好是在农业季节里组织考察，这样考察者们就可以真正地看到庄稼了。

### **2.3.6 Indicators on Participatory Implementation 实施质量问题及指标**

The following indicators should be used by the project management to monitor the process of participatory project implementation in PRCDP.

PRCDP项目将以下指标做参考，衡量各个项目实施，是否体现“参与式实施”

## Indicators on Participatory Implementation

### 参与式实施的指标:

- Number of direct beneficiaries (poor households; poor natural villages; women; different ethnic groups)  
直接受益人的人数 ( 贫困户 ; 贫困自然村 ; 妇女 ; 不同的少数民族 )
- Degree of their involvement and opportunities for involvement  
他们参与的程度和参与的机会 ( 简单说 , 他们是否知情、是否能提建议或做选择、是否自主决策 )
- What decisions have they influenced? And in what manner?  
他们影响了什么决定 ? 以什么方式 ?
- Types of involvement of the poor and the disadvantaged?  
贫困和弱势群体参与的类型、程度是什么 ?
- Types of benefits for poor and disadvantaged households?  
贫困和弱势家庭的受益类型

Number of people directly involved in implementation and maintenance: poor households; poor natural villages; women; different ethnic groups

直接参与实施和维护的人数 : 贫困户 ; 贫困自然村 ; 妇女 ; 不同的少数民族

- Project implementation group (PIG) set up and functioning according to principles  
根据原则建立项目实施小组 ( PIG ) , 并履行职能
- Criteria for bidding set up; criteria for social audit set up; criteria for conflict resolution set up.  
建立招标的标准 ; 建立社会审计的标准 ; 建立冲突解决的标准。
- Mix of project activities likely to contribute to human poverty reduction and sustainable community development  
综合的项目活动更可能对可持续发展与人类减贫有帮助
- Villagers' capacities for self-help and initiatives strengthened by implementation of project  
通过项目的实施 , 村民们自力更生的能力得以强化

### 2.3.7 Checklist for Assessing Participatory Implementation 参与式实施分析检查表

The following Checklist will be used by supervision to assess whether the project implementation of particular projects is in line with the minimum requirements on participation.

下表可由监测人员用于分析特定项目的实施是否符合参与式的最低要求

#### Checklist for Assessing Participatory Implementation

##### 参与式实施分析检查表

- |  |
|--|
| <input type="checkbox"/> For multi-ethnic communities: Do different minority groups, and especially small ethnic minority groups, within the community participate in the implementation process?<br>对于多民族聚居的社区：社区内不同的少数民族，特别是那些小少数民族，参与实施过程了吗？                      |
| <input type="checkbox"/> Do the poorest and remotest natural villages within the administrative village benefit? Do they participate in management decision-making?<br>行政村内最边远、最贫困的自然村受益了吗？他们参与管理决策吗？  |
| <input type="checkbox"/> Do women sufficiently benefit? Are they actively involved in management decision-making?<br>妇女充分地受益了吗？她们是否积极地参与决策？  |
| <input type="checkbox"/> Do the poorest households benefit? Are they actively involved in decision making?<br>最贫困户充分地受益了吗？他们是否积极地参与决策？   |
| <input type="checkbox"/> Does the community established mobilise labour in an equitable way which does not disadvantage labour-scarce households and does not lead to a significant increase of women's burden?<br>社区是否建立的公平的投劳方式，这种方式不会造成缺乏劳力的农户很大困难，也不会使妇女的负担明显增加。 |
| <input type="checkbox"/> Are the financial allocations in the project transparent at the county and township level and do most households in the project community know the project budget and expenses?<br>县、乡对各个项目村的资金分配是否透明？在项目村，是否大多数农户知道项目预算和开支情况？              |

## 2.4 Participatory Monitoring and Evaluation (PM&E) 参与式监测与评估 (PM&E)

The fourth stage of the Project Cycle is Participatory Monitoring and Evaluation (PM&E).

项目周期的第四个阶段是参与式监测与评估(PM&E)

PM&E will form a part of the overall M&E system for PRCDP. The overall M&E system is described in the project's Operational Manual (OM). This section describes what PM&E is and why it is part of PRCDP. How the information from PM&E will be collected and how it will link to information from other parts of the M&E system is covered in the OM. A particular issue will be ensuring proper M&E and PM&E of the innovative approaches of PRCDP which are in ongoing PRCDP assessments (pilots), as the learning from these may be scaled-up at a later stage.

参与式监测评估将构成PRCDP整个监测与评估系统 ( M&E ) 的一部分。整个监测与评估系统 ( M&E ) 在项目的《操作手册》 ( OM ) 中有说明。本节说明参与式监测评估是什么，它为什么是PRCDP的一部分。来自参与式监测评估的信息如何集成，以及它如何与来自M&E其它部分的资料联系起来，也包括在《操作手册》中。有一个具体的问题，就是确保在连续的PRCDP评估 ( 试点 ) 中，监测评估和参与式监测评估中有适当的创新方法，因为从这些学到的东西可能会在以后的阶段里扩大应用。

### 2.4.1 What is "M&E" 什么是"M&E" ( 监测与评估 )

**Monitoring** is an ongoing process of data collection that allows project managers and the communities to examine positive and negative trends and readjust their strategies accordingly. Monitoring focuses on observing the process of project implementation, the related activities and outputs.

**监测:**一个连续的资料收集过程，使得项目经理们和各社区可以检查积极和消极的趋势，并相应地重新调整他们的策略。监测的重点在于观察项目实施的过程、相关活动和输出。

**Evaluation** refers to measuring the project outcomes or impacts of the project. A project evaluation is done by the project management or funding agency to assess whether the project has met its objectives.

**评估:**

指的是衡量项目输出或项目的影响。由项目管理层或出资机构进行一次项目评估，看项目是否已经达到了目的。

In relation to the four stages of the participatory project cycle:

与参与式项目周期的四个阶段的关系：

- ◆ (Participatory) Planning “Where do we want to go?”  
(PP) answers the “我们想往哪里去？（发展方向和目标）？”  
questions: “How will we get there?”  
参与式规划问答：“我们怎么达到那里？”
  
- ◆ (Participatory) M&E “How do we know if we are getting there?”  
(PM&E) answers the (monitoring)  
questions: “我们怎么知道自己正在接近目标？”（监测）  
参与式监测评估问答：“How do we know we got there?” (Evaluation)  
“我们怎么知道自己已经达到目标？”（评估）

A basic premise of PM&E is the acknowledgement that different socio-economic groups will have differing measurements of success and will be affected by a project differently. To allow a more pro-poor focus in project planning, it is essential to seek the views of the various groups within a community. It is therefore essential that through community workshops the scope and design of the PM&E system encompasses the full range of groups in the villages. This links closely to the PPA and PP stages of the participatory project cycle: PPA will identify the different social groups, PP will elucidate their needs and aspirations, and actively seek out their different needs and objectives at the planning stage; PM&E will check whether these objectives have been met.

参与式监测评估的基本前提是承认不同的社会经济群体将对成功有不同的标准，并且不同群体受项目的影响也不同。要让项目计划更关注穷人优先，关键是寻求社区内不同群体的看法。因此，关键是召开社区研讨会，来确定参与式监测评估系统的范围，并设计包括村里所有群体的参与式监测评估系统。这和参与式项目周期的PPA和PP阶段密切相关：PPA将界定出不同的社会群体，PP将阐明他们的需要和志向，并积极地找出他们在计划阶段的不同点；参与式监测评估将检查这些目标是否已经达到。

#### 2.4.2 Why communities should be involved in M&E 社区为什么应该参与M&E

The main purpose of giving project communities an active role in M&E is to enhance the project’s communication and learning for improved performance and long-term

sustainability. Within this general purpose, we need to distinguish between two aspects of participation in M&E within PRCDP:

在M&E中给予项目社区一个积极的角色，其主要目的在于加强项目的沟通和学习，以便提高绩效和长期可持续性。在这个总的宗旨里，我们需要区分PRCDP里“M&E”（监测与评估）参与的两个方面：

- To support self-reflection by communities;  
支持社区自我反省；
- To collect feedback from communities as part of the project M&E.  
从社区收集反馈意见，作为项目“M&E”（监测与评估）的一部分；

### **Supporting self-reflection by project communities**

#### **支持社区自我反省**

Self-reflection will help to build the community's capacity to track the progress of its own development. Data are collected about the progress of activities so that the community can make its own decisions about

自我反省有助于建设社区跟踪自身发展进程的能力。收集关于活动进展情况的数据，以便社区可以自主决定以下内容：

- What is working well;  
什么工作做得好；
- What is not working well; and  
什么工作做得不好；
- How to proceed next.  
下一步怎么办。

Self-reflection means that villagers make their own assessments (without external facilitation) against indicators they set themselves. The monitoring tools will be designed with support from facilitators. Common tools include report cards, which will produce a quantitative score on progress, various PRA tools used without external facilitation (such as pie charts and proportional piling), and community photography (using cheap/disposable cameras from villagers to record good and/or poor progress).

**自我评估**是在村民们对他们自己设置的指标做他们自己的评估时（没有外来的协助）。监测工具可以设计得带有协助者的支持。常用的工具包括报告卡，形成进度的定量评分，没有外部协助的情况下使用的各种PRA工具（比如饼状图和比例柱状图），以及社区摄影（让村民们使用廉价/一次性的相机，记录好的或差的进度）。



## **Integrating feedback from communities into the PRCDP M&E system**

### **将社区的反馈意见整合到PRCDP项目的M&E系统中**

It is important that project beneficiaries are able to participate in the monitoring of project progress and in the evaluation in order to understand whether the project has actually met their needs and had positive impacts on the livelihood and poverty indicators that they consider important.

项目受益人能够参与监测项目进度、评估它是否已经满足了他们的需要，是否对他们认为重要的生计和贫困指数有积极的影响。

Operational procedures will be different for different projects in different communities and for a particular project's M&E. Therefore, this manual does not intend to provide a fixed set of operation procedures for community-level M&E, but to offer a guide on how to promote and embed participation into every step. Although during the course of PM&E of each community, the steps and methods may be different, the methods and steps adopted should not violate the participation principles above.

不同的项目、不同的社区在具体项目监测评估中的操作步骤是不可能一致的，因此，本手册也不是为社区监测评估项目提供一种固定的操作程序，而只是提供一个参考的操作步骤，并将重点放在每个可能涉及的操作步骤中，如何推动和落实参与。而在各个社区参与监测评估项目过程中，步骤可能不同、方式也可能不同，但所采用的方法步骤不应该与上述参与式原则相违背。

### **2.4.3 Participatory and Conventional M&E 参与式监测与评估与传统式监测与评估**

Participatory M&E and conventional M&E have different focal and methodological approaches. Within the PRCDP M&E system they should be combined for a better understanding of different stakeholder groups' perspectives and views on this project.

参与式M&E（监测与评估）与传统M&E（监测与评估）有着不同的重点和方式方法。在PRCDP项目的M&E（监测与评估）体系中，应当将它们结合起来，以便更好地理解本项目不同相关利益群体的观点和看法。

**Box10: Participatory and Conventional Monitoring and Evaluation<sup>15</sup>**  
 参与式及传统的监测与评估方法比较

	<b>Conventional M&amp;E</b> 传统的监测评估	<b>Participatory M&amp;E</b> 参与式监测评估
<b>Who</b> 什么人?	External experts 外来专家	Stakeholders, including communities and project staff; outside facilitator 利益相关者，包括社区和项目人员；外来协助者。
<b>What</b> 什么事?	Predetermined indicators, to measure inputs and outputs 预先确定的指标，以测定输入和输出。	Indicators identified by stakeholders, to measure process as well as outputs or outcomes 利益相关者识别出的指标，以测定过程及输出或结果。
<b>How</b> 怎么做?	Questionnaire surveys, by outside “neutral” evaluators, distanced from project 问卷调查，由远离项目的外来“中立的”评估人员进行。	Simple, qualitative or quantitative methods, by stakeholders themselves 简单、定性或定量的方法，由利益相关者自己进行。
<b>Why</b> 为什么?	To make project and staff accountable to funding agency 使项目和人员对出资机构负责。	To empower stakeholders to take corrective action 授权利益相关者采取正确的行动。

PM&E is especially useful for understanding the project benefits which will be seen in a different way by different stakeholders. Indicators that have been developed by one stakeholder group might not reflect the perceptions of others; also monitoring less tangible aspects of change, like capacity building, will benefit from integrated monitoring at different levels and use of various indicators, methods and data.

PM&E (参与式监测与评估) 对于不同的人以不同的方式来理解项目效益特别有用。由一个相关利益群体开发出来的指标，可能并不能反映其他相关利益群体的体会；另外，对不那么有形的变化的监测，比如能力建设，可以从结合不同层次，使用不同指标、方法和数据的监测中受益。

⇒ **case 19: Different stakeholders use different indicators for assessing a project**  
**案例18: 不同利益相关者采用不同的指标对项目进行分析**

<sup>15</sup> After Narayan (1993)<sup>15</sup>依照纳拉燕 (1993)

#### 2.4.4 Principles of PM&E <sup>16</sup>; PM&E的原则

Participatory M&E is a process to improve the capacities of the households in the community, and to strengthen the social capital within the community. The main aspects and principles of PM&E are:

社区层次的参与主要在社区内部，参与监测评估不仅是为项目管理服务，而且是社区农户能力提高和社区资本建立的过程：PM&E的主要方面和原则：

##### Box 11: Principles of PM&E; 框7: PM&E的原则

<p><b>Participation</b> 参与式</p>	<ul style="list-style-type: none"> <li>■ Local people are active participants-not just sources of information. They choose the indicators and analyse the data.</li> </ul> <p>项目社区应当参与到监测评估的所有方面，包括选定指标和分析数据。当地人是积极的参与者 – 而不仅仅是信息的来源。</p>
<p><b>Discussion &amp; negotiation</b> 讨论及协商</p>	<ul style="list-style-type: none"> <li>■ Project communities and PMOs should discuss, negotiate and agree what will be monitored and evaluated, how and when data will be collected and analysed, what data mean and how findings will be shared and action taken.</li> </ul> <p>项目社区和项目办应当讨论、协商并同意监测及评估什么，如何、在什么时候收集并分析数据，数据是什么意思，如何分享发现结果，并采取行动。</p>
<p><b>Learning &amp; capacity building</b> 学习及能力建设</p>	<ul style="list-style-type: none"> <li>■ Participation and discussion should lead to collective learning. The focus should be on building stakeholder capacity for analysis and problem-solving.</li> </ul> <p>参与和讨论应当引起集体学习。焦点应当是建立利益相关者分析和处理问题的能力。</p>
<p><b>Flexibility</b> 灵活性</p>	<ul style="list-style-type: none"> <li>■ Since the purpose of PM&amp;E is improved learning for improved results, leading to ongoing change, adaptation and better implementation, flexibility is essential. Blueprint approaches to evaluation, in which standard indicators that preset schedule are imposed and held constant to measure change over time, will basically do little to encourage achieving flexible results.</li> </ul> <p>由于参与式监测评估的宗旨是提高学习效果，引起连续的变化、适应</p>

<sup>16</sup> This sub-section section and the next draw upon: ITAD Ltd and Rural Net Associates (2004) *Participatory Monitoring and Evaluation: Documentation to Support Generic Framework*, and *A Trainer's Guide – PM&E*. Reports to the Zambia Social Investment Fund. ZAMSIF and ITAD Ltd.

本节及随后引用的章节：ITAD公司及农村网络副会员（2004）“参与式监测与评估：支持通用框架的文书”，以及“培训教师指南 - 参与式监测评估”。赞比亚社会投资基金报告。赞比亚社会投资基金与ITAD公司。

	<p>能力和更好的执行能力，灵活性就显得很关键了。评估的蓝点方法，事先设置进度的标准指标并保持不变，以测量随着时间而发生的变化，将基本不会鼓励达到灵活的结果。</p>
<p><b>Ownership &amp; appropriate action</b> 所有权与适当的行动</p>	<ul style="list-style-type: none"> <li>■ Communities own the data obtained by their own monitoring, and the data fed back to them by outside monitoring, and are able to take corrective action in implementation, based on their monitoring. Therefore, local stakeholders monitor and evaluate, outsiders facilitate.</li> </ul> <p>社区拥有他们自己监测的数据和外部监测反馈给他们的数据，并能够根据监测采取纠正的行动。因此，本地利益相关者监测并评估，外来者协助。</p>

#### 2.4.5 Main Contents of PM&E; PM&E的主要内容

Regular feedback from communities on their projects will be important for the PRCDP project management to keep track of the implementation process. The PRCDP should establish linkages between community-based monitoring and the computer-based monitoring system, especially on the following areas:

定期获取社区对其项目的反馈意见对PRCDP项目管理、跟踪项目实施进展而言是很重要的。PRCDP应把社区监测和计算机监测系统连接起来，特别是在以下领域：

- **Define Stakeholder, their interests and roles in PM&E**  
明确利益相关者在PM&E中的利益及其角色

Stakeholder workshops should be held during the design phase of the PM&E in each location, to agree aims, indicators and roles and responsibilities. They will involve villagers (representatives from different social groups), village leaders, and township and county PMO and bureau staff as appropriate. This will be facilitated by the PMOs. Further stakeholder workshops should be held periodically for joint discussion of PM&E findings and of any actions needed as a result. Stakeholder workshops should follow existing participatory principles – facilitators should facilitate, not lead, providing maximum opportunities for villagers to be involved and to express their views.

**利益相关者研讨会**应当在参与式监测评估的设计阶段期间，在每个地点举行，以便约定目的、指标、角色及责任。他们将涉及相应的村民（来自不同社会群体的代表）、村领导、乡镇及县项目办，以及各局人员。这将由各项目办协助。应当定期举办进一步的利益相关者研讨会，以便共同讨论参与式监测评估的发现结果，以及结果需要的任何行动

。利益相关者研讨会应当遵守一连串的参与式原则 -  
协助者应当协助，不是领导，为参与的村民提供最大的机会，来表达他们的看法。

**Box 12: Participants and Roles in PM&E; 框8: PM&E参与人员及其角色**

**Villagers:** Participate in monitoring project implementation process and project management, make proposals and opinions about improving project schedule, and evaluate project effects, equity of the project, and degree of care about the poverty households.

**村民：**参与监测项目实施过程和项目管理，为改善项目进展提出建议和意见，评估项目的效果、项目的公平性和对贫困户的关注程度。

**Staff of Implementation Management Group:** Organize villager's meetings, promptly inform the villagers and facilitator project progress and problems, publish such information as farmers' input of labor, raise of funds, and use of money, and monitor construction quality.

**实施管理小组的人员：**组织村民会议，及时向村民和协调员者通报项目进度和遇见问题，公布农户投劳、集资情况和资金使用情况，监测施工质量。

**Technicians:** Mainly monitor the project from technical aspect, provide opinions and suggestions, and accept the project.

**技术人员：**主要从技术层面监测项目，提供意见和建议，验收项目

**Facilitator:** Directly participate in monitoring, assist farmers in logging their monitoring results, erecting platforms for different groups to share their opinions, organize sharing monitoring results, jointly analyze and evaluate project progress, and jointly adjust project implementation plan. Take note of the monitoring process, write monitoring reports, organize the evaluation and acceptance process, and summarize experiences in evaluation and acceptance.

**协调员：**直接参与监测、协助农户记录他们的监测结果，搭建分享不同人群交流的平台，组织监测结果的分享，共同分析评价项目进展，共同调整项目实施计划。记录监测过程，撰写监测报告，组织评估验收过程，归纳总结评估验收经验

- **Selection of indicators and collection of monitoring information:** Together with project communities, the townships can identify the areas which are critical for a successful project implementation and therefore need to be carefully monitored.

指标的选择与监测信息的收集：这主要是在前期可行性研究阶段，通过与试点社区农户共同工作而得到的，但这类指标应有普遍意义，适用于大面积社区的监测。根据宏观监测系统建立的指标，各个社区农户提供满足宏观管理要求的资料和信息。

Monitoring of M&E indicators can be significantly improved if the community participates actively in this process.

如果社区积极参与这个过程，M&E指标的监测便可以得到大大提高。

⇒ **Practical Example 10: How to monitor indicators together with communities** 实例10: 如何同社区共同监测相关指标

Feedback from communities on the implementation can provide very important information on possible bottlenecks and problems which might require an adjustment of the project design and schedule.

社区的实施反馈能就可能产生的瓶颈和问题提供重大信息，从而可以对项目的设计和计划做出调整。

⇒ **case 21: Different Communities Choose Different Means of Implementation:**  
**案例: 不同社区选择不同的实施方式**

Regular sharing and exchange of information on the implementation process should provide the base for improved planning and action in PRCDP. Facilitators and technical staff directly involved in the project implementation will have an important role in documenting the process and feeding back information to the project management.

**定期交流有关实施过程的信息是改善PRCDP项目规划和行动的基础。直接参与项目实施的协调员和技术人员将在记录项目流程、为项目管理提供反馈信息方面起重要作用。**

**Box 13: Annual in-village evaluation of agriculture component; 框10: 农业子项目的年度村内评估**

Since agriculture has an annual cycle, annual evaluation meetings are a useful way to organize participatory discussion of activities of the past year, evaluate their outcome, and prepare activities for the coming year. A technician from outside the village or township should attend so that villagers can compare the situation of their village with the situation of other villages.

由于农业有一个年度周期，召开年度评估会议是一种有用的方式，可以组织对上年活动的参与式讨论，评估他们的结果，并为下一年的活动做准备。应当有一名来自外村或外乡的技术人员参加会议，这样村民们就可以将他们村的情况和其它村的情况做比较。

- **Sharing and owning monitoring information to increase transparency:** feed back the information obtained from monitoring to the community by proper means, and publish it in the community.

**分享和拥有监测信息：**将监测获取的信息，以适当的方式反馈到社区，并在社区公开

。

⇒ **Box 8: Community monitoring of enterprise contracts: 框8: 社区对企业合同的监测**

**Box 14: Transparency and Monitoring of Use of Project Loans;** 框11:  
项目贷款的透明度和监测使用

**In-village monitoring of household financial support:**

**农户贷款扶持的村内监测：**

Many poverty reduction projects have put in place effective measures to ensure transparency in the allocation and in-village monitoring of the financial support that households receive from the project. These measures include:

很多扶贫项目都已经准备了有效的措施，保证拨款的透明度，以及对农户从项目收到的贷款支持进行村内监测。这些措施包括：

- keeping a copy at the village committee office of financial support allocated.  
在村委会保留一份分配贷款的文件。
- posting name lists of financial support allocated.  
张贴贷款分配的名单。

A **computerized system** will be put in place at township level to monitor household financial support. Villages should regularly receive print-outs from the computerized system. They should pay attention to the following:

将在乡镇一级准备一个**计算机系统**，监测农户的贷款扶持。各村都应当定期地收到计算机系统的打印文稿。他们应当注意以下几点：

- Monitoring requires two types of print-outs from the computerized system: annual allocations with amount per household, and record of allocations to individual households since the beginning of the project.  
监测需要两种计算机打印文稿：有每户拨款金额的年度拨款表，以及自项目开始以来，每个农户的拨款记录。
- For easier monitoring, the computer print-outs should be sorted by natural villages and by poor/non poor households.  
为了便于监测，计算机打印文稿应按自然村和贫困/非贫困农户分类显示。

- **Final project evaluation:** upon completion of project, the community households should do an evaluating of the project process, project management, the technical services and support provided by the project, the effects and influences of the project.

**参与评估和验收项目：**社区农户在项目结束时，参与评价项目的过程、项目管理、项目提供的技术服务和支持、项目的效果和项目的影响。



**Joint assessments** involve project facilitators (from township and county) working in collaboration with villagers to undertake M&E. There are two main types of tool used in joint assessments:

**联合评估**是在（来自乡镇及县的）项目协助者与村民们协作，开展M&E。在联合评估中，有两种主要的工具在使用：

- ◆ PRA-type tools: This includes the normal range of PRA tools. There is strong emphasis on using visual tools, such as diagramming, mapping, ranking, trend analysis, etc.
- ◆ PRA型工具：  
这包括普通的一套PRA工具。强烈地强调使用视觉工具，比如图表、绘图、分级、趋势分析等等。
- ◆ Beneficiary assessments: These assessments draw on two standard techniques: participant observation and focus-group discussion. Experienced facilitators can obtain villagers' views on different indicators, often using checklists to guide their interviewing. These tools produce qualitative data.
- ◆ 受益人评估：  
这些评估利用两种标准技术：参与者观察及目标群体讨论。有经验的协助者能够获得村民们对不同指标的看法，通常使用检查清单来指导他们的访谈。这些工具形成定性数据。

Project evaluation needs to put special emphasis on assessing how different groups are participating in the process.

分析不同的小组是如何参与项目过程的，这一点需要项目评估特别注意。

⇒ **case 22: Project Evaluation Report of Yandong Sub-village, Xiatang Village, Xianan Township, Huanjiang Maonan Nationality Autonomous County;** 案例：环江毛南族自治县下南乡下塘村严洞屯; 项目评估报告

#### **2.4.6 How to Do PM&E with Communities: Practical Steps and Tools** **社区层次参与式监测评估的操作步骤和相关工具**

Implementing community-level PM&E is not only an internal community activity, but it also needs the active support from the facilitators. Therefore, before starting the activities, preparation is needed in two areas:

开展社区层次的参与式监测评估，不只是社区内部自己的事，同时需要协助者有力的支持，因此，开始行动之前，需要做好以下两方面工作：

- Training of a cadre of facilitators  
培训协调员干部队伍
- Community level workshops to agree the scope, design and responsibilities for the PM&E system

社区级研讨会，以便约定参与式监测评估系统的范围、设计及责任

Establishing a PM&E system can be seen as a sort of mini-project in its own right: There needs to be planning of the system, implementation (use) of the system, and review of the findings, leading to corrective actions: These are the recommended main steps, a detailed guideline is included in the Annex.

建立一个参与式监测评估系统可以视为一种自成一体的小项目：需要计划该系统，执行该系统，并回顾发现结果，引出改正措施：这是推荐的主要步骤，具体指导见附件。

⇒ **Practical Guideline 3: How to develop a system for community self-monitoring** 实例3:如何开发社区自我监测系统

### Step 1: Establish a work structure for PM&E

#### 第1步：建立PM&E工作架构

As a first step, the community needs to decide who should do what in PM&E and determine responsibilities and staff.

第一步，社区需要决定由谁来完成PM&E中的哪一部分、各自的职责和人员配备。

There are no full-time people available in the community to conduct M&E, and they will mainly depend on the management staff of implementation group elected by farmers to conduct monitoring. In addition to this group, all the farmers will participate in monitoring, reflecting their opinions and suggestions to the implementation group via members of the implementation groups. Specific responsibilities of the implementation group in monitoring include:

社区内并没有专门的人员进行监测和评估，主要依靠农户选举出来的实施小组管理人员进行监测，同时，所有农户都参与监测，并将他们的意见和建议向实施小组反映，通过实施小组人员向协调员反映，以便调整项目计划或活动。具体的监测活动包括：

1. To regularly post circulars about contribution of labors, revenues and expenditures of the project money;  
实施小组定期地张榜公布项目的投劳出工情况和项目资金收支情况。
2. Under the assistance of the technicians and facilitators, to monitor the quality and progress of the project;  
实施小组成员在技术人员和协调员协助下监督工程质量和进度。
3. To call for villagers' meetings to discuss about problems and solutions during the course of project implementation.

实施小组召开村民会议讨论项目进展过程中的问题和解决的办法；

As an important precondition, a decision needs to be made on how the target social groups will be represented in meetings. Will they select their own representatives for the purpose of PM&E, opt to use existing village or group leaders, or choose some other method of representation?

需要确定在各种会议中代表目标群体的利益是如何体现的

例如推选自己的代表参与监测评估，选择沿用现有的村级或小组领导，还是其它一些选

择？

## Step 2: Identify areas and issues which should be monitored

第2步：确定监测领域和事项

In the beginning, the community needs to develop a clear understanding on which areas or issues they feel are important and which need to be monitored during implementation and what kind of changes they expect to happen under this project. For this, the community needs to refer to the initial PP documents.

从一开始，社区就需要开发出清晰的思路，明确哪些领域或事项是他们认为最重要的，哪些需要在实施过程中予以监测，他们期望这个项目能带领哪些变化。为此，社区需要查阅起初的PP文件。

Communities can only be confident that their monitoring will give a true picture of the progress they have made if they are able to compare the information that was gathered in the initial PP workshop with the information that is gathered through PM&E. Therefore, the facilitator should encourage the PM&E committee to keep copies of all of the material (e.g. maps, diagrams, interview notes) that was created during the initial PP workshop from the very beginning.

只有他们能够将起初的PP（参与式计划）研讨会上收集到的资料与PM&E（参与式监测与评估）过程中收集到的资料进行比较，各社区才可以确信他们的PM&E（参与式监测与评估）能够真实地反映他们已经取得的进步。因此，协调员应当鼓励PM&E（参与式监测与评估）保证保存起初的PP（参与式计划）研讨会上产生的所有资料（比如地图、图表、访谈记录）。

## Step 3: Facilitate the development of indicators by the communities

第3步：协助社区开发各项指标

The concept of “indicators” as such is abstract and not easily understood by farmers. Therefore, the facilitators will need to be very sensitive in facilitating the process of condensing the complex perceptions, values and views given by the farmers into indicators which could be used to describe the project progress and changes occurring through this project. The facilitators also need to pay attention to indigenous means of expression, such as songs, to identify the areas and dimensions of change that communities find important.

“指标”一词非常抽象，农民很难理解。我们经常要把农民复杂的概念、价值和观点提炼成可用于描述项目进展与变化的指标。因此，在这个过程中，协调员要特别小心。

协调员还要特别留意当地表达方式，比如歌曲，以此确定社区认为重要的变革领域和区域。

⇒ **case 8: The impact of PP on the local community: A song from Zhiwen Village, Guangxi;**

**案例：PP对当地社区的影响：志文村之歌**

Developing indicators on the more tangible aspects of the project such as inputs and outputs is comparatively straightforward and therefore easier.

要开发诸如输入和输出等有关项目具体面的指标相对来说更为直截了当、也因而比较容易。

⇒ **Practical Example 8: Indicators for Measuring Project Inputs, developed by Communities**

实例8: 由社区开发的检测项目输入的指标

⇒ **Practical Example 9: Indicators for Measuring Project Outputs and Outcomes, developed by Communities**

实例9: 由社区开发的检测项目输出的指标

#### **Step 4: Plan – who, what, and how of PM&E**

第4步：计划 - 参与式监测评估的什么人、什么事及怎么办

Communities should prepare their own PM&E plan, specifying the indicators they want to monitor, the methods to collect this information as well as responsibilities and deadlines. PM&E is a continuous process, and not a one-time event. During the PM&E planning workshop, the facilitator and the community work together to come up with a list of indicators which can be monitored on a regular basis by the community members. The PM&E committee is responsible for ensuring that this monitoring takes place.

PM&E是一个连续的过程，而不是一个一次性的事件。在PM&E工作研讨会上，协调员和社区共同开发出一个指标的清单来，可以由社区成员定期监测。PM&E委员会负责确保这种监测得以进行。

⇒ **Practical Example 2: PM&E Plan 实例6: PM&E计划**

#### **Step 5: Do the PM&E– collect information**

第5步：PM&E实做 – 收集信息

The same participatory techniques used during the PPA/PP can be used for PM&E. There is no set formula for which tools to use for PM&E. Each community project will be different and will require different data to be collected. Below are examples of how to use the tools:

PPA/PP过程中使用过的参与式技巧，也同样可以用于PM&E。对于PM&E该用什么工具，没有固定的模式。每一个社区项目都有所不同，都要求收集不同的数据。以下是如何使用工具的实例。

#### **Box 15: Tools for PM&E<sup>17</sup>; PM&E工具**

##### **Mapping 构图**

- How many households have participated in the project activities

<sup>17</sup> Source: *Empowering Communities*; 资料来源：授权社区

- How many people have used the new health or education services
- Reductions or increases in disease patterns
- The percentage of girls enrolled in school
- 有多少户人家参与了项目活动
- 有多少人使用了新的卫生或教育服务
- 疾病模式的减少或增加
- 适龄女童入学率

#### **Diagramming 图表**

- Venn diagram to illustrate which projects have been most useful
- Venn diagram to illustrate new collaborations between organizations as a result of the project
- Flow diagrams to show the progress of the project implementation
- Flow diagrams to show how the project has affected the community in other ways
- 用VENN图表来演示那些项目最有用
- 用VENN图表来演示作为项目的结果，组织之间新的协作
- 用流程图来表示项目实施进展情况；
- 用流程图来显示项目是如何以其它方式影响社区的

#### **Ranking/Scoring 评定/打分**

- Using matrix scoring to compare successful projects with unsuccessful projects according to various criteria (e.g. number of people who contributed labour, amount of external resources obtained, number of times the community met to work on the project)
- 根据各种标准（比如投工投劳人次、获得的外部资源、社区就项目工作会议召开的次数），用矩阵打分来比较成功的项目和不成功的项目。

#### **Semi Structured Interview 半结构访谈**

- Discussions with community members about their perceptions of the project's success
- Discussions about problems with project implementation
- Discussions about the direct and indirect effects of the project on the lives of community members
- 与社区成员讨论他们对项目是否成功的看法
- 讨论项目实施的问题
- 讨论项目对社区成员生活的直接和间接影响

#### **Pie Charts 饼状图**

- Illustration of the increases or decreases in the percentage of people engaging in health-related behaviours
- 演示从事与健康有关的行为的人的百分比增长或降低情况

Many communities are not used to carrying out written documentation or even visualisation. For them oral traditions or songs are powerful means for recording and reflecting important events. 许多社区还不习惯采用书面材料，有些甚至连可视材料也不用。对他们而言，口口相传或歌曲是记录和反映重大事件的有力方法。

⇒ case 8: The impact of PP on the local community: A song from Zhiwen Village, Guangxi;

案例：PP对当地社区的影响:志文村之歌

## Step 6: Review PM&E information– analyse & act

### 第6步：PM&E信息回顾 – 分析及行动

Based on the PM&E information, the community, together with the facilitators, needs to review the process of implementation and adjust it, when necessary.

根据PM&E信息，社区与协调员一道，需要对实施过程进行回顾并视情况进行调整。

In the case included in the annexes, the community found during the course of implementation that the contributions of labor went beyond their capacity and therefore decided to adjust the quantity of labor contribution and prolong the construction period.

在实施过程中，当农户的投劳超过他们能够承受的范围时，调整投劳数量和延长施工时间是他们容易作出的选择。

⇒ case 20: Adjusting Project Objectives Based on Availability of Labors;

案例：根据劳力调整项目目标

## 2.4.7 Indicators for Assessing the Quality of PM&E; PM&E质量评估指标

The steps in designing and operating a PM&E system will basically be the same in each project location. However, the combination of methods (e.g. how much facilitated PRA compared to self-assessment) and selection of tools within each method will differ from place to place. This is because there are different social groups in each location, and different levels of objectives and therefore the associated indicators will differ from place to place. Nonetheless, there are a certain set of standards if the PM&E is to be done well and to be useful to all stakeholders.

每个项目点的参与式监测评估系统设计及操作步骤基本是一样的。然而，方法的组合（比如有协助的PRA与自我评估相比有多少），以及每种方法里的工具选择将因地而异。

这是因为每个地方都有不同的社会群体，而且较低层次的目标和相关指标都将因地而异。尽管如此，如果参与式监测评估要做好，并对所有的利益相关者有用，还是有必须有一些基本的标准。

PM&E aims at strengthening the community capacities for learning and action; it also functions as a forum for sharing views and lessons within the community. For assessing whether a PM&E system is working well and serving to these purposes, the following indicators are recommended for use by the project management.

PM&E旨在强化社区学习与行动的能力；它还作为社区内分享看法和教训的论坛。对于评估一个PM&E（参与式监测与评估）体系是否工作良好，并满足这些目的，建议采用以下指标：

<b>Indicators</b> <b>指标</b>	<b>How to monitor the Indicators</b> <b>如何监测指标</b>
<p>The poor, ethnic minorities and women are actively involved in all community level PM&amp;E activities as target groups, and have their voices heard and choices recognized.</p> <p>在所有的社区级参与式监测评估活动中，穷人、少数民族和妇女作为目标群体都积极参与，他们的声音能让别人听到，他们的选择得到别人认可。</p>	<p>From project documents, videos etc. it should be evident that target groups have been actively involved in the PM&amp;E system.</p> <p>一旦被问到，目标群体的人应当对他们在参与式监测评估系统中的发言权和选择权感到满意。</p>
<p>While integrating community-level PM&amp;E information into the macro M&amp;E system, we should not neglect differences of different communities.</p> <p>在将社区层次参与式监测评估信息整合和到宏观监测评估系统时，不应该只是关注共性信息而忽视各个社区的差异。</p>	<p>Diversity of indicators, monitoring methods and documentation.</p> <p>指标、监测方法和文件多种多样。</p>
<p>The quality of facilitation and training should reach a high standard which enables a community-wide understanding on what is being monitored</p> <p>协助和培训的质量应当达到一个高标准。</p>	<p>Interviews with the community, selected households, including the poorest households, and marginal groups, including ethnic minorities and women.</p> <p>When consulted, these groups can explain the changes between the project plan and actual course of implementation, why they occurred, and how the community handled it. What is reported to the Project Office, and what is handled by the community?</p> <p>对社区、特定农户的访问，包括最贫困农户以及由少数民族和妇女等组成的边缘化人群。</p> <p>一旦被问到，目标群体能够说出项目计划和实际实施过程中有什么变化，为什么？社区如何应对。哪些东西反映到项目办，哪些是他们自己处理。</p>
<p>Indicators developed by the communities are locally relevant, cultural appropriate and gender sensitive.</p>	<p>Review indicators, based on the documentation. During field visits, get feedback from the communities on what they find important and what they are monitoring.</p>

<b>Indicators</b> <b>指标</b>	<b>How to monitor the Indicators</b> <b>如何监测指标</b>
<p>社区开发的指标是符合当地文化特色并有性别意识的。</p>	<p>根据记录对指标进行审议；在实地走访期间，征求社区的意见，了解他们认为重要的是什么，他们看到了什么。</p>
<p>The community is encouraged and enabled to use different methods for monitoring indicators, which include culturally appropriate and gender sensitive methods (like visualization, songs etc.)</p> <p>鼓励社区采用不同方法对指标进行监测，包括文化适应性、性别敏感性等方法（用可视手段、歌曲等）</p>	<p>Refer to the documentation available in the community</p> <p>参阅社区已有的记录</p> <p>During field visits, get feedback from the communities on how they are monitoring.</p> <p>在实地走访过程中，征求社区的意见，了解他们是怎样开展监测的。</p>
<p>PM&amp;E findings and recommendations for corrective action are extensively disseminated</p> <p>参与式监测评估发现结果和纠正行动的建议被广泛传播。</p>	<p>When questioned, those who are not active members of the PM&amp;E group should be able to say what the findings are</p> <p>一旦有人问起，那些不是参与式监测评估小组积极成员的人应当能够说出发现结果是什么</p>
<p>The village maintains a complete documentation on the implementation process (especially on the participation process)</p> <p>村级项目实施过程（特别是参与的过程）全程记录</p>	<p>Field visit to review availability and quality of documentation.</p> <p>实地走访，审查记录的有效性和质量</p>
<p>Villagers feel free to express their views when the facilitators are using different PM&amp;E tools</p> <p>协调员在使用不同的PM&amp;E工具时，村民感到能方便、自由表达他们的看法</p>	<p>When questioned, the villagers can explain what methods are used to discuss what issues, and what the results are.</p> <p>一旦有人问起，村民能说出用什么方法讨论什么问题。结果是什么。</p>
<p>PM&amp;E findings should be useful (for project implementation and management) at the township and village levels.</p> <p>参与式监测评估发现结果应当对乡镇及村级（项目实施和管理）有用</p>	<p>When questioned, villager and township staff should be able to explain what corrective actions have been taken as a result of PM&amp;E findings.</p> <p>一旦有人问起，村级及乡镇人员应当能够解释作为参与式监测评估发现的结果，采取了哪些纠正行动</p>



Indicators 指标	How to monitor the Indicators 如何监测指标
◦	◦
PM&E should be part of the overall M&E system. 参与式监测评估应当是整体监测评估系统的一部分。	When questioned, senior officers should be able to explain how PM&E is integrated into the overall system, what information originated from PM&E, and what corrective actions have been taken based on result of PM&E findings. 一旦有人问起，高级官员应当能够解释参与式监测评估是如何整合到整个系统中去的，哪些信息来源于参与式监测，以及根据参与式监测评估发现的结果，采取了哪些纠正行动。

### 2.4.8 Checklist for Assessing PM&E; PM&E分析调查表

The following checklist summarises the minimum requirements on PM&E and will be used by supervision.

下表总结了PM&E的最低要求并可用于监管。

#### Checklist on Participatory Monitoring

##### 参与式监测

For multi-ethnic communities: Have indicators been developed incorporating the views of different ethnic minorities? Do different minority groups, and especially small ethnic minority groups, within the community participate in the monitoring process?

对于多民族聚居的社区：是否已经开发出了融合不同民族观点的指标？社区内不同的少数民族，特别是那些小少数民族，是否参与了监测过程？

Have indicators been developed incorporating the views of the poorest and remotest natural villages within the administrative village? Do they actively participate in the monitoring process?

是否已经开发出了融合行政村内最边远、最贫困自然村观点的指标？他们是否积极地参与监测过程？

Have indicators been developed incorporating the views of women? Do they actively participate in the monitoring process?

是否已经开发出了融合妇女观点的指标？她们是否积极地参与监测过程？

Have indicators been developed incorporating the views of the poorest households? Are they actively involved in the monitoring process?

是否已经开发出了融合最贫困户观点的指标？他们是否积极地参与监测过程？

Do households in the community regularly feedback their opinions and assessments of the project to the project implementation group and are those reflected to the project management at higher levels (township, county)

在项目社区，农户是否能够经常将他们对项目的意见和评价反馈给村（屯）项目实施小组？这些意见和评价是否有渠道反映到更高的项目管理层，例如，乡、县项目办？

## 2.5 Annexes Chapter 2 第2章附件

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**case 1: Natural Village Grouping on Poverty in Gaowen Village, Hongshui Township, Rongshui County, Guangxi province; 案例：广西融水县红水乡高文村贫困屯（自然村）分组**

Gaowen village contains seven natural villages with 798 households. To identify the poorest natural villages in Gaowen village, the villagers' representatives from those seven natural villages discussed and decided the criteria for poverty grouping at natural village level, including ownership of shops, motorbikes, cell phones, colour TVs, and houses. These became the basis for the villagers' reps to prioritize the natural villages according to their situation of poverty:

高文村是一个有着798户的大村，分为七个自然屯。为在这七个自然屯中选出最具有贫困代表性的社区，项目工作小组同村民代表和村干部讨论，由村民代表根据本村的实际情况讨论确定了本村的贫困标准，包括农户在小商店、摩托车、手机、彩电和居民住房等方面的情况，然后根据这些标准以村民代表大会的形式由村民代表对全村不同自然屯的贫困状况进行了排序，各自然屯的贫困情况与排序情况如下：

Criteria Natural Village 贫困标准 社区名称	No of HH 户数	No of Moto-bikes 拥有摩托车 (辆)	No of cell phones 拥有手机(部)	No of colour TVs 拥有彩电(台)	No of Shops 拥有小商店 (个)	No of Houses 户均拥有率 (%)	Scored 综合评价 排序
Zheng Gu Ben 振古泵	181	10	2	50	7	38.1	4
Shang Xia Yan 上下研	124	3	1	10	3	13.7	7
Feng Tong 分同	92	11	2	30	10	58.7	3
Gui Li 归利	153	5	4	60	9	84.8	1
Mang Yu 盲育	93	2	2	11	1	17.2	6
You Jie 友结	90	12	3	10	8	36.7	5
Jia Lin 加林	65	0	5	40	2	72.3	2

So "Shang Xia Yan, Mang Yu and You Jie" (Miao language), the ones scoring the lowest, have been identified as the poorest natural villages in Gaowen Village, and as the focus community for PRCDP support.

大家将得分最少的“上下研”、“盲育”和“友结”（苗语）三个自然屯确定为高文村最为贫困的自然村，作为PRCDP项目支持的重点社区。

(Source: Mr.Jia Zhibin, Rongshui County, Guangxi province)

案例提供：贾志彬，广西壮族自治区融水县）

**case 2: Poverty Grouping Process, 案例：贫困分组操作过程, Changning County, Yunnan Province**

Ordering of households by poverty group is arrived at based on local people's perceptions and judgements, using comprehensive indicators of production and living standards such as levels of income, and sources of income. First, organize the villagers' reps, using different means of communication suitable for the local people (such as popular customs, etc.), and integrate the planning team with the villagers as a whole. Then give the villagers the cards and pens prepared beforehand, and let the villagers write the names of all the householders in the entire village on the card. The facilitators then, based on the conditions of the local households (capacity to output priority results), write on a large sheet of paper words such as better-off HH, normal HH, poor HH, and difficult HH, etc., making it easy for the farmers to understand, which will help maintain their dignity and confidence. Then, let the villagers' reps divide the cards into several groups, and keep dividing up and sorting, until they have finished. The order of the divided cards will be the sequence of poverty of poor households in the villagers' groups under planning. Then record the sequence of households which will form the basis for sampling in the next step.

贫困户分类排序是根据不同农户收入水平和经济来源等生产、生活综合指标，通过知情人的感性认识判断而产生出的一种序列形式，首先将村民代表组织起来，利用各种适合当地群众的沟通方式（可利用民族习惯等），将规划团队与村民溶为一个整体。然后，将事先准备好的卡片及笔交给村民，让村民将其全村的户主姓名写在卡片上，协调员用大纸根据当地农户的情况（能产出排序结果的能力），写出生活条件好的农户、生活条件一般的农户、生活条件差的农户及生活困难的农户字样，采用简单朴实的语言，使农民群众一看就懂，一目了然，维护了农户的自尊心和自信心。先让村民代表将卡片划分为几个部分，然后再将已划分的部分再划分，以次划分下去，只到划分完为止。通过这样划分出来的卡片序列就是要规划村民小组贫困户贫困序列。将其记录下来，作为下一步抽样的依据。

Source: Yang De, Zhao Liang, Ru Tao (Changning County, Yunnan Province)

案例提供：杨德、赵良、汝涛（云南省昌宁县）



**case 3: Poverty grouping at household level in Dongling village, Banlan Township, Rongan county, Guangxi province; 案例2：广西区融安县板榄镇东岭贫困户分组**

First, we organized a village meeting and all villagers were invited, including a certain percentage of women and old people and children. After explaining the content and purpose of PRCDP and methodology of poverty grouping, we started the poverty grouping following these steps:

首先我们通过村屯干部组织召开村民大会，并要求该屯全体村民尽可能都参加，特别是妇女、老人和儿童参与的人数要占有一定的比例。然后由项目协调员向参与者简单介绍和解释PRCDP项目的内容、目的及贫困分类排序操作方法，之后开始进行分类排序。具体步骤如下：

- Listing the households: inviting two local villagers to write down the list of households in the villages;

编写户主名单：邀请该屯2位村民主持这个过程，用彩笔在大纸上列出该屯所有农户的户主；

- Preparing poverty household grouping table: each household was classified on the basis of three poverty groups: poorest, poor and normal to indicate relative poverty conditions;

编制贫困农户分类表：根据该屯实际情况把贫富状况划分为三个类型，即：特困户、贫困户、普通户，解释三种状态的基本意义是显示相对贫困状态；

- Poverty household grouping: all villagers I determined the poverty situation of all households one by one using corn seeds or beans as the visual medium;

进行贫困分类：根据该屯户数的数量发给每位参与者相应的玉米（或黄豆）粒数，让参与者在所认定的每个农户的贫困类型栏中投放一粒；

- Calculation: The total number of corn seeds/beans of each household was its final score, and the households with the most corn seeds/beans were categorised as 'better off', and so on for all the household types. Thus we got the poverty status of all the villagers in the sub-village generally accepted by all the villagers, and the households grouped by level of poverty.

统计确认：在所有参与者完成玉米投放后，立即对投票结果进行统计。在每个农户的三个类型栏中得到的玉米数最多，即确定为该类型农户，至此得出该屯各村民被村民认可的贫困状态，以及贫困的分类地位。

**Source:** Mr. Pan Rixi, Rongan County, Guangxi Province

( 案例提供：潘日希，广西融安县 )



**case 4: Seasonal poverty and trend analysis in Jindai village, Tongle Township, Sanjiang County, Guangxi province: 案例：广西区三江县同乐乡净代村贫困年度和季节变化参与分析**

First a community meeting was convened including village cadres, old people's associations, male and female representatives of poor households (disadvantages groups). Attending were 8 people from old people's associations (one person from each natural village), 17 womens' reps (a village women's federation director, and two women from each natural village), and 41 male reps (5 village cadres, 1 leader of each group and 2 people from each natural village). Given the length of time needed to analyze the topic, children were not specifically invited. However, when the meeting started, as many as 81 children and local people attended voluntarily Project facilitators then encouraged the villagers' reps to identify the factors affecting poverty over the different seasons and years and to discuss these. The factors they proposed from their analysis were: poor crop yields, limited income/cash generation, diseases, education, healthcare, high prices, borrowing, agricultural expenses, transportation expenses, electricity bills, marriages, weddings and funerals, natural disasters, and so on. Then, all participants were divided into two groups: men and women After discussion in their separate groups, the men's and women's groups scored the specific poverty indicators using local rice grains to represent "votes", keeping in mind different years and different seasons. The scores indicate degree of poverty.. From this, annual and seasonal changes in specific poverty indicators and thus in the overall patterns of community poverty were identified and represented on a diagram.

Our experience: Need to be careful of understanding features of (annual and seasonal) poverty of different levels and genders/groups)

首先召开村民代表大会，要求到会的人员有村干部、老人协会、贫困户、特困户（弱势群体）的男、女代表。其中老人协会8人（每个自然屯1人），妇女代表17人（村妇女主任1人，每个自然屯2人），男代表41人（村干部5人，各小组长1人，每自然屯2人），由于考虑到分析的主题年度跨越时间较长，不再邀请儿童参加。但在开会时候，还是有一些儿童或部分群众趁热闹自觉参与到场，会上人数达81人。然后，项目协调员让村民代表提出影响贫困的因素有哪些指标，让他们进行讨论，最后他们在分析中提出的因素有：农作物收成、现金收入、疾病、教育、医疗卫生、价格、借款、农事支出、交通费用、用电、婚姻、红白喜事、自然灾害等，接着我们把参加会议人员分成男女两个小组对这些指标使用当地生产的稻谷作为“选票”对这些贫困在不同年代和不同月份中的表现进行大致的“打分”，数量的多少表明该贫困指标的程度，这样就可以看出某个具体贫困指标的年度变化以及季节变化，从而发现社区贫困在具体指标上的年度表现和季节表现，并可形成变化图。

经验：一定要注意了解不同层次和不同性别/群体在贫困方面的（年度和季节）变化特点

。

(Sources: Mr.Liang Yiran, Sanjiang County, Guangxi province)

案例提供：梁治然（广西区三江县）

**case 5: Vulnerability analysis in Jindai village, Tongle Township, Sanjiang County, Guangxi Province; 案例：广西壮族自治区三江侗族自治县同乐乡净代村贫困脆弱性分析**

First, county and township facilitators visited all natural villages to observe local habitats, ownership of resources (including economic forestlands, water resources, etc.), and understand the local customs and practices. We organized local villagers and facilitated in-depth discussions on "what do they understand about poverty, what do they think about the government's criteria of poverty, and what factors are making poverty worse". In this way, everybody gained a fairly comprehensive understanding of the vulnerability of the community, and villagers were facilitated to map these factors, thereby deepening this understanding. We normally conducted the entire process in the form of making oil tea in a certain poverty household, since it is the most popular form of gathering for the local people, which is highly participatory.

首先，县乡项目协调员分别到各屯观察当地的生活环境、资源拥有量（含经济林地、水资源等），了解当地的生活风俗习惯，并对部分贫（特）困户进行访谈，然后召集大家在一起讨论，询问村民对贫困如何理解、对政府划分贫困标准有何看法，加重贫困的因素有哪些等？这样大家对加剧贫困的因素和减缓贫困的因素都有了比较全面的理解，并初步确定了哪些是最为关键的因素，从而对当地社区贫困的脆弱性有了比较全面的了解，并将这些因素让村民以图的形式表现出来，使加深了社区对自身贫困脆弱性特点的了解和认识。整个过程我们一般是在某个贫困户家以打油茶的方式进行，因为打油茶是当地群众最为习惯的聚会形式，参与性很高。

**Our experience:** Try to arrange the meeting in a traditional way which local villagers would appreciate; use local language so that villagers can participate in the process easily, and express their true feelings, which is very helpful for group activities such as poverty vulnerability analysis.

经验：利用当地最喜欢的聚会方式召集群众讨论问题，并以当地的语言对群众进行交流很容易使村民参与进来并很容易表达他们的真实想法，这对于贫困脆弱性分析这类群体性活动很有帮助。

**Suggestion:** Since most women in Jindai Village do not speak Mandarin, and cannot read or write, and it is inappropriate to discuss sensitive issues like physical problems of women in an official meeting of men and women mixed, it would be better to have some female facilitators at county and township levels.

建议：由于净代村的妇女大部分人不懂汉语，也不认识字，加上男女群众同在一起座谈，一些比较敏感的问题例如妇女的生理方面的问题不方便讨论，建议最好县、乡协调员有一些女协调员参与为好。

**Source:** Mr.Liang Yiran, Sanjiang County, Guangxi province

案例提供：梁治然（广西区三江侗族自治县）

**case 6: The selection of villagers' representatives for community meeting in Jindai village, Tongle Township, Sanjiang County, Guangxi province:**  
**案例：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会代表的选择**

On 18 January 2004, the county and township project facilitators organized a villagers' representatives' meeting in Jindai village, Tongle Township. To ensure selection of villagers' representatives truly representative of different social groups, we adopted the following method:

2004年1月18日，县乡项目协调员在同乐乡净代村组织召开了社区代表大会。为保证会议代表尽量真正代表不同的社会群体，我们采取了下列方法。

- First, chose representatives from an old people's association, since this is a local civic organization, and its members have certain social experiences, and know the local history very well, they are fairly authoritative in the local community. The representative should be recommended by the Old People's Association.

一是从老人协会选择代表，因为老人协会是当地的一个民间组织，其成员有一定的社会经历，对当地历史发生的事了解得非常清楚，在当地具有相当的威信和声誉，但具体的一名代表由老人协会自己推荐产生；

- Secondly, confirm the leaders of the villagers' groups as delegates for the meetings, since they have been directly elected by the villagers, and are highly representative of the local people.

二是确定各村民小组的组长为会议代表，因各村民小组长都是由村民直接选举产生的，具有很高的群众代表性；

- Thirdly, select 2 men and 2 women separately from the poor households and poorest households as determined by participatory poverty grouping, and 1 man and 1 woman from the other disadvantaged groups (those living furthest away). These people will be chosen by random sampling from the corresponding groups.

三是从参与式贫困分组中确定的贫困户和特困户群体中分别选择男女个各2人，以及从其它弱势群体（居住分散的）中选择男女个各1人，这些人员由县乡协调员在对应群体中随机抽样产生。

Such a meeting basically represented the perspectives and priorities on poverty of community members of different genders, ages, social and educational backgrounds.

这样的会议基本代表了社区不同性别、不同年龄、不同文化程度的社区成员对贫困的理解和脱贫的需求。

**Our experience:** County and township facilitators should clarify the number of representatives for all the natural villages, including the groups, gender requirement (percentages), educational level, particularly ensuring a certain number of representatives for the poor households and poorest households.

**经验：**县乡协调员要明确参加社区代表大会各自然屯的人数，具体人员包括哪些？性别比例要求？文化程度要求等，特别是必须确保这些村民代表中有一定数量的贫困户和特

困户。

**Suggestion:** Since Jingdai Village has 8 natural villages, and each one is fairly far away from the village centre (most are 4 km away), attending villagers' representative meetings will adversely affect their productive and domestic activities. It is suggested to provide them with proper subsidies while conducting project activities.

**建议：**由于净代村有8个自然屯，而各个自然屯离村部较远（大部分自然屯离村部达4公里），参加村民代表大会，影响到代表的生产劳动和生活。建议在开展活动时提供适当的补贴。

**Source:** Mr. Liang Yiran, Sanjiang County, Guangxi province

案例提供：梁治然（广西区三江县）

**case 7: Community Meeting Practices of Jindai village, Tongle Township, Sanjiang County, Guangxi province; 案例：广西壮族自治区三江侗族自治县同乐乡净代村社区代表大会的操作**

In 2004, the county and township facilitators held two community meetings at Jindai Village, Tongle Township, which were both very fruitful. The major procedures are:

2004年，县乡协调员先后在同乐乡净代村召开了两次社区大会，均达到了很好的效果。

我们的主要做法是：

- First, the community meetings were well prepared in advance: A. Facilitators informed villagers or representatives specifically about the meeting including the objectives/agenda, date and time by means of radio, publicity materials and door-to-door notice, to improve attendance. B. Be prepared about the arrangements for the meeting such as the procedures, specific content, specific roles of the participants, and the expected outputs and results, etc.

第一，做好大会的前期准备工作。首先是做好对群众的宣传发动工作，通过广播、发宣传资料和由村干部到户通知等确保村民对会议的时间、地点和目的有充分的了解，提高他们参与会议的积极性；其次是做好大会期间的操作程序，包括操作步骤、具体内容、具体操作者、期待的产出和效果等。

- Secondly, the community meeting should try to follow the plan and agenda. In Jindai, the chairman first explained the purpose and meaning of the meeting, then the township facilitators introduced content of the meaning, and the village facilitator provided a supplement explanation (if necessary). For example, the township facilitator introduce the poverty criteria the community came up with, and the village facilitator post the maps of poverty criteria on the wall, and give further explanation in dialect languages.

第二，按原制定的程序开好会议。首先主持人要说明开会的目的和意义，然后由乡项目协调员介绍会议内容，村协调员配合说明（如果需要），如乡项目协调员介绍社区代表得出的贫困划分标准，村协调员则将贫困划分标准图挂在墙上，并用当地语言进行补充说明。

- Thirdly, meeting delegates are asked to express their opinions freely, and explain reasons for any disagreements. The opinions generally accepted will be adopted at the meeting, while disputed points will be discussed under facilitation, and decided whether to be accepted or not. If the opinion is not accepted, the reasons should be explained to the person who proposed them, and they should be asked to consider the issue from the perspective of the majority, so to avoid greater conflicts.

第三步，请会议代表自由发表意见，对不同的意见要请其解释理由，对于大家都认可的意见要当场给予采纳，对有争议的意见要通过协助大家讨论后予以确定是否采纳，特别是对于不予采纳的意见要向提建议人说明不采纳的理由，让他（们）从大部分人的角度来考虑问题，避免发生更大的冲突。

- Fourthly, all outputs agreed by the community meeting must be published (recorded and posted up on large pieces of paper).

第四步，将社区大会认可的会议内容或结果进行公布（记录在大白纸上张贴），

- Finally, the facilitator should express gratitude to the people for their participation. Such community meetings, where both the process and the results are transparent, and in which local people have the right to know and to decide on what happens, will lay a good foundation for their active participation in subsequent activities.

最后，县乡项目协调员要感谢群众的参与。通过这样的社区大会，所有过程和结果都有透明度，当地群众拥有了知情权和决策权，为以后实施其它活动提供了积极参与的基础。

**Our experience:** To hold community meetings, it is necessary to be well prepared beforehand, and finalize the procedures and topics of the meeting. During the meeting, we should be attentive to opinions of the people, and give them more chance to speak. The whole process should be fair and just, and try not to hurt their dignity, and not to be biased towards certain opinions (or certain people's opinions). Let the people explain their (different) comments, so that it is easier to reach a consensus.

经验：召开社区大会一定要做好会议的前期准备工作，要确定好会议的程序、会议的主题。会议过程中，要特别注意听取群众提出的意见，多让群众发言，整个过程中一定要保持公正、公平，不要伤害群众的自尊心，也不能偏袒某一方面（或者某些人）的意见，让群众交流说明他们的（不同）理由，这样才容易达成一致意见。

**Suggestion:** Since it is customarily considered to be bad for women to "seek the limelight" (express opinions in public), the women attending community meetings often could only listen but not expressing any opinions. It would be better to organize a meeting for women separately, so they can express their opinions easily, and to promote their participation. In addition, it would be best to record the meeting process by camera or video recorder.

建议：开社区大会时，由于风俗习惯认为妇女“出风头”不好（指在众多人员中爱发表意见的妇女人），这种情况下参加会议的妇女往往只能听不方便发表任何意见。建议将男女分别开会，这样更容易获得妇女的意见，并推动妇女的参与。另外，最好能对会议过程通过照片或者录象机进行记录。

**Source:** Mr. Liang Yiran, Sanjiang County, Guangxi Province

案例提供：梁治然，广西区三江县）

**case 8: The impact of PP on the local community: A song from Zhiwen Village, Guangxi;**  
**案例：PP对当地社区的影响**

Zhiwen village is a key poor village in Gunba Dong People's Autonomous Township, Rongshui County, Guangxi province, where the villagers' confidence in PRCDP's objective of poverty alleviation has increased by participating in the PP process. The villagers sang a Dong ethnic folk song to express their views on PP:

支文村是广西融水苗族自治县滚贝侗族乡的重点贫困村，社区群众通过参与PP过程，增强了脱贫发展的信心，还根据自己的体会编写了侗歌《世行项目齐心做，脱贫路上步不停》，歌词如下：

- ♪ Everyone works together on the WB project, and keep walking on the road to shake off poverty.
- ♪ Spring comes and fruit trees are bearing new fruits.
- ♪ The news is spread amongst the Dong people's mountain villages, and everybody was overjoyed.
- ♪ The government sent working teams, and they toured all villages in all weathers, organized villagers for meetings, talking with people and asked about their poverty and sorrows, inspired the people to meditate on why our lives are tough.
- ♪ The causes of poverty are like a tree, with countless branches and leaves.
- ♪ All villagers, old and young, participated, and the causes gradually come out.
- ♪ All difficulties are ordered, and several of them are big headaches:
- ♪ Firstly, poor access to transportation, making it hard to walk on the road to be better off;
- ♪ Secondly, inducing drinking and irrigating water by bamboo pipes are weary.
- ♪ Thirdly, we cannot afford to send children to schools, and worry about ramshackle school houses. Fourthly, no capital for plantation or breeding, and ideas of doing business are all in vein.
- ♪ Fifthly, no technology for development and mindsets need to be broken.
- ♪ Sixthly, diseases can hardly be addressed, being short of both doctors and medicines.
- ♪ These few major problems are thoroughly analyzed, and prioritized.
- ♪ Today, WB comes to address our poverty, just like a good rain after a chronic drought.
- ♪ We appreciate hardworking of the experts and officials.
- ♪ It is a hard-earned good opportunity, and we all need to be concerted.
- ♪ Everyone works together on the WB project, and keep walking on the road to shake off poverty.
- ♪ 世行项目齐心做 脱贫路上步不停。
- ♪ 冬去春来桃李新，世行项目来扶贫。
- ♪ 消息传入侗村寨，男女老少齐欢欣。政府派来工作队，顶风冒雨屯屯行。
- ♪ 组织村民开大会，访贫问苦畅谈心。启发群众深思考，细细思考苦原因。
- ♪ 贫困原因像棵树，大小多少数不清。

- ♪ 全村老少齐参与，原因渐渐现分明。所有困难来排序，几大问题伤脑筋。
- ♪ 一是交通不方便，脱贫致富路难行，二是人饮灌溉水，竹筒架水累死人。
- ♪ 三是读书无钱供，学校危房最担心。
- ♪ 四是种养无资本，生意无本枉用心。
- ♪ 五是发展无科技，愚钝必须换脑筋。
- ♪ 六是病痛难救治，既少医生又少药。几大问题分析透，主次分明数在心。
- ♪ 今得世行来济困，正如久旱遇甘霖。专家官员多辛苦，爬山涉水为村民。
- ♪ 千载难逢好机遇，男女老少要齐心。世行项目齐心做，脱贫路上步不停。

**Source:** Mr. Dong Lisong, Gunba Dong People's Autonomous Township, Rongshui County, Guangxi province

案例提供：董利松（广西区融水苗族自治县滚贝侗族乡）



## case 9: Gender Sensitivity in Ranking; 案例：项目选择中的社会性别敏感性考虑

Gaowen village includes the poor Miao minority community in Hongshui Township, Rongshui County. The feudal ideology of "valuing men and belittling women" is still very strong there, and women are mostly subordinate and customarily not have equal rights to participate in social affairs or decision making within the family. To enhance the social status of women, particularly their decision making power for poverty alleviation, they were identified as one of the key target groups of PRCDP, and 35 women participants (the same number as men participants) were grouped together to rank their own concerns on poverty and poverty alleviation separately. During the village meeting different coloured seeds were used to determine the priorities of the local community, (yellow corn seed for women and white corn seed for men) so that women could address their own demands in project activities. The following table illustrates the result and shows the differences between women and men on the specific poverty alleviation activities:

融水县红水乡高文村是一个贫穷落后的苗族村，“重男轻女”的封建思想现在仍然十分严重，她们在家庭中多处于从属地位，历来没有参与社会活动的习惯和机会。为了在村级规划过程中特别是有关社区发展项目的决策过程发挥妇女等弱势群体的作用，了解不同性别和不同群体对项目的不同需求，我们在对项目需求进行打分排序时，把参加会议的人员分成男性组和女性组，两组人数相同（各35人，为与会代表的一半），并用黄色玉米籽作为男性票，杂色玉米籽作为女性票。这样，投票的结果就一目了然显示出男女的不同需求和愿望。下表是红水乡高文村在参与式村级规划中男、女性打分排序的结果：

It indicates that women prefer social infrastructure construction, health and education activities, while men prefer infrastructure and integrated agricultural development.

从打分排序的结果看，男性更侧重于基础设施和农业综合开发，而女性则更关注社会性基础设施和卫生教育问题。

Field 项目领域	Specific Projects Identified 项目内容	Male男		Female女	
		Score 得分	Rank 排名	Score 得分	Rank 排名
Social Infrastructure 社会性基础设施项目	Gaowen Village Drinking Water Supply Project; Gaowen Village 4th Grade Road; Jialin Sub-village Road; Fire-fighting Facility Construction; Gaowen Sub-village Local Market Construction; Pedestrian Bridges (3); Radio and TV; Program-controlled Telephone; Jialin Sub-village Rural Power Network Construction;	44	1	36	1

	Farmland Irrigation service; 高文村人饮工程、高文村四级公路、加林屯级路、防火设施建设、高文屯农贸市场项目、人行桥项目（三座）、广播电视、程控电话、加林屯农网建设、农田水利工程等。				
<b>Comprehensive Agricultural Development Project</b> 农业综合开发项目	Planting: Tea, Anise, Bamboo, Orange and Fir; 种植：茶叶、八角、毛竹、柑桔、杉木等； Breeding pig, chicken, local duck and goat; 养殖：猪、土鸡、土鸭、山羊等； Processing agricultural by-products: Tea, bamboo and wood. 农副产品加工：茶叶加工、竹木加工。	26	2	24	3
<b>Education &amp; Health care</b> 教育与卫生项目	Village clinic, Gaowen Village Primary School Building, Campus, special loan for education 村卫生室建设、高文村完小综合楼建设、校园建设、教育贷款等。	15	3	26	2
<b>Community capacity building</b> 社区能力建设项目	Village library, villagers' training center, technical extension service/training service 村级文化室建设、社区学习和培训中心建设、各种适用技术和文化知识培训等。	15	3	14	4
<b>Source:</b> Mr. Jia Zhibing, Hongshui Township, Rongshui County, Guangxi province 案例提供：贾志彬（红水乡政府）					

**case 10: Integrating PP into the county plan of PRCDP; 案例：PP与县级PRCDP项目的衔接**

The village PP project process involves villagers carrying out a full analysis of their poverty situation and its causes; combining these with local conditions such as natural and human resources resources; developing corresponding poverty alleviation strategies and specific activities, including the order of priority for these strategies, and targeting these strategies and particular activities towards disadvantaged groups, . Throughout the entire process, the community, especially the destitute and poor households, are key decision-makers in verifying poverty and poverty alleviation projects, for example deciding on project requirements by open ballot. Thus, all the project activities in village-level PP not only correspond to specific causes of poverty, but are also directly oriented at specific poverty target groups, instead of being a general poverty alleviation project.

PP是通过以村民为主对自己的贫困现状与原因进行充分分析后，结合当地自然资源、人力资源条件等条件开发出相应的脱贫策略和具体活动，包括这些策略的优先排序和针对对弱势群体的脱贫策略与具体项目，从而构成村级PP项目框架。在整个过程中社区特别是特困户和贫困户在贫困确认和脱贫项目的确认中扮演了关键的决策者之一，例如通过公开投票决定项目需求等，因此原则上村级PP中的所有的项目活动不仅对应了具体的贫困原因，更直接针对具体的贫困对象，而不是广泛意义上的扶贫项目

The County project of PRCDP is first based on the 2001-2010 county development plans of all the counties, focusing on the development objectives of the entire county, including those of the government. In terms of target groups, more attention was given to general poverty, rather than specific poverty targets such as disadvantaged groups. In general, the focus of county-level plans is more vague. Given available staffin and skills levels, it is impossible to implement PP across the entire county. To ensure the county projects are as practicable as possible, using the project list obtained by PP, we consulted the relevant technical department of the county government about their technical feasibility and finalized which activities from PP reports could be included in the county PRCDP plan. The county PMO organized the county planning department drawing up the plan, obtained approval of the county governments for village development activities arising from PP, and made it a project plan generally accepted by the community and government department. At the same time, we took some community needs from PP, particularly those generated by PPA, to verify and improve county plans and to balance some obviously unreasonable project contents in the county plans; making village-level PPs "samples" or pilots for county plans, so that county plans will be more suited to actual needs. Finally, the county PMOs publicised the PRCDP county plans to the ordinary people in the communities by convening villagers' meetings and posting bulletins, seeking feedback from the communities, and coordinating and interpreting any conflicting views, so that the communities and the county departments could reach agreement and officially finalize the county plan reports of PRCDP.

PRCDP的县级项目则首先是基于各县在2001—

2010制订的县级发展规划，更多的是考虑了全县的发展目标包括政府的发展目标，在目标群体上更多的是考虑了广泛的贫困对象而不是具体的贫困对象例如弱势群体。相对说县级项目规划的针对性要模糊些。但从人力和能力等因素考虑，不可能在全县范围内普

遍开展PP工作。为使县级项目尽可能切合实际，我们根据PP得到的项目清单，向县有关业务技术部门咨询所列项目技术方案的可行性，确定PP报告中可纳入县PRCDP项目规划的内容清单，由县项目办组织县级规划部门进行编制，使PP得到的村级发展活动得到县级政府的认可，成为社区和政府部门都认可的项目计划。同时，我们把PP得到的某些项目需求特别是参与式贫困分析中得到的东西，用来验证和完善县级项目规划，以平衡县级规划中一些具有明显不合理的项目内容，使村级PP成为县级项目规划的“抽样样本”，使县级项目规划更切合实际需求。最后，县级部门根据项目的资金额度和比例来确定具体子项目的规模和投资强度，最后完成县级项目的可行性分析，形成PRCDP的县级项目规划报告框架。最后，县项目办将这个PRCDP的县级项目规划通过召开村民会议和张榜公布等形式告知社区群众，寻求社区的反馈意见，并协调解释某些冲突性的意见，使社区和县级部门达成共识后正式确定PRCDP的县级项目规划报告。

**Source:** Bai Jiaqin (Longsheng County, Guangxi Province)

案例提供：白家卿（广西壮族自治区龙胜县）

**case 11: Determining priorities on poverty and its solutions, Pinchang County, Sichuan Province; 案例：确定优先问题和需求**

On 25 November 2003, PMO staff went to Baishan village, Longgang Township and organized a community meeting for determining community priorities on poverty and solutions. More than 315 villagers representing 382 householders in the community participated in the meeting and ranked their poverty priorities by open scoring as follows:

2003年11月25日，县项目办有关人员在龙岗乡白山村召了开社区大会，对农户在社区大会讨论出的主要问题及项目意愿进行排序，并进行较深入的分析。白山村382户村民每户都派一名代表参加了社区大会，通过投票，白山村存在的问题顺序结果为：

1: lack of finance, scored 315 (140 from female and 175 from male);

第一位是缺资金，女村民140名、男村民175名共315名村民选择了这个问题；

2: poor communication, scored 276;

第二位是交通不便，276名村民选择了这个问题；

3: poor supply of drinking water, scored 271;

第三位是人畜饮水难，271名村民选择；

4: poor soil for agriculture, scored 204;

第四位土地瘦薄，村民204名村民选择；

5: lack of breeding technology, scored 178;

第五位是缺乏养殖技术，178名村民选择；

6: poor irrigation facilities, scored 174;

第六位是水利设施差，174名村民选择；

7: lack of health care services, scored 150;

第七位是医疗条件差，150名村民选择；

8: shortage of labour, scored 132.

第八位是缺乏劳动力，132名村民选择

In this way Poor Communication, Poor Supply of Drinking Water, Poor Soil for Farming, Poor Irrigation Services, Adjusting Industrial Structure, Health and Education, and so on have been determined as the principal problems of poverty to be addressed by the project based on the priorities of the local community.

通过分析，大家确定白山村需要优先解决的问题是交通困难、水利设施差、土壤贫瘠、

产业结构调整以及卫生、教育条等问题。

**Experience:** The basis of scoring on priorities, during this exercise was: firstly, a record of speeches from the community meeting, and analysis of household investigation data; secondly, analysis of secondary data; thirdly, analysis of community problems and table of prioritized needs of the households. The key to facilitating the participants in the community lies in finding out the major problems of the community based on views of the villagers.

经验：在打分排序确定优先问题的过程中，我们主要的依据第一是社区大会发言记录及社区、农户调查资料的分析；第二是对二手资料的分析；第三是对社区问题及农户意愿排序表的分析。辅导社区内参与者的关键点是如何依据村民的意见找准社区存在的主要问题。

**Source:** Mr. Chen Xude, Longgang Township, Pingchang County, Sichuan Province

案例提供：陈绪德（四川省平昌县龙岗乡）

**case 12: Needs of Poor Households and Coordination of Common Interests;  
案例：贫困户需求与共同受益的协调**

**Background:** One pilot project spot of PRCDP is Yandong Sub-village, Xiatang Village, Huanjiang County, Guangxi. During participatory needs assessment, the households proposed three projects: firstly, construct water-supply project; secondly, build conservation walls to preserve soil; thirdly, training women on healthcare knowledge. However, since drinking water was the first priority for the households, and needed a large sum of money, there was only a limited sum of money available for building soil-conservation walls. But building these structures can not only prevent soil erosion, conserve soil and improve fertility, thereby increasing grain yield; it also plays a role of protecting ecological environment in karst areas. For these reasons, PRCDP also plan to finance the project. On project beneficiaries, the township and county facilitators proposed that: according to project requirements and principles, it is necessary to give priority to meeting the needs of poor households. Since the water-supply project would benefit the entire sub-village, hopefully a focus on poor households and prioritizing their needs could be captured in the soil-retaining wall project. It was proposed that the soil-retaining wall project should only be targeted at poor households, with a subsidy of 200 RMB/mu. Other households would not participate in this project.

**背景：**广西环江县下塘村严洞屯作为PRCDP试验项目的试点，在进行参与式需求评估时，农户提出三个项目：第一是建造引水工程；第二是砌墙保土；第三是妇女卫生知识培训。但由于饮水是农户作为第一优先选择的项目，而且需要的资金比较大，属于共同受益的项目，因此用于砌墙保土的资金就比较有限，但砌墙保土不仅可以防止水土流失，保土保肥，从而增加粮食产量，同时也在石灰岩地区具有保护生态的作用，因此，PRCDP项目也计划进行资助。在考虑项目受益对象的时候，乡、县的协调员提出：根据项目的要求和原则，应该优先考虑满足贫困户的需求。由于引水工程是整个的全屯都受益的项目，因此，关注贫困户、优先照顾贫困户，希望能够在砌墙保土项目里面体现，并提出砌墙保土项目仅针对于贫困户开展，按每亩补助200元计算，其余的农户就不参加这个项目了。

**Discussion Process:** As soon as this plan was proposed, it was opposed by many households. Their reasons included: first, even though the sub-village had identified some destitute households, the entire sub-village was fairly poor. Although the destitute households were the worst off, the other households were also poor households, and they should also be involved in the project. Secondly, it would not help ecological protection much just to build soil-retaining walls for a few households. The farmland of a number of households were located on steep slopes, which needed soil-retaining walls more. After discussing with the farmers and township facilitators, the soil-retaining wall plan was changed to give access to all households, but the area for each household should not exceed 2 mu, to ensure the budget would not be exceeded. In addition, the subsidy for soil-conservation structures was to be changed to an *average* of 200 RMB/mu. However, to give preference and priority to destitute households, they would be subsidized by 300 RMB/mu, while the normal households would be subsidized by 100 RMB/mu, basically averaging almost 200 MB/mu. This plan not only benefited destitute households, but was acceptable to all the households in the entire village.

**讨论过程：**此方案提出以后，就遭到了比较多的农户的反对，提出了不同意见。他们的理由是：第一，虽然在屯里面划分出了特困户，但总体来说，整个屯都是比较贫困的，只不过特困户是更加困难一点，而其他农户也是贫困户，也是应该属于项目关注的对象。第二，砌墙保土只是几户人家实施，对生态保护的作用也不大。有些农户家的耕地处于坡度比较大的坡地上，更需要进行砌墙保土。经过农户之间的相互讨论，并和乡协调员协商，把砌墙保土方案改为整个屯所有农户都可以参加，但每户改土的面积不超过两亩，以保证资金不突破预算。第二，砌墙保土的补贴改为每亩平均200元，但对特困户体现照顾和优惠的政策，特困户每亩补助300元，而一般的其他农户每亩补助100元，平均下来基本上还是每亩接近200元。这样的方案既体现了对特困户的关注，同时也使整个村所有的农户都能够接受。

**Experience:** Given the widespread nature of poverty, focussing on the poorest households should not be taken as a rigid principle in selecting projects and allocating resources,, but applied flexibly, with consideration for the feelings and thoughts of the rest of the community. If a project were to be implemented only amongst the poorest households, it would very likely not be supported or helped by the other households. Therefore, a better way would be to let everybody participate in the project, but give proper priority and preference to poor households and destitute households in terms of subsidy, labour contribution and exemption, so that the project is more easily accepted by all households in the village, and easier to implement.

**经验：**在做项目选择和资源分配的时候，由于整体贫困的原因，关注贫困户不应该把它作为一个死的原则，而应该灵活运用，特别是应该照顾到大多数人的情绪和想法。如果某个项目只是在贫困户中开展，很可能得不到其他农户的支持和帮助。因此，比较妥当的办法是：大家都能参与该项目，但对在补助、投劳、减免等方面给予贫困户或特困户适当的照顾，这样整个村的农户比较容易接受，也便于项目的实施。

**Source:** Song Haokun

**案例提供：**宋浩昆



**case 13: Conflict management, Xuyong County, Sichuan Province: 案例: 冲突的管理**

While conducting participatory poverty assessment (PPA) in Kangba Village, three conflicts occurred: Firstly, classifying poverty: some delegates believed that as long as it was all poverty, there was no need to classify them into different categories. Secondly, during the course of sampling investigation, some delegates believed the poorer the households were, the harder it was to get information from them. Thirdly, while talking about causes of poverty, they only viewed the issue from the perspective of the natural environment. While implementing village-level PP, four further conflicts emerged: Firstly, there were as many as more than 20 proposed projects, and it was impossible for the limited project funds to satisfy all of them. Secondly, there were disagreements between different communities while designing the village road to be constructed. Thirdly, while composing the project structure, the technician opposed projects such as fish farming. Fourthly, while finalizing project benefits to households, there were some questions about different financial allocations to similar types of poor households.

康坝村在开展参与式贫困分析 ( PPA ) 时出现了三种矛盾, 一是对贫困的类别划分, 有的群众代表认为都贫困, 没必要划分成几类; 二是抽样调查时, 有的群众代表认为, 越贫困的农户越难以了解信息; 三是谈到贫困原因时, 仅仅从自然环境角度看问题。在开展参与式村级规划时, 一是项目意愿太多, 达20多项, 有限的资金无法一一满足; 二是在村道建设项目设计时社与社之间有意见分歧; 三是在构建项目框架时, 技术员对养鱼等项目提出了否定意见; 四是落实项目到户时, 对同类的贫困户资金差异提出了质疑。

Solution: Firstly, well publicize and explain to the community that identifying and classifying poverty and involving disadvantaged groups, was not only for the purpose of poverty alleviation, but also a basic requirement of PRCDP. Perhaps even more accurate information about poverty causes can be obtained through the words of the poorest households themselves. For too many proposed projects, firstly, there was not enough money; secondly, some of them were not representative enough. Projects such as raising fish were not only short of resources, but also lack appropriate technical inputs and market opportunities. Looking at the differences in allocations for poor households, the key was the project conditions and development capacity of the households. Secondly, guide the farmers carefully to see issues from different viewpoints, and analyze poverty causes from different perspectives. Thirdly, effectively coordinate construction of village roads in both technical and financial fields and their impact. In addition, arrange some household loans to satisfy the differential needs of individual households. Handling the process in this way, all sorts of conflicts were successfully resolved.

处理办法: 首先是做好宣传解释工作, 向群众说明进行贫困类别划分是对弱势群体的关注, 这既是扶贫宗旨, 也是PRCDP项目的基本要求。从最贫困的农户口中也许更能准确收集贫困原因信息。太多的项目意愿, 一是没有足够的资金; 二是有些意愿代表性不强。对于养鱼等项目既缺资源条件, 又缺技术条件, 市场也无优势。对于贫困户的资金差异关键看农户的项目条件和发展能力。其次是要做好引导工作, 提示农户站在不同的角

度看问题，不同层面分析贫困原因。再次是要做好协调工作，对村道建设从科学、经济、效果等方面进行协调。另外安排一定农户贷款资金满足农户个体差异需要。通过以上处理，各种冲突得以解决，效果很好。

**Source:** He Shiqiang, Xuyong County, Sichuan Province

案例提供：何世强（四川省叙永县）

**case 14 : Collective property management, Xuyong County, Sichuan Province;  
案例：公共资源/财产的管理**

The irrigation ditch of Heba Village is a project supported by Poverty-alleviation funds, which was built in 2002, about 2 km long, inducing water from the river all year round, which can irrigate 380 mu of farmland for 67 households in Co-ops 3 and 4. All the households in the irrigating areas can benefit, and they are public resources/properties. The ditch is collectively managed by the village; and the Co-ops 3 and 4, the beneficiaries, manage the ditch by sections, and the head of the coops are the responsible persons. For water supply management, since the water volume is fairly large and continuous all year round, all the farmlands of the beneficiary households can be irrigated. If there are exceptional circumstances, such as water shortages due to drought, water is rationed to the different coops during the spring planting season, so that there had never been a conflict in water supply, and the farmers were very satisfied. For maintenance management, since the households were not charged for using water at normal times, there are no fixed maintenance expenses for the ditch. The beneficiary households discussed these issues extensively and decided that when it needs to be maintained, the coop heads will draw up a budget for the maintenance, and amortize the expenses evenly to all the households according to actual area irrigated. If there are surplus funds, these will be left for the next maintenance. If there is a deficit, money will be raised following the same method. The entire management of the project followed participatory concepts.

河坝村灌溉渠道系扶贫资金支持的项目，建于2002年，长约2公里，从河里引水，长年不断，可灌溉河坝村3、4社67户380亩农田，灌区农户均可受益，属村公共资源/财产。渠道管理采取村上统筹，受益的3社、4社分段管理的办法，责任人是3、4社社长。对于供水管理，由于水量较大，长年不断，故均能保证受益农户农田灌溉，若遇特殊情况，如干旱导致水量小，或遇春耕生产用水矛盾突出时采取分社间隔供水办法，两年来还未出现供水矛盾纠纷，农户较为满意。对于维修管理，因为平时农户用水没有收费，故没有固定的渠道维修费用，经受益农户广泛参与讨论，达成的意见是：当需要维修时，由社长组织，根据维修费用概算，按实际灌溉面积均摊到各农户，若资金超出，则预留作下次维修费用，若不足按同样办法集资，整个管理办法体现了参与式的理念。

**Experience:** As it is public property, everybody should participate in its management.

体会：既然是公共财产，管理就要体现大家参与管理。

**Source:** He Shiqiang (Xuyong County, Sichuan Province)

案例提供：何世强（四川省叙永县）

## case 15: How the Community Participate in Financial Management; 案例：农户如何参与资金管理

**1. Project Background:** As a WB pilot project location, Baidan Village, Huanjiang County was jointly provided with 100,000 RMB of donation from DFID and Huanjiang County. The project, known as EATS project, was implemented on the basis of PP, and the use and management of project funds were discussed and decided by the villagers.

1、项目背景：环江县百丹村作为世行项目试点，得到英国ITAD公司和环江县共同提供的10万资助，在开展了参与式规划（PP）的基础上，开展项目实施，该项目称为EATS项目，项目资金的使用和管理有农户讨论决定。

**2. Participation Method:** To determine how the people will participate in the use and management of project money, the facilitators organized a community congress in which the management of money was jointly discussed.

2、参与方法：农户如何参与项目资金的使用和管理，由协调员在项目屯组织召开村民大会，共同讨论资金管理。

**3. Participants:** villagers volunteered to participate, including women, old people and destitute Households.

3、参与人员：农户自愿参与，参与群体有妇女、老年人、特困户。

**4. Specific Process:** The facilitators provided some questions, such as: who is to manage the project money, how, where to put the money, whether it is convenient to use, how to improve the procedures on use of the money; and then let people discuss by themselves.

4、具体过程：由协助者提供问题，如项目资金由谁来管理、如何管理、钱放到哪里、是否方便使用，如何完善使用手续等，由农户自己讨论。

**Result:** The farmers discussed and elected project money managers, decided on scope and criteria for expenditures, etc. However, there were two different opinions on the use procedure:

结果：农户讨论选举出了项目资金管理人员、开支范围、开支标准等，而在使用程序上，有两种意见：

**Opinion A:** Keep the money under the custody of County WB Office, and follow the application procedures when money is needed;

意见A，是把资金留县世行办代管，需要资金到县里办手续；

**Opinion B:** The project management group will contact the County WB Office, and borrow the money out in the name of the sub-village, and deposit it in Credit Cooperatives of Chuanshan Town. The reasoning here was that people do not necessarily need to go to the county capital to buy all the materials for the project, and it wastes money and time to go to Huanjiang to collect the money and reimbursements. It was considered more convenient to deposit the money at Chuanshan Town and, when money is needed, 2 group members may go to withdraw it together. At the end they would go to the County WB Office for settlement.

意见B，由项目管理小组负责联系县世行办，以屯名义将钱借出，存放到川山镇信用社，因为有的物资农户

不一定都到环江县城购买，又到环江领资金报账浪费时间和车费，还是存到川山镇方便些，需用资金时，小组成员2人以上一起去办理。最后到县世行办结账。

Through vote by a show of hands, the villagers unanimously agreed on Opinion B. After discussion, the villagers recognized that the project money could be all managed and handled by the management group elected by the sub-villages.

通过举手和投票表决，村民一致同意意见B。讨论后群众认可项目资金均由屯里推选的管理小组管理和支配。

**5. Questions raised by Facilitators:** The facilitators proposed that if all the money is managed by the communities, it would be impossible for the county and town to supervise. Once there is a problem, it will prevent smooth implementation of the project: the project funds are not loans to individuals. Secondly, a large portion of the project money is used for purchasing materials. The place of purchase is either at the county capital or Hechi City and therefore whether it is necessary for the villagers to bring the money to the town, then withdraw it and bring it to the county capital for purchasing materials.

**5、协调员的问题：**协调员提出资金全部放给社区自行管理，县、镇无法监测，到出问题，对项目的顺利实施不利，因为项目款不是个人贷款。其二，项目资金的一大部分是用于购买物资，购买地点是在县城或河池市，是否必要将资金由村民拿到镇上，然后又取出带回县上购买物资。

**6. Facilitators discussed with the community and reached a common understanding:**

**6、协调员与社区讨论后的共识：**

- The use of money will be decided by the communities, but communities will accept supervision by the project Office, and jointly sign contracts.
- 资金使用由社区决定，但接受项目办监督，共同签订合同。
- The materials to be purchased at the county seat or Hechi City will be jointly purchased by the community reps, PO staff and technician, and after being signed by the villagers' reps, the money will directly paid by the PO, and invoices will be booked into the account at the PO. The villagers will get duplicate copies of invoices, so they know what has been spent.
- 在县上或河池市购买的物资，由农户代表、项目办人员和技术人员一同采购物资，农户代表签字认可后，资金直接由项目办支付，购物发票在项目办做帐。农户得到发票复印件，方便了解开支情况。
- Petty cash can be borrowed by community managers from the PO, and eventually reimbursed at the PO with invoices.
- 少量资金由农户管理人员从项目办借出，开支后凭发票到项目办最后报账。
- Expenses prepaid by the PO and community managers will be explained to the community regularly by the community managers.
- 由项目办代为开支的支出和农户管理人员开支的支出，都由社区管理人员定期向全体农户说明。

**7. Lessons**

**7、体会**

- Community members are not interested in discussing how to participate in financial management

once the money has been secured.

- 资金落实后，农户才有兴趣讨论如何参与资金管理
- While considering where to put the money and how to use it, the first concern of the villagers was how to guarantee their control over the use of money. However, once their right of control is secured (such as expenses of procurement must be approved and signed by them), they could consider the safety, convenience and effectiveness of using the money.
- 在考虑资金的存放地点和使用方式时，农户首先考虑如何做才能保证他们对资金使用的控制权，而当他们的控制权得到保证时（例如，购物开支必须由他们签字认可时）。可考虑资金使用管理的安全、方便、有效。

**Source of Case: Zhang Jianguo, Huanjiang PMO, Guanxi**

案例资料提供：广西环江项目办，张建国。整理：宋浩昆

**case 16: : Community Participation in Purchasing; 案例：农户参与采购案例**

**Time:** August 25 - 26, 2004

时间：2004年8月25 - 26日

**Attendants:** Zhang Jianguo, facilitator, Mr. Wei, water conservancy engineer, from Huangjiang County PMO, Tan Bai and Dang Jiashu, 2 villagers' reps from Yandong Sub-village, Xiatang Village, Xianan Township.

参加人员：环江县项目办协调员张建国、水利工程师韦工、下南乡下塘村严洞屯农户代表谭白当家书等2人。

### 1. Background

#### 背景

In the EATS Project in Huanjiang, Guangxi, a pilot study on participation of villagers in procurement was carried out, as required by PRCDP project. After consulting Huangjiang County PMO, it was decided to put into practice participation of villagers in procurement during the implementation of a drinking water project at Yandong Sub-village, Xiatang Village. Before starting procurement, as promoted by ITAD expert, the PMO, water conservancy department and the community discussed and reached agreement on procurement as follows:

在广西环江开展的EATS项目中，根据PRCDP项目的要求，需要进行农户参与采购的试点，与环江县项目办共同商议后，决定在下塘村严洞屯的饮水工程项目实施中，开展农户参与采购的工作。开展采购前，在ITAD专家推动下，项目办、水利部门和社区商议后达成以下采购共识。

(1) The procurement process will be jointly carried out by the community reps, technicians and facilitators from PMO. The materials procured must be signed for approval by the community reps, and the material quality must be verified by the technician, while the PMO will be responsible for organizing the procurement process, pay procurement money, summarize and document the procurement experiences.

采购过程有农户代表、技术人员和项目办协调员共同完成，采购的物资必须得到农户签字认可，采购物资的质量必须得到技术人员认可，项目办负责组织采购过程、支付采购资金，总结记录采购经验。

(2) The expenses incurred during the course of procurement will be borne by all the parties themselves. The expenses of the community reps will be raised by the community, and the criteria for expenses will be discussed and decided by the community themselves.

采购过程中发生的费用，各方各自承担，农户代表需要开支的费用由农户集资解决，同时开支标准有农户讨论制定。

In the Yandong Project, the technician from the Water conservancy Department proposed the project design and budget, and submitted a list of materials needed, including specifications, quantities and basic quality requirements, etc. In addition, a quotation list may also be submitted as

a reference.

根据严洞项目，水利部门技术员提出项目设计和预算。并提交需要的材料清单，包括规格、数量、基本质量要求等。同时，也可能提交一份材料报价，作为参考。

## 2. Procurement Process

### 采购过程

Community reps of Yandong left the sub-village in the morning of August 25, and arrived at the county capital at noon. In the afternoon, led by Mr. Wei, the engineer, they did a market survey to several markets of tap-water and heating facilities in Huanjiang, mainly investigating prices and qualities of water pipes. The Facilitator of transportation consulted the community representatives, and agreed to drive the car of Huanjiang County Planning Bureau to Hechi, the round trip of which was about 120 km, for which the community bore 60 RMB for gas and toll costs, while the other expenses were borne by themselves separately.

严洞农户代表于8月25日早从村里出发，中午到县城，下午开始在韦工的带领下，对环江的几家水暖市场调查，主要是看水管的价格和质量。基本结论是水管质量不好。之后，与农户商议后，大家同意一同到河池市调查价格和购买。交通问题协调员与农户商议后，同意开计划局的车去河池，来回约120公里，农户承担汽油钱和过路费60元，其他费用各自自己承担。

After arriving at Hechi City, Mr. Wei, the engineer, took them to a street near the railway station, where materials like water pipes were sold, and started inquiring into prices. In about 3 hours, they visited five or six shops, surveyed qualities and inquired on prices. Mr. Wei judged the qualities based on his own experiences. Once he thought it was OK the community' reps would start bargaining on prices with the shop owners. After comparing prices, they identified 2 shops, one of which mainly sold water pipes and fittings, and the other mainly water pumps, motors and parts. It was already 6 p.m. after finalizing arrangements with the vendors. They stayed at Hechi City that night. The community rep spent 20 RMB for lodging himself.

到河池市后，由韦工带领下，到火车站附近的一条街，主要出售水管等物资的地方，开始寻价。在约3个小时的时间内，走访了5、6家商店，调查质量和询问价格。质量以韦工的经验判断为主，他认为可以的，农户代表再与商家进行价格商议。经过比较后，基本确定2家商店，一家以购买水管和配件为主，一家以水泵、电机和配件。商议过程比较长主要是因为农户不懂如何选购、以及为什么需要这样、那样的配件。基本确定商家时，已到了晚上6点，当晚，大家住宿在河池市。农户自己花费住宿费20元。

In the morning of the 26th, they started procuring the goods. The community rep hired an agricultural-use truck for transporting the goods, and agreed on 230 RMB for freight charges. Then, he counted the materials and confirmed the prices. Mr. Wei inspected every article, requested the shops to show them how to install the motors and pumps on site. They installed and disassembled them, so as to ensure that the equipments could be smoothly installed after being delivered to the sub-village. The entire process lasted about 3 hours, and was completed before noon. Mr. Zhang Jianguo, the Facilitator paid the money, the shop owners wrote receipts, and the community rep approved the invoice and list of articles purchased. Finally, the community rep escorted the materials back to the sub-village.



26日一早，开始具体购货，农户自己找来运货的农用车，并谈好运价230元。之后，主要工作是清点物质，确认价格。韦工负责对每件物品检查质量，并要求对需要安装的设备。如电机、水泵等进行现场安装，装好后再拆卸，以保证运到村里能顺利安装。整个过程花费约3小时，中午前基本完成，协调员张建国负责付款，商家开票、农户代表在发票和购物清单上签字认可。之后，农户押运物资回村。

### 3. Comments of All Parties on the Procurement

#### 各方对采购的意见

#### 3.1 Comments of the COmmunity Reps

##### 农户代表意见

- Participatory procurement is good, and we are happy with the quality and prices;  
参与采购有好处，质量、价格我们都满意
- We do not know whether the qualities are good or bad, so we need support from technicians;  
我们不懂质量好坏，需要技术人员支持
- If we buy by ourselves, there will be some expenses. It will help reduce the expenses if the PMO could help us buy them.  
我们来买，需要有些开支，项目办帮我们买开支可以少一些
- If the decision to buy is not made until after comparing several shops, we do not need to come, Mr. Wei (technician) can help us buy them: we trust him.  
如果象这样，比较几家再购买的方法，我们不来也可以，韦工（技术员）来帮我们买就行了，我们相信他。

#### 3.2 Comments of Mr. Wei, Technician

##### 技术人员韦工的意见

- It is good for the community to participate in procurement, as they may feel comfortable with what they bought, and their doubts about government employees will go away.  
农户来参与购买有好处，他们来了，买的东西他们放心，也消除对政府人员的怀疑
- It is good for them to come for the procurement. Both the price and quality are better than Huanjiang. If we go to Liuzhou (a large city, where water pipes, etc. are produced), the prices would even be better. However, it will not be economical unless a large quantity is needed.  
来采购好，价格比环江便宜，质量也好，如果到柳州（一个大城市，生产水管等）更便宜，不过要数量大才合算去
- The villagers do not know much about quality of the materials. It would be hard to explain something concisely, and it would be impolite to explain before the shop owners. If they come and buy by themselves, they may end up buying poor stuff. We need to help them.  
农户不懂物资的质量好坏，有的东西一下也说不清楚，也不好人家（指商家）面前说，让他们自己来买，肯定买不好，需要来帮他们
- If we have to assist every village and sub-village to make the procurement, we definitely will not

manage, as the workload will be too much.

如果每个村、屯我们都要来协助他们购买，我们肯定来不了，工作量太大

- If large scale purchases are to be made, it would be nice to take a group of villagers. If the purchased quantity is large enough, we may go to the manufacturer directly, and transport the goods to the township in large trucks; the prices will be better, and it will be easy for the villagers to go to the township capital.

如果大规模购买，最好以乡为单位，购买数量比较多，可以直接到厂家购买，大车运到乡上，价格便宜，农户到乡上也方便。

### 3.3 Comments of the County Facilitator

#### 县协调员意见

- It is good for the villagers to participate in purchasing. They are happy with the goods they purchased, and the prices and qualities are better than those of Huangjiang.

农户参与采购有好处，买的东西他们自己满意，价格、质量比环江的好

- It is also a learning process for the villagers to participate in procurement.

农户采购也是一个学习的过程

- In future, when the project is implemented widely, it will be impossible for every sub-village to participate in procurement. It may work if every township send 1 or 2 reps, but it will not be practical for every village to send reps, as there will not be enough people available in the county capital to accompany them in the purchase. It will not work if they come to buy themselves. Firstly, they do not know what to buy, and secondly, they can hardly find the right places to buy the things.

将来项目全面开展时，不可能每个屯的都来参与采购，每个乡来1、2个代表还可以，每个村农户来都太不现实，县里没有这么多人陪他们来采购，他们自己来不行，一是不懂，二是到什么地方买他们都找不到

- While doing the purchases for pilot projects, expenses such as food and lodging, transport for the county PMO staff and technicians may be borne by the county. However, once the project is rolled out, we need to consider how the expenses will be reported.

做试点采购时，县项目办人员、技术人员在采购过程中的食宿、交通等开支可以由县上承担，但项目铺开时，采购费用从什么地方开支，需要考虑

### 4. Common Understandings:

#### 共识：

- The village should participate in procurement, which can minimize project costs, and improve the villagers' sense of ownership and abilities;

农户应该参与采购，可以减少项目成本，参与采购还提高农户的拥有感和能力。

- It will be better to take town and township as the purchasing unit. It will be convenient for participation of communities' reps, and there will be enough specialist personnel available in the county and township to support them. In addition, larger quantities will be purchased, and the prices will be better.

以乡、镇作为采购单位比较好。便于农户代表的参与，县乡可能拥有专职人力配合农户共同采购。而且以乡为单位，购买的物资数量多，价格会便宜。

- The procurement process involve with participation of several sectors, instead of just the business of the community villagers. At a minimum, it should include the facilitators and technicians from the county and township project offices.

采购过程中的应该是多部门参与的过程，而不只是社区农户的事，至少应包括县、乡项目办的协调员和技术人员。

- The purchasing costs, including the expenses of the communities' reps, technicians and PMO staff, should be included in the project budget.

采购成本，包括农户代表、技术人员、项目办人员等的开支应该列入项目预算。

**case 17: Participatory School Development; 案例: 参与式学校开发****A Case from Gansu Basic Education Project****一个来自甘肃基础教育项目的案例****Project Background****项目背景**

The **Gansu Basic Education Project (GBEP)** was designed as a six-year pilot project in basic education in poor areas. It started in 1999 and is funded by the British Government Department for International Development (DFID). The purpose of the project is to increase enrolment in poor minority areas thereby helping achieve universal basic education and to reduce the inequalities which exist in the education system. School Development Planning (SDP) aims to bring schools and local communities together to create a unified approach to the school's development. It does this by giving schools more involvement in their own development. It also aims to change the relationship between schools and communities by bringing them closer together and focusing on some of the social development aspects of education that prevent children entering, staying and achieving in schools.

**甘肃基础教育项目**被设计为一个为期六年的贫困地区基础教育试点项目。它开始于1999年，由英国政府国际开发署 ( DFID ) 出资。项目的宗旨是增加贫困少数民族地区的入学率，因此而帮助实现普及义务教育，并减少教育体系中存在的不平等。学校开发计划 ( SDP ) 旨在把学校和当地社区汇合起来，联手创造出一种学校开发方法来。它通过让学校更多地参与它们自己的开发，来这么做。它还旨在通过把学校和社区拉得更近，把焦点放在一些阻止孩子们进入学校、呆下来并取得成绩的教育的社会发展方面，改变学校和社区之间的关系。

**Training in Skills****技能培训**

Head teachers and School District Directors were trained in new skills to help bring schools and communities together and identify common issues. These skills included Participatory Approaches (PA) - involving all members of school and community and especially those traditionally marginalized in planning and generic training skills and practical knowledge. Training in three key PA tools for work with communities included:

培训主要老师和学校校长新的技能，以便帮助将学校和社区汇合起来，并找出共同的问题来。这些技能包括了参与式方法 ( PA )

涉及学校和社区的所有成员，特别是那些传统上在计划中被边缘化了的成员，普通培训技能和实际知识。与社区工作的三个参与式方法工具培训包括：

- Social Maps - social maps are a simple way of visualizing issues of access  
 社会构图 - 社会构图是一种将准入问题可视化的简单方式；
- Problem Trees - problem trees help to link problems, causes and effects in a clear and logical way  
 问题树 - 问题树有助于以一种清楚而有逻辑的方式，联系问题、起因和效果；
- Ranking - ranking can be used to make sure all voices and opinions have a fair hearing  
 评级 - 评级可以用以确保公平地听取所有的声音和意见；
- Vision Statements - schools / communities are asked to look three years ahead and outline their vision for the school, considering whole school development  
 远见声明 -  
 要求学校/社区往前看三年，并勾勒出他们对学校的远见，要考虑到整个学校发展；
- Action Planning - schools / communities are asked to consider what they can do for themselves as well as what help is needed from external sources and to actively plan for the next year  
 行动计划 -  
 要求学校/社区考虑他们可以为自己做什么，需要外界提供什么帮助，并积极地为下一年做计划。

### Process of SDP

#### 学校开发计划的过程

Usually, the SDPs would be developed with the following steps:

通常情况下，学校开发计划应按以下步骤开发：

1. Development of the materials by the consultants and the PMO staff in charge of SDP;  
由顾问和负责学校开发计划的项目办人员编写材料；
2. Training a batch of the facilitators in the counties with the members of having potential to be trained as trainers;  
在各县培训一批协调员，其中有些成员有潜力可以培训成培训教师；
3. Training of the Head Teachers (HT) and the School District Directors (SDD) on how to do SDP;  
培训主要教师和学校校长如何做学校开发计划；
4. An SDP committee organized in each school with the members of community members and also HT as the head of the committee;  
在每个学校组织一个学校开发计划委员会，由社区成员、主要教师作为委员会的主任；
5. HT consulted the community members, especially the disadvantaged groups, through field visits and various interviews/meetings (using the skills/tools above) on the main challenges and recommendations from the members for the development of the schools with the support from

the SDD:

主要教师咨询社区成员，特别是弱势群体，通过对主要挑战和成员的建议进行现场走访和各种采访/会议（使用以上的技能/工具），在校长的支持下，进行学校开发；

6. HT called a community meeting with the participation of all available community members to finalize the prioritize the problems facing the schools and also the solutions/targets;

主要教师召集社区会议，由所有可以参加的社区成员参加，以敲定学校面临的问题并排出优先顺序来，并提出解决方案/目标；

7. HT drafted the SDP with the support from the committee and then sent the draft to the SDD;

主要教师在委员会的支持下，起草学校开发计划，然后将草稿发给校长；

8. The SDD reviewed the draft and then sent it to the county education bureau (PMO) if he agrees;

校长审查草稿，然后，如果他同意了，就将它发给县教育局（项目办）；

9. The county PMO responded with the comments on the targets listed in the SDP and also the financial support the HT could expect from the project;

县项目办就学校开发计划中列出的目标做出回复，并予以评论，以及主要教师可以期望从项目获得的贷款扶持；

10. HT revised the draft of SDP and then sent it back to the PMO for finalization to be implemented.

主要教师修改了学校开发计划草稿，然后发还项目办定稿，以便实施。

In the first three years of the project DFID funding has provided some hardware and software to schools. Gradually this funding will be replaced by the counties themselves through the increase of the non-personal budget for education. In 2002 schools started to receive some funding based on a pupil-weighted formula which emphasised the needs of poorer schools first. The size of the funding delegated will be gradually increased over the remainder of the project.

在项目的头三年，英国政府国际开发署（DFID）资助学校，提供了一些硬件和一些软件。这种资助逐渐地由各县自己通过增加非人事的教育预算替代。2002年，各学校开始接受一些资助，依据是一个小学生加权公式，强调优先考虑最贫困学校的需要。分配的资金规模在项目剩余期里将逐渐增加。

### Summary of SDP in GBEP

#### 甘肃基础教育项目的学校开发计划概要

The main changes provoked by SDP in the project areas are as the follow:

学校开发计划在项目区激发的主要变化如下：

- In the area of school management, key impacts have been in the area of a more systematic and participatory approach to goal setting and school development.

在学校管理领域里，关键的影响一直是在一个以更系统、更参与式的方法来设置目标和学校开发的领域里。

- In the area of community participation in schools, key impacts have been an increased level of communication between schools and communities and the development of a more systematic structure for community participation in school planning processes.

在社区参与学校的领域里，关键的影响一直是在学校和社区之间提高沟通水平，开发一个更系统的社区参与学校计划过程的结构；

- In terms of ways of working in the administration, key impacts have been greater communication, greater understanding of the real situation of schools and a more facilitative way of working and improved capacity for co-ordination and monitoring.

在行政管理工作方面，关键的影响一直是更好的沟通，对学校实况更好的理解，更协调的工作方式，以及更高的协调、监测能力。

- SDP has also made a contribution to the overall progress in enrolment and retention of children in a quality education and to the poverty reduction goal of the project.

学校开发计划还素质教育、学生入学率和巩固率的整体推进，以及项目的扶贫目标作出了贡献。

One of the main lessons from the SDP pilot of GBEP is that "the project's focus on participatory training and support seems to have been important in then building enough confidence and understanding for Head teachers and CEBs to then take the risk of implementing the new approaches."

甘肃基础教育项目的学校开发计划的主要教训之一，是“项目的焦点在于参与式培训和扶持，看来重要的是一直对主要教师建立足够的信心和和理解，让他们承担风险，实施新的方法。”

The other key message is that *Good quality training and ongoing support, of sufficient depth and duration, and at different levels, is essential for impact of SDP. One real strength of the SDP in GBEP is that it did not underestimate the depth of change which it is trying to bring about. Taking shortcuts on training and support would likely lead to less impact.*

另一个关键的信息是，有足够深度和期限，不同级别的优质培训和连续支持，对学校开发计划的影响至关重要。甘肃基础教育项目的学校开发计划的一个真正的优点在于，它没有低估它试图带来的变化的深度。对培训和扶持偷工减料可能会导致影响减小。

The review also found that the SDP in GBEP has not promoted the involvement of all groups equally. The most disadvantaged groups, such as the poorest families which did not send children to schools, the females without Mandarin as the mother tongue, etc., were not as active as other groups in SDP process.

回顾还发现甘肃基础教育项目的学校开发计划没有平等地推动所有的群体参与。最弱勢的群体，比如那些没有送孩子们去上学的最贫困家庭，母语不是普通话的妇女等，在学校开发计划中没有其它群体活跃。

## Implications for PRCDP

### PRCDP的暗示

From GBEP experiences, it is clear that SDP can be a quite effective way of ensuring the participation of the community members. Definitely, the training of HT with the essential skill/tools in community consultation is the key to successful launch of the program. A few thoughts for PRCDP:

从甘肃基础教育项目经验中，可以清楚地看出，学校开发计划可以成为一种很有效的方式，来确保社区成员的参与。可以肯定地说，对主要教师进行社区咨询的基本技能/工具培训是成功地实施计划的关键。对PRCDP的几点想法：

1. SDP should be part of the community development plan with the financial support from the project funds for the education component;  
学校开发计划应该是社区开发计划的一部分，有来自教育子项目的项目资金进行贷款扶持；
2. SDP could be piloted and then expanded gradually with the expansion of the community development planning;  
学校开发计划应当进行试点，然后逐渐地随着社区开发计划的扩展而扩展；
3. It takes a lot of time and inputs for training and reiteration, and the continuous support to reach high quality of participation in both of breadth and width;  
培训和再培训需要花很多时间和投入，要在参与的广度和宽度上都达到高质量，需要连续的支持；
4. Village Participatory Planning (PP) could assist the participation of the most disadvantaged groups in SDP process.  
村级参与式计划可以协助最弱势群体参与学校开发计划过程中。



**case 18: How to Facilitate Farmers to Reasonably Contribute Labour and Money in Community-based Public Projects; 案例：社区公共项目中如何协助农户合理投劳、集资**

If during the course of implementing participatory community development projects, farmers can be mobilized to play an active role and reasonably contribute labor and money, this will increase project inputs and improve the efficient use of poverty relief funds. More importantly, it will enhance the farmers' sense of project ownership, which is one important condition for project sustainability. On the other hand, an inappropriate way of mobilising labour and money contributions from farmers may impose an excessive burden on farmers, who may request to reduce their part. Another possibility is that the works that farmers could do are done by the external labours which, in addition to excessive inputs of poverty relief funds, also deepen farmers' dependence.

在开展参与式社区发展工作中，动员农户发挥主体作用，在集体项目合理投劳、集资，不仅可以增加项目投入，提供扶贫资金的使用效率，更重要的是，增强农户对项目的拥有感，这是使项目有持续性的重要条件之一。相反，在协助农户投劳、集资过程中，不恰当的工作方式，可能造成农户负担过重，提出减轻“摊派”的要求。另一种可能是社区农户能够自己完成的工作也由外界代办了，不仅扶贫资金投入多，而且也培养了农户的依赖性。

The key to facilitating a reasonable contribution of labour and collect money is that the facilitator realizes that farmers are the subjects of development; then, instead of imposing requirements on them, he will facilitate their decision to contribute labour and collect money. The following steps are recommended:

合理协助农户合理投劳、集资的关键在于，协助者必须认识到农户是发展的主体，将我们“要求”他们，变为“协助”他们自己决定投劳、集资。具体操作可以参考以下步骤：

***First Step: Provide clear information on the available funds and their limitations to the community***

**第一步：让社区农户清楚项目可以提供的资金和限制条件**

The amount of poverty relief fund is limited, and there are also certain limitations on the use of funds. For example, in a drinking water project, the facilitator needs to tell farmers the amount of money available, and the possible uses. This is very important. Otherwise, the farmers continue to emphasize all sorts of difficulties, hoping to get additional project support; only after we have told them clearly, farmers will focus their minds on how to use the available project money.

扶贫资金的数量是有限的，往往资金用途也有一定限制，例如人畜饮水项目资金，协助者在项目开始时，就应该将资金数量、用途范围告之农户，这一点很重要，如果不明确告之，农户的思考角度总是集中在强调困难，希望项目上给予更多的资金支持，而明确告之后，农户的思考角度容易转变为考虑如何用好这些项目资金。

***Second Step: Farmers choose project or set project objectives***

**第二步：农户选择项目或设定项目目标**

Within the limits of funding and usage available, farmers will select a project, such as constructing drinking water pipes or building water ponds, or set more specific project objectives, such as building a 200 m<sup>3</sup> or 100 m<sup>3</sup> water storage for the households or the villages, etc.

农户在资金数量和用途范围内，选择项目，例如，架设饮水管道等修建水池，或者设定项目目标，例如，饮水到户或者到村，修建200立方或100立方的水池等。

**Third Step: Jointly analyze funding and labour needed for the project****第三步：共同分析项目需要的资金和劳力**

Based on the projects and the objectives wanted by the farmers, technicians will make a preliminary project design and budget. At the same time, the technicians must change the traditional contractual way of budgeting and consult farmers on which project activities need monetary inputs, such as purchasing materials and hiring skilled workers, and which activities can be done through farmers' labor, such as digging foundation, and moving materials, etc. This will lead to a farmer-centred design and budget.

根据农户意向性项目和设定的目标，请技术人员作出初步的设计和预算，同时，技术人员需要改变传统的工程承包式的预算方式，而与农户共同商议，项目中那些内容是需要资金投入的，如材料购买、聘请技术工等；那些内容农户可以通过投劳自己解决，例如，基础开挖、物资搬运等。这样，做出一份以农户为中心的设计和预算。

**Fourth Step: Facilitate farmers adjusting projects or project objectives****第四步：协助农户调整项目或项目目标**

Compare the budget made by technicians after consultation with the farmers, which includes both monetary inputs and labor inputs, with the funding available in the poverty relief project, and conclude how much money and labour is needed in addition. Facilitate a discussion on whether the shortages could be met by contributions from the community; if the farmers believe they could not mobilise the additional money or labor, then the farmers need to discuss how to adjust the project objectives and lower the costs. For example, if drawing water to individual households is too expensive and beyond what farmers could afford, the conclusion could be to draw water to the village instead, and redesign project and budget accordingly, according to the project objectives set by farmers and in a way that the community can afford the inputs of money and labor which would be needed in addition to the project money.

根据技术人员与农户共同商议出的预算，包括资金投入和劳力投入，与扶贫项目可以提供的资金比较，得到除项目扶贫资金投入外，还需要多少资金和劳力。协助农户讨论这部分缺口社区农户是否有能力解决，如果农户认为他们无法提供项目不足的资金和劳力，需要农户讨论如何调整项目目标，减低投入，例如，饮水到户需要的投入太大，农户无法承担，则考虑饮水到村，重新设计项目和预算，达到农户认可项目目标，同时农户也能承受扶贫项目资金外的资金投入和劳力投入。

Through the described process, farmers decide on the final project objectives and they recognise this as their own project. They also realise that if they set a higher project objective, they would need to contribute more inputs; otherwise, they will need to lower their objectives accordingly. Since objectives and inputs of labour and money are set by the farmers themselves, this will greatly enhance this project's feasibility, and avoid the problem of excessive burden on farmers by "portioning out".

通过上述过程，农户在确定项目目标的同时，也认可了项目是他们自己的项目，如果为达到高一点的项目目标，他们需要有更多的投入，反之，则适当降低目标。因为目标设定与投劳、投资的数量是农户进行比较后自己选择和决定的，因此，大大增强了项目实施的可行性，同时，避免了因为“摊派”使农户负担太重的问题。

Step Three and Step Four are normally spontaneously conducted.

第三步和第四步一般同时进行。

**Step Five: Farmers discuss among themselves the preliminary internal allocation of labour and money contributions**

#### **第五步：农户自己讨论投劳、投资初步的内部分配方案**

The communities normally have experiences on how the inputs needed from the communities can be allocated to individual households, and how those should be organized.

社区需要的投入如何分配到户，如何组织等问题，社区一般都有经验自我组织安排。

**Step Six: Promote farmers in the community to discuss about caring "disadvantageous groups"**

#### **第六步：推动社区农户讨论关注“弱势群体”**

When distributing inputs of labour and money the community normally will adopt the even allocation method, which is per head or area of cultivated land. However, such an even allocation method may easily cause difficulties for the "disadvantageous groups" in the community. Therefore, when the community proposes an allocation plan, the facilitator needs to raise the following questions for discussion by the community:

社区在安排投劳、投资的问题时，一般会采用平均分配的做法，例如按人口分配或按耕地面积分配。但这种平均的分配方式容易给社区中的“弱势群体”造成困难，因此，在社区提出分配方案时，协助者需要推动农户讨论以下问题：

- Can the destitute households afford the money-raising plan of the community? If not, what are the corrective measures?
- Can the labour-scarce households bear the labour inputs allocated to them? If not, what can we do?
- Could it be that due to male labour migration the inputs of labor will mainly be provided by women? Will women's burden be excessive? How to solve this problem?
- 社区的集资方案特困户能够承受吗？如果不能，有什么改进措施？
- 缺乏劳动力的农户能够承受分配给他们的劳力投入吗？如果不能，有什么措施？

- 是否因为男劳力外出打工等原因，投劳工作将主要由妇女承担，妇女的负担是否过重？如何解决？

By helping the community to discuss these questions and proposing solutions, try to minimize the negative impacts of inputs of labor and money in the project on "disadvantageous groups".

通过推动社区对上述问题的讨论和提出解决对策，将项目中投劳、投资对“弱势群体”的负面影响尽量降低。

Step Five and Step Six are normally spontaneously conducted.

第五步和第六步一般同时进行。

Through the abovementioned steps, we can enable all project stakeholders to gain a common understanding on the project objectives. It will also enable farmers in the community to be their own driver for inputs of labour and money. In addition, it will also promote a "pro-disadvantageous group" perspective in the community development. Furthermore, where project poverty relief funds are more flexible, the community can allocate funding to different projects within a set budget, based on their priorities and criteria on how to match poverty relief funds with their own inputs of labor and money, with the objective of achieving a farmer-based sustainable, comprehensive community development.

通过上述步骤，可以使项目的各个相关群体地对项目目标达成共识，也使社区农户自己掌握投劳、投资的主动权，同时，推动社区的发展工作具有关注“弱势群体”的视角。进一步，如果扶贫项目资金有更大的灵活性，社区农户可以在总投入一定的情况下，自主选择不同项目之间扶贫资金的分配，同时考虑自己投劳、投资如何与扶贫资金相配套，能更好地实现以农户为主体的可持续的社区综合发展。

*Write-up: Song Haokun*

撰写：宋浩昆

**case 19: Different stakeholders use different indicators for assessing a project**  
**案例：不同利益相关方采取不同指标对项目进行评估**

During the assessment of EAT projects in Huanjiang County, Guangxi, it came out clearly that different stakeholders will apply different criteria when assessing a project's "success". The "EATs" are a number of small-scale community infrastructure projects, mostly drinking water, but also some village roads, which have been planned and implemented by village communities. When describing the pros and cons of these participatory projects, the stakeholders applied different "indicators":

在评估广西环江县EATs项目的时候，清楚地发现不同的相关利益群体对于评估项目的“成功”，会使用不同的标准。“EATs”是几个小型社区基础设施项目，多数是饮用水项目，也有几条通村公路，都是由村级社区计划和实施的。在描述这些参与式项目正反方面的时候，各利益相关群体使用了不同的“指标”。

**Officials and management staff**

**官员和管理人员**

- Cost effectiveness
- Commitment (and contributions) from project communities)
- Responsible use of project funds
- Clear division of role
- Timely and sufficient mobilisation of community resources (labour)
- Satisfaction of beneficiaries on project benefits
- 成本效率
- 项目社区的承诺（及贡献）
- 负责任地使用项目资金
- 角色分工明确
- 及时、充分地调动社区资源（劳动力）
- 受益人对项目效益的满意度

**Communities**

**社区**

- Aspects of equity and equality, especially on distribution of project benefits and inputs of labour
- Successful and socially acceptable conflict resolution
- Transparent project management, especially on budget and funding issues
- Acceptable level and timing of labour contributions
- 公平与公正，特别是在分配项目效益和投工投劳方面
- ；
- 成功地，而且为社会所接受地解决冲突
- 透明的项目管理，特别是预算和资金问题
- 可以接受的投工投劳水平

*Source: Huanjiang Reflection workshop, November 2004*

资料来源：环江回顾研讨会，2004年11月

**case 20: Adjusting Project Objectives Based on Availability of Labors;  
案例: 根据劳力调整项目目标**

Dongmei Community is a pilot village in EATS Project at Huanjiang County, Guangxi Autonomous Region. After participatory evaluation of needs, it took solving the problem of access to potable water for both man and animals, as well as improving road conditions, in which potable water was prioritized.

Dongmei Community has 16 households, 82 people, with 40 labors. There is a well of underground water, which serves as the water source for people and animals at normal times. However, during winter and spring, water level of the spring can be too low to draw water, and there are three to four months every year when they have difficulties to get access to potable water. On the hillside 300 meters away from the community, there is a spring with large amount of water available during the rainy season, but are basically useless. The water spring out in the dry season is small, but is also used as a supplementary water intake for the community in the past. The technician consulted with the farmers, and jointly decided to build a water pond under the said water source, and collect water during the rainy season, and serve as the water source during the dry season.

It was estimated that the entire community need about 4 tons of water per day during the dry season, in which about 1 ton can be drawn from the well, 1 ton can be tapped from the water source on the hillside, and there is about 2 tons of shortage. If a 200 m<sup>3</sup> water pond can be built, it can basically solve the problem of difficult access to potable water during the dry season. Therefore, the farmers and the technician jointly set the project objective as building a 200 m<sup>3</sup> water pond for water in the dry season. According to the amount of money possibly available in the project, the farmers in the community decided to use the project money to buy materials and hire skilled workers, and the remaining jobs, mainly include digging foundations and removing materials, will be conducted by the farmers contributing labors.

During the course of implementing the project, the farmers found it very hard to finish the construction jobs by themselves. The first reason was that even though the community had 40 labors, about one third were working outside as migrant labors, and could not possibly participate in contributing labor to build the water pond. The second reason was that they underestimated the workload of digging foundation for the water pond. If calculated by building a 200 m<sup>3</sup> water pond, the labor input for every labor would go beyond their affordability. The farmers and implementation group of the community repeatedly complained, and consulted with the facilitator. They adjusted the project, and down-sized the volume of the water pond from 200 m<sup>3</sup> to 150 m<sup>3</sup>. Although down-sizing the water pond made it impossible to completely solve the problem of water shortage during the dry season, what they could do was to reduce the water consumption of every household. However, they could afford the intensity of labor contribution after

adjustment, and they recognized such adjustment based on their own discretion.

东眉社区是广西环江县EATS项目的试点村，经过参与式的需求评估，该社区将解决人畜饮水和改善路况作为需要解决的问题，其中，饮水问题作为优先解决的问题。

东眉社区有16户，82人，其中劳力40人。村中有地下水井一口，作为平时人畜饮水的水源，但在冬春季节，水井水位下降，取水极为困难，每年用水困难时间3-4个月。在距离该社区300米的山坡上，有一水源，雨季出水量大，但基本无用，旱季出水小，过去也作为该社区的补充取水地。经过技术人员和农户共同协商后，决定在该水源地下方建造一个蓄水池，蓄积夏季出水，解决旱季用水。

根据测算，整个社区旱季每天需要用水约4吨，其中可从水井中取水约1吨，山坡水源出水1吨，每天缺水约2吨，如建造200立方的蓄水池一座，基本可以解决旱季饮用水困难。因此，当初农户和技术人员共同设定的项目目标为建造200立方，解决旱季用水。根据项目可能投入的资金，社区农户确定项目资金用于购买材料和请技工，其余工作完全由农户自己投劳解决，主要包括基础开挖，材料搬运等。

工程实施过程中，农户发觉依靠自己的劳力很难完成项目工作，原因之一是社区虽然有40个劳力，但约有1/3的劳力外出打工，无法参与修建水池的投劳，原因之二是对水池基础开挖的工作量估计不足，如果按200立方的水池计算，每个劳力需要投入超过了他们能承担的范围。经过农户与社区实施小组人员多次反映，并和协调员协商，进行了项目调整，水池容积由200立方减少到150立方，虽然水池减小后，旱季缺水问题不能得到完全解决，只有减少每户水用量。但调整后的投劳量农户已经可以承受，这种根据他们意愿的调整得到了他们的认可。

**case 21: Different Communities Choose Different Means of Implementation:  
案例: 不同社区选择不同的实施方式**

Dongmei and Pudong are two neighboring communities, with the common problem of water shortage, and building public water ponds was also the solution that farmers from both communities proposed after discussion. However, the basic conditions of these two communities were somehow different.

Dongmei Community has 16 households, 82 people, with 40 labors. Compared with Pudong Community, it has a larger number of labors. In addition, Dongmei Community has access to rough road, and small trucks can directly transport materials to the village.

Pudong Community has 6 households, 25 people, with 12 labors. Pudong does not have access to road, and the materials to build water ponds, after being trucked to Dongmei, must be removed by labor before they could get to the village. Each removal will take about an hour, and each load is normally 30 - 50 kilograms.

The average income of agrarian people in both communities was about 300 RMB. Due to low income, during the slash season, the farmers all have the habit of going out as migrant labors, by which they could spare some grain rations on one hand, and earn some money to help out with the daily expenses of the families. Their daily income working as migrant labors is between 20 and 30 RMB.

According to limitation of money, at the time of project design, the farmers and Project Office staff discussed and decided that the project will only grant the farmers with money to buy materials to build water ponds, plus a little money to pay for skilled workers. The remaining jobs were to be completed by farmers contributing labors. Dongmei Community basically implemented as per the design plan. However, due to excessively large workload of digging foundation, the volume of the water pond was down-sized from 200 m<sup>3</sup> to 150 m<sup>3</sup>. Farmers in the community contributed labors in proportion to population, finished such jobs as purchasing materials, digging foundation, blasting stones and grinding stone powers, totally contributed more than 400 man days. The households with labors going out working as migrant labors, which could not input man days accordingly, hired helping hands or pay for buying the man days, and finished the workload that they had to input. Therefore, the project money of Dongmei Community was enough to pay for buying materials and hiring skilled workers, without any need to raise money from the farmers.

When Pudong Community started implementing the project, and inputted more than 50 man days in buying and removing materials, they found the project implementation placed great pressures on women. Of the 12 labors in the said sub-village, 6 were working outside as migrant labors, and 5 of the remaining 6 labors were women. Objectively, women became the major contributors of labor. In addition, the women staying home also had to harvest soy beans, raising domestic animals, doing housework. Therefore, they could hardly



undertake any more burdens. After calling the farmers for a meeting, the community decided to change the original means of implementation, and contract the main jobs of the entire project to construction teams, and the increased expenditures will be born by raising money from the farmers. Finally, the community raised more than 120 RMB per capita, and finished the potable water project. The community farmers discussed and believed that the community did not have the ability to implement the project by itself. What they could only do was to hire competent people to do it. Without labors working outside as migrant labors, they could afford to raise money. After the jobs were contracted out, the women were freed from great burdens and impacts.

Summary: Based on basic conditions of different communities, when the farmers find difficulties and problems during the course of implementation, they could adjust the means of implementation at their own discretion. In this way, it can not only ensure that the project could meet their desired objectives, but also meet the objective conditions of the community. Under the condition that external conditions remain unchanged, the farmers decide, at their own discretion, what jobs they could do by themselves, and what jobs could be contracted out, which reflected farmer-centered development. On the contrary, indiscriminately stressing farmers doing the jobs themselves would not accord with the farmers' wills, increase women's burden, and the project could hardly be completed smoothly, either.

东眉和卜洞是两个毗邻社区，缺水是面临的共同问题，而修建公共水池也是两个社区农户讨论后提出的解决对策。而两个社区的基本情况又有所不同。

东眉社区有16户，82人，40个劳力，与卜洞社区相比，劳动力人数比较多，同时东眉社区通简易公路，小型卡车可以将物资直接运送到村里。

卜洞社区有6户，25人，12个劳力，卜洞不通公路，修建水池的物资通过汽车运送到东眉后，必须依靠人力搬运，才能到达村里。搬运1次的时间约1小时，每次搬运物资在30-50公斤。

2个社区从事农业的人均收入在300元左右，由于收入低，2个社区在农闲季节，都有外出打工的习惯，打工一来可留下些口粮，二来又可挣钱补贴家用。打工日收入在20-30元之间。

根据项目资金的限制，项目设计时，农户和项目办人员商议后达成共识，项目只是给农户提供水池修建的材料费和少量技术工费用。其余工作由农户自己投劳完成。东眉社区基本上按照设计方案实施，但由于开挖基础的劳力需求太大，将水池容积由200立方减小到150立方。社区农户按人口比例投劳，完成了材料购买、基础开挖、炸石头、打石粉等工作，共同投劳400多工日。家中劳力外出打工而无法投入相应工日的农户，采取请人帮工或买工的方式，完成自己家需要投入的工作量。因此，东眉社区的项目资金能够支付购买材料和聘请技术工人的费用，农户基本不需要集资。

卜洞社区在开始实施项目，投入50余工日购买和搬运材料时，发现项目的实施给妇女造成比较大的压力，该屯12名劳力中，有6名外出打工，剩余6名劳力中，有5名是妇女，妇女客观上成为主要的投劳者，加上在家的妇女又要收黄豆、养家畜、料理家务，无法承担更多的负担。社区召开农户会议后决定，改变原来自己实施的方式，将整个工程的主要工作承包给实施队。由此增

加的费用由农户集资解决。最终，该社区农户人均集资120多元，完成了饮水工程项目。社区农户讨论认为，本社区没有这个能力自己实施，只能请能人完成，靠外出打工挣钱，能够承受集资款，工程承包后，对于妇女来说没有什么大的负担和影响。

小结：农户根据各自社区的基本情况，在实施和监测中发现存在的困难和问题，自主调整实施方式，既保证项目达到他们期望的目标，也符合社区客观情况，农户在外界条件不变的情况下，自主决定哪些内容自己做，哪些内容请人做，体现了农户为主体的发展。相反，如果一味强调农户自己做，不仅不符合农户意愿，加大妇女的负担，而且项目也难以顺利完工。

case 22: Project Evaluation Report of Yandong Sub-village, Xiatang Village, Xianan Township, Huanjiang Maonan Nationality Autonomous County; 案例: 环江毛南族自治县下南乡下塘村严洞屯; 项目评估报告

Write-up: *Li Xiaoling, Liang Zhiran & He Zhengquan*

撰写: 李小玲、梁治然、何正权

**Project Evaluation Time:** November 14, 2004

**Project Evaluation Venue:** Yandong Sub-village, Xiatang Village, Xianan Township, Huanjiang County

**Participants of Evaluation:** *Song Haokun, Li Xiaoling, Liang Zhiran & He Zhengquan*

**Name of Evaluated Project:** Evaluation of Implementing PRCDP Project in Yandong Sub-village

**Project Evaluation Tools:** United walking, looking up second-hand information, calling representatives of villagers for meetings, semi-structured interviews, small environment analysis

## I. Basics of the Project

Yandong Sub-village totally implemented three projects: □ Yandong Sub-village Drinking Water Project for People and Animals. Nature of the said project was green-field development, with a 5 m<sup>3</sup> pump house, a multi-stage pump, 350 meters of DN40 pipes, a pumping station, and a set of water pumping equipment, with a total investment of 18,500 RMB; □ Yandong Sub-village Women's Health Training Project. Training 24 women, lectures on knowledge of maternal-child health (MCH) and prevention of diseases, delivering a batch of books, investing 1,000 RMB; □ Yandong Sub-village Building Retaining Walls to Conserve Soil and Conversion of Sporadic Cultivated Lands on Hillsides to Forestation Project. Involved in implementation of the project were 6 destitute households, and 8 other households, investing 1,000 RMB. After implantation of the drinking water project for people and animals, it solved the problem of access to drinking water for 30 people in 8 households, plus 120 animals. In addition, by lectures on MCH knowledge, the local women's knowledge about healthcare and prevention of disease was improved. The project of building retaining walls to conserve soils got rid of difficulties of access to land for 58 people, and converted 20 mu (15 mu = hectare) of upland for forestation.

## II. Project Evaluations

### 1. Characteristics of the Project

□ **Features of technical designs:** 1. The designed plan can meet the actual needs of the local people; 2. It is designed according to local natural conditions; 3. Economic and

practical.

- **Management of Funds:** 1. Open and transparent management, with all incomes and expenses of project money posted in bulletins; 2. The broad masses participate in drafting management methods for the money; 3. There are full-time accountant and cashier to manage the use money, and ask for reimbursement of expenses with vouchers to the County Project Office; 4. Make project payment as per construction progress; 5. County and township facilitators monitor whether the use of money is in place or not; 6. The broad masses volunteer to raise money. Since there was not enough money to cover expenses of the drinking water project, the local people did not wait, depend and request the government to solve the problem for them. They volunteered to raise 2,500 RMB, the household paid the most paid 500 RMB, and the household paid the least also paid 50 RMB.
- **Labor Organization:** 1. The broad masses participated in drafting management rules on contribution of labor; 2. Free input of labor for the construction jobs that need contribution of labors; 3. The households without time to contribute labors pay 15 RMB/day to the Project Implementation Leading Group; 4. Post on bulletins the days of contributed labors; 5. Show up for of the managers elected.
- **Decision-making of Project Management:** 1. The broad masses participated in electing project managers, and participate in promulgating money use management method and construction management method; 2. The broad masses participated in determining project design plan, the criteria of subsidy for purchasers to show up for work; 3. Community, township and county facilitators coordinate in making management decision.
- **Purchasing Features:** 1. Farmers participated in promulgation of purchasing plan, and participate in the entire purchasing process; 2. The county facilitator, village facilitator, technician and community enlist the materials to be purchased, and purchased on a lump sum basis, for saving freights; 3. The materials bought were economical, practical and qualified.

## 2. PM&E Indices

- **What are the differences between the farmers' PM&E indices and what they cared about with those of ours?**

**Farmers concerns:** If the money is being transparently used, if the contribution of labor is fair and just, if the construction quality is up to standard, and if the project implemented can generate returns.

**Evaluators' concerns:** If destitute households and poor households can directly benefit from the project, if people of different sexes and roles participated in the implementation and decision-making of the entire project.

- **What do different groups (of women and destitute households) concern? If compared with those of the normal villagers, what are the differences?**

What the different groups (of women and destitute households) concern more were how planting and breeding increase economic incomes. However, normal villagers mainly concern about how to get access to sub-village road, closed-circuit television, telephone, and how to sell agricultural products.

### 3. Evaluation of Participation Degree

- **Ethnic minority participated in the implementation and decision-making of the entire project.** By the means of interview, the evaluators totally interviewed 8 community villagers of Maonan nationality. After interview, it was determined that they would all participate in implementation and decision-making of the project, and the degree of participation was 100%.
- **The most remote and poorest natural village in the administrative village benefited.** Xiatang Village is 82 km away from the county seat. Coming from the county seat, you first drive on a Grade II road, then on asphalt-coated road, then Grade IV road, then off road. After arriving at Xiatang Villagers' Committee, you have to take another 20 minutes of walk on steep stone footpath before getting to Yandong Sub-village. However, the said village is in a mountainous area surrounded by stones, without rice field and difficult access to drinking water, no economic forests, the natural living conditions there are fairly rough. Therefore, we may say that the said village and natural sub-village is the remotest, most isolated place with the poorest living conditions in Huanjiang County.
- **The poorest households adequately benefited, and they could actively participate in decision-makings.** For example, Tan Jiamin, the poorest farmers in the said natural sub-village, due to poverty, his wife left him and went afar. In addition, he was not in good physical conditions, and he was penniless, without any source of income. In order to take care of him, he was granted an extra 3,000 RMB to make a reservoir, and he truly benefited from the project.
- **The community establish a fair means of labor contribution, which would not lead to worse burden on the households short of labor, nor would it obviously increase the burden on women.** Since the means of labor contribution for the community was a method discussed with the participation of people in the entire community (including old people, women and destitute households, etc.), which was jointly discussed and decided by everybody, it was fair enough. During the course of division of labor, women mainly engaged in lighter jobs, while male labors mainly did more manual jobs, plus that the community was forgiving to disadvantageous groups, and could exempt weak farmers from participation in construction, it would not cause more burdens on households short

of labor, nor would it obviously increase the burden on women.

- **The distribution of money between different project villages by the county and township was transparent, and in the project villages, most farmers knew about project budgets and expenditures.** Since the project villages are the poorest, remotest and most isolated villages located in ethnic minority hilly areas, and the arrangement of money was finalized based on evaluation of project needs, and decided by villagers after discussion. In addition, budgets and expense of the village were all published on walls, and declared on the meetings of the broad masses. Therefore, the use of project money is transparent, and known to all.

#### 4. PM&E

- **Ethnic minorities participated in the monitoring process.** From the entire process of project implementation and benefits the project generated, the broad masses adequately participated, mainly indicated in that project design plan, purchasing methods, money use management were all finalized after satisfactory PM&E of the broad masses.
- **The remotest and poorest natural villages actively participated in monitoring activities.** Since the location for implementation of the said project was the remotest and poorest natural villages, the targets of service and participation were the locals.
- **Women of Yandong Sub-village actively participated in the monitoring process.** After interviewing four women's representatives, it was found that they participated in decision-making and implementation of the three projects of the village, and they also participated in monitoring, too.
- **The poorest households actively participated in the monitoring process.** The poorest household in the project, Tan Jiamin, enjoyed privilege of 3,000 RMB of extra subsidy and helps form other villagers as the direct object of poverty alleviation, it provided him with conditions for monitoring and improved his incentives of participation in PM&E.
- **In the project communities, they could feed back their opinions about the project to the implementation group.** For example, the originally designed water pipe was oversized. In order to save money, they requested to change DN 50 pipes to DN40 pipes. After calculation by the technician, the implementation group agreed to the opinions of the villagers, and changed DN50 water pipe to DN40 water pipe.

After discussion of the evaluation, they come to the conclusion that the project implemented in the sub-village was beneficial, in which the women, destitute households, and isolated households participated in choice, decision-making, implementation and monitoring of the project, and were concerned by the community.

项目评估时间：2004年11月14日

项目评估地点：环江县下南乡下塘村严洞屯

参与评估人员：宋浩昆、李小玲、梁治然、何正权

评估项目名称：严洞屯实施PRCDP项目评估

项目评估工具：联合行走、查看二手资料、召开村民代表会、半框架访谈、小环境分析

## 一、项目基本情况

严洞屯共实施三个项目：①严洞屯人畜饮水工程项目。该项目性质为新建，设泵房一座5立方米，多级泵一台，DN40管350米，抽水房一座，抽水设备一套，总投资18500元；②严洞屯妇女卫生健康培训项目。培训妇女24人，妇幼保健及疾病防治知识讲座，发送书籍一批，投入资金1000元；③严洞砌墙保土和坡零星地退耕还林项目，实施项目的特困户6户，其他户8户，投入资金1000元。通过人饮项目实施后，解决该屯8户30人，牲畜120头饮水难的问题；同时通过妇幼保健的知识讲座，提高了当地妇女保健防病问题；在砌墙保土项目中，解决了解户/58人用地困难及退耕还林20亩。

## 二、项目评估情况

### 1、项目特点

①技术设计方面的特点：I设计的方案能满足当地群众的实际需求；II符合当地自然条件来设计；III经济实用。

②资金管理：I阳光透明管理，所有项目资金的收入和支出均公布上墙；II群众参与制订资金的管理办法；III资金的使用有会计和出纳专人管理，凭票据到县项目办报账；IV按工程进度拨付工程款；V县、乡协调员监控资金的使用是否到位。VI群众自愿集资，由于人饮工程的支出不足，群众不等、靠、要政府解决，自愿集资2500元，最多一户出500元，最少的一户也出了50元。

③劳力组织：I群众参与投工投工的管理规定；II需要投工的工程量就义务投工；III没有时间参加投工投劳的农户，就按15元/天折款交给项目实施领导小组。IV上墙公布投工投劳天数；V选出管理人员管理出工情况。

④项目管理决策：I群众参与选出项目实施管理人员，参与制订资金使用管理办法、施工管理办法；II群众参与确定项目的设计方案、采购人员出工补助；III社区、乡镇、县协调员协同管理决策。

⑤采购特点：I农户参与制定采购方案，并参与采购整个过程；II县、村协调员、技

术员、社区四方列出采购材料清单，并一次性采购，以节约运输费用；III买回的材料经济实用，质量过关。

## 2、项目监测评估指标

①农户对项目的指标，农户关注什么东西，与我们关注有什么不同？

农户的关注：资金的使用是否透明、投工投劳是否公平公正、工程质量是否过关，实施的项目能不能产生效益。

评估人员的关注：特困户与贫困户是否直接享受项目效益、不同性别和不同角色的人员是否参与整个项目的实施和决策。

②不同群体（妇女、特困户）关注什么，和一般村民比较，有什么不一样？

不同群体（妇女、特困户）更多的关注是种植、养殖如何增收经济收入，而一般村民主要关注是如何通屯级公路、通闭路电视、通电话，如何销售农产品等问题。

## 3、参与程度评价

①少数民族参与了整个项目的实施与决策。评估人员通过访谈的形式，共访问了8个毛南族的社区村民，经访问，确定了他们都参与项目的实施与决策，参与程度为100%。

②行政村内最边远、最贫困的自然村受益了。下塘村距离县城82公里，从县城来，首先是二级公路，再到柏油路、然后是四级路，接着是等外路，到下塘村民委后，再走路20多分钟的陡坡山石路的路程才到严洞屯，而该村是石头山区，没有水田，饮水困难，经济林没有，生存自然条件较恶劣。可见，该村和自然屯可说是环江县城最边远、最偏僻，生活条件最贫困的地方。

③最贫困的农户充分地受益了，他们都能积极参与决策。如该自然屯最贫困的农户谭家民，由于贫困，爱人已远走他乡，而他本人身体又不好，家里一贫如洗，没有经济收入来源，为了照顾他，资金上多安排3000元给他做水柜，县协调员并组织村民帮助他施工水柜，他是真正地享受了项目的效益。

④社区是建立了公平的投劳方式，这种方式不会造成缺乏劳力的农户增加负担，也不会使妇女的负担明显加重。由于该社区的投劳的方式是由整个社区的群众（包括老人、妇女、特困户等）参与，并经过大家讨论，形成一致意见后，才制订的投劳办法，充分体现了公平，由于在投劳分工过程中，妇女主要从事是体力较轻的活路，而男劳动力主要是做体力较重的活路，同时社区对弱势群体体采取原谅的态度，可以免除没有体力的农户参与工程施工，因此不为造成不会造成缺乏劳力的农户增加负担，也不会使妇女的负担明显加重。

⑤县、乡对各个项目村的资金分配是透明的，在项目村，大多数农户是知道项目预



算和开支情况。由于安排的项目村是环江县最贫困、最边远、又是少数民族山区，是与各村相比较而确定的，资金的安排是根据项目的需求评估确定，是由村民讨论确定的。同时该村的预算和开支均上墙公布，并在群众会上宣布的。因此项目的资金使用是透明的，群众知情的。

#### 4、参与式监测评估

①少数民族参与了监测过程。从项目实施整个过程和项目产生的效益来看，群众是充分参与的，主要表现在项目的设计方案、采购办法、资金的使用管理，都是经过群众监测评估满意后，才实现的。

②最边远、最贫困自然村是积极参与监测活动的。由于该项目实施的地点就是最边远、最贫困的自然村，服务、参与人员的对象就是当地人。

③严洞屯的妇女是积极参与监测过程的。经过访问的四个妇女代表，从该村的实施三个项目中，她们是参与决策的，同时也参与监测的。

④最贫困户是积极参与监测过程的。由于该项目最贫困户的谭家民，享受到特权，获得3000元的补助和村民对他的帮助，得到直接的扶贫对象，为他提供了监测的条件和提高他参与项目监测的积极性。

⑤在项目社区中，他们对项目的意见能反馈给实施小组的。比如说该村对原设计的水管过大，为了节约资金，他们要求将50管改为40管，经技术员测算后，实施小组同意村民提出的意见，将50水管换成40水管。

经过评估小组讨论，这个屯实施的项目是产生效益的，妇女、特困户、边远户参与了项目的选择、决策、实施和监测，并得到社区关注。



## **Annex 2: Practical Guidelines 附件2:操作指南**

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Practical Guideline 1: How to implement infrastructure projects in a participatory way 操作指南1: 如何用参与式方法开展基建项目

<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
<p><b>Department Coordination</b>                      部门协调</p> <p>PO coordinate with other project departments, and clarify the requirements and bottlenecks in all types of project implementation, as well as the possible range of farmers' choices and decisions, so they are more participation-oriented when the farmers come to participate in implementation of the project.</p> <p>由项目办与其它项目部门协调，搞清楚各类项目实施中的要求和限制条件，以及农户可能的选择和决策范围，以便使农户在参与实施项目时，更有针对性</p>	<p>Project Office (PO) members, project staff from relevant departments</p> <p>项目办成员、相关部门项目人员</p>	<p>Departmental requirements may stem from the need for macro coordination, such as reasonable distribution of schools in the entire county, road network between villages. They may also come from the general practice of departments making decisions for the farmers (top-down). Therefore, PO members should try to coordinate with all the departments, and enable the community and farmers to have more room for choice (bottom-up).</p> <p>部门要求可能来自宏观协调的需要，例如全县范围内学校分布的合理布局、村与村之间的道路网络连接等，也可能来自部门代替农户决策的习惯做法，因此，项目办成员应尽力协调各个部门，使社区和农户有更多的选择空间。</p>
<p><b>Preparation for Implementation</b>                      实施准备</p> <p>Publish the approved plans, and establish community-level implementation organizations, including electing members of the implementation groups and farmers' reps for project monitoring.</p> <p>公布批准的规划，组建社区实施机构，包括选举</p>	<p>PO members, cadres from administrative villages (village facilitators), farmers' reps.</p> <p>项目办成员，行政村干部 ( 村协调员</p>	<p>The management structure for project implementation by the community should be: the implementation group to be responsible for organizing implementation; and the progress, construction quality, and money expenditures to be subject to supervision and guidance of the community' committee. On specific details, households will be informed by meetings, notices or postings.</p> <p>社区实施的项目实施管理框架应该是：实施小组具体负责组织实施，实施过程中的进度、工程质量、资金使用情况接受村委会的</p>

<b>Steps (infrastructure projects)</b> <b>步骤 (基础设施项目)</b>	<b>Who is involved?</b> <b>参与人</b>	<b>Questions</b> <b>问题</b>
<p>实施小组成员和项目监测农户代表</p>	<p>)、农户代表</p>	<p>监督和指导。实施小组向村委会负责，村委会向村民负责。具体通过会议、通知或张榜公布的形式向村民履行告知义务。</p> <p>Whilst the implementation group is organizing implementation, the people elected by the community will function as monitoring representatives of the project, assist the community committee to monitor all aspects of the project, and report the results to the community committee.</p> <p>在实施小组组织实施的过程中，由村民代表选举出来的人作为项目监测的代表，协助村委会监测项目的各方面的情况，监测的结果向村委会报告。</p> <p>Members of the implementation group should include poor households, ethnic minorities, women and other target groups of the project.</p> <p>实施小组成员需要包括贫困户、少数民族等项目关注的目标群体。</p> <p>。</p>
<p><b>Discussing and Finalizing the Implementation Plan</b>  <b>实施方案讨论制定</b></p> <p>The villagers' reps should discuss and finalize the project design, finalize specific duties of individual members of the project implementation group and make a detailed work and maintenance plan. For construction projects that involve land, such as</p>	<p>Community, Facilitators, Project implementation group and potential beneficiaries including women groups and all interested parties</p>	<p>The process of discussion and finalization of the project design – how do poor and disadvantaged groups make decisions and what happens to these decisions in the final analysis? If the project has been finalized, how many of these decisions influencing poor groups are included and how many are excluded? For labour contributions – who are the beneficiaries? Who provides the voluntary labour and for how many days? What do the better off provide in lieu of labour? Are destitute households forced to provide voluntary labour? What is the wage rate for project</p>

<b>Steps (infrastructure projects)</b> <b>步骤 (基础设施项目)</b>	<b>Who is involved?</b> <b>参与人</b>	<b>Questions</b> <b>问题</b>
<p>village road construction, the community also needs to discuss and work out a method of compensation for the land to be occupied. During the meeting, the community also needs to decide on the principles for labour contributions.</p> <p>村民代表将讨论并敲定项目设计，落实实施小组具体人员的具体职责，并制订一个详细的工作计划。对于通村公路等需要占用土地的建设，社区还要讨论制定占用土地的补偿办法。在开会期间，社区还需要决定投工投劳的原则。</p>	<p>社区、协调员、项目实施小组，以及潜在的受益人，包括妇女群体和那些感兴趣的人。</p>	<p>activities and how many from the locality are employed? Is there a wage discrimination against women? Are the wages paid on time? Who are the beneficiaries of paid labour? How are the poor involved in the project apart from paid labour?</p> <p>项目设计的讨论与定案过程 –</p> <p>贫困及弱势群体是以什么方式做决定的？他们的决定在最后的分析里怎么啦？如果项目敲定了，有多少影响贫困群体的决定被包括进去了，又有多少被排斥在外了？</p> <p>投工投劳 –</p> <p>谁是受益人？谁义务投工投劳了？投了多少天？有钱人是以什么方式代替义务投工投劳的？赤贫农户被强迫义务投工投劳了吗？项目活动的工资标准是多少？从当地雇佣了多少劳力？对妇女有工资歧视吗？工资按时支付了吗？谁是带薪劳动的受益人？除了带薪劳动以外，穷人们参与项目的程度如何？</p>
<p>Project managers should propose some operational systems and procedures for project management, for the community reps to discuss and verify, and elect the members to act as inputs procurers during project implementation.</p> <p>项目管理人员提议项目管理中的一些操作性的制度和程序，然后对这些操作性的制度和程序由村</p>	<p>Village facilitators, members of implementation group, farmers' reps.</p> <p>村协调员、实施小组成员、农户代表</p>	<p>As a collective project for public welfare, the community committee is the representative organization of all the households. In a sense, it is the owner of the project. Therefore, their major duty is to coordinate and supervise the project implementation. Where it involves construction contracting and paid services, corresponding implementation groups should be established for implementation (or bidding), instead of the community committee directly managing the implementation. It should be stressed that members of the community committee should not be contractors</p>

<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
<p>民代表认可，同时推选项目实施过程中的物资采购人员。</p> <p>Discussion outputs include management system for project implementation, financial management system for project implementation, material procurement methods and procedures, management duties, households' responsibilities and criteria for labour contributions during project implementation, etc.</p> <p>讨论产出包括：项目实施的管理制度、项目实施中的财务管理制度、物资采购的方法和程序、管理人员的职责、在项目实施过程中农户的义务、投工投劳的标准等。</p>		<p>or service suppliers, otherwise they may become both the contract-issuing party and contractor, both implementer and supervisor, which is very likely to lead to secretive deals, and result in villagers losing confidence in the village cadres. Therefore, people and groups other than the village cadres should be selected to manage the project. Of course, if there are no economic interests involved, village cadres could concurrently be members of the project implementation groups, or directly organize implementation of the project.</p> <p>作为这种公益性的集体项目，村委会是作为所有村民的代表机构，在一定程度上来说，就是项目的拥有者，因此他们的主要职责是协调和监督项目的实施，涉及到工程承包和有偿服务时，具体实施工作应该成立（或竞标）相应的实施小组，而不是由村委会直接来管理实施。特别是村委会干部应该避免作为承包人或服务商，否则他们既是项目的发包方，也是项目的承包方；既是实施者，又是监督者，容易产生暗箱操作，也容易造成村民对村干部失去信任。因此选取村干部以外的人员和小组具体管理项目是必要的。当然，根据实际情况，如果不涉及经济利益，村干部兼任某些项目实施管理小组成员，或者直接由村组干部组织实施项目是可以的。</p>
Procurement of Materials	PMO, technicians, villagers'	Refer to details in the procurement procedures.

<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
物资采购	procurement reps. 项目办、技术人员 、村民采购代表	具体参见采购程序
<p><b>Organize implementation</b></p> <p><b>组织实施：</b></p> <p>Organized by the project implementation group, the villagers will implement the project by themselves.</p> <p>在项目实施小组的组织下，村民们将自己实施项目。</p> <p>Suggestions, guidance and requirements on quality assurance provided by the technicians.</p> <p>技术人员提供质量保证的建议、指导和要求。</p>	<p>Project implementation group, community, farmers</p> <p>项目实施小组、社区农户</p>	<p>How will they implement it? Which groups will implement it? What will be their contribution/s? And who will benefit during the process; how; and how much? Are there any priorities or preferences for poor and marginal group/s and women in project implementation?</p> <p>他们将会以什么方式实施项目？哪些群体将会实施项目？他们的贡献将由什么构成？谁将从实施过程中受益？怎么个受益法？受益多少？在项目实施中，对贫困、弱势群体、边缘化群体及妇女是否优先照顾？</p> <p>Village facilitators and monitors should regularly look into problems and difficulties during the course of project implementation, and promptly feed back the information to the PMO staff or technicians, so the difficulties can be resolved.</p> <p>村协调员和监测人员应该经常了解项目实施过程中存在的问题和困难，及时将这些信息反馈给项目办人员或技术人员，以便解决困难；</p> <p>During the course of implementation, all efforts should be made to establish a mutually supportive relationship between the project and the households, or mutual-support groups should be established; to jointly tackle difficulties arising during the course</p>



<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
		of implementation, and to enhance problem-solving through cooperation. 实施过程中，尽可能能够推动项目农户之间形成一种互助关系，或者组成互助小组，共同来应对实施过程中的一些困难，增强合作解决问题的能力。
<b>Training/guidance during the course of implementation</b> During the course of implementing the project, technicians and PO staff need to provide ongoing training and guidance to the members of the project implementation groups and households. 实施中的培训/指导 在项目实施过程中，技术人员、项目办人员需要对项目实施小组人员和农户进行持续的培训和指导	Technicians, PO staff, project implementation groups, community farmers. 技术人员、项目办人员、项目实施小组、社区农户	Training should not be limited to technical aspects. Instead, it should be based on project content. For example, in an irrigation project, we should not only train the farmers in ditch building techniques, but also train the members of project implementation groups in skills for managing materials and money; 培训不只是局限在技术范围，而应该根据项目的内容，有针对性地联系其他一些相应的培训。例如，灌溉工程项目不仅应该培训农户支砌技术，还包括对项目实施小组成员提供物资管理、资金管理培训； Such project training is normally not formal, intensive training, but mainly site guidance and technical quality control. Therefore, participation of technicians will be very important. 该类项目的培训一般不是集中的正规培训，而是以现场指导为主，指导的同时也是技术质量控制的过程，因此，技术人员的参与是非常重要的。
<b>Monitoring &amp; final evaluation</b>	Monitoring people elected by the	What are the ways of monitoring activities, implementation, process and impacts? How the community participates in such

<b>Steps (infrastructure projects)</b> <b>步骤 (基础设施项目)</b>	<b>Who is involved?</b> <b>参与人</b>	<b>Questions</b> <b>问题</b>
<p>Villagers' reps, technicians and project managers should jointly monitor the project, examine and approve it upon completion Set up a mechanism for timely feed back of monitoring results. 监测、评估]验收</p> <p>村民代表、技术人员和项目经理将共同监测项目，并在项目完成时进行验收。</p> <p>建立监测的结果及时反馈机制</p>	<p>community, groups of households who are the actual or potential beneficiaries and non-beneficiaries, if interested</p> <p>社区选举出的监测人员、项目实际受益人、可能受益人，以及非受益人但感兴趣的村民群体</p>	<p>monitoring? Do they fill in forms or do they have other means of monitoring such as using PRA methods? Who documents the monitoring results? Who decides the quality and effectiveness of the monitoring process?</p> <p>监测项目活动、实施、过程及影响的方式有哪些？社区是如何参与这种监测的？他们是填表呢，还是有诸如PRA方法之类的其它方式来进行这种监测？谁将监测结果形成文件？由谁来决定监测过程的质量和有效性？</p> <p>Timely feedback of monitoring results is not only good for adjusting the project schedule and facilitating project management, but also enables households to follow the project progress and how the money and materials are being used, labour contributions and shortage, etc, thus improving the community's feeling of ownership over the project.</p> <p>监测结果的及时反馈不仅有利于调整项目计划，便于项目管理，而且农户了解项目进展和资金、物资使用情况，劳力投入和需求缺口等，增加农户对项目的拥有感。</p>
<p><b>Draft follow-on maintenance management rules (maintenance plan)</b> 制定后续维护管理制度</p>	<p>Village cadres, facilitators, households' reps, PO staff, particular maintenance people 村干部、协调员、</p>	<p>Before drafting rules for follow-on operation and maintenance management, first of all, it is necessary to clarify ownership of the assets generated by the project (such as the water ditches, ponds, transformers, etc.). It is also necessary to clarify what areas are to be used and managed by individuals, and what areas are to be collectively maintained and managed;</p> <p>在制定后续管理制度前，首先要对项目产生的资产（例如：水渠</p>

<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
	农户代表、项目办 人员 具体管护人员	<p>、水池、变电站等 ) 应该明确所有权。在所有权明确的前提下 , 分清哪些部分是个人使用和管理的 , 哪些部分是集体来共同维护和管理 ;</p> <p>While drafting follow-on management rules, it is necessary to consider how the rules will work in practice, to avoid rules which make the authorities happy, but which cannot be implemented on the ground;</p> <p>制定后续管理制度的时候 , 要考虑制度的可行性和可操作性 , 避免制度是为了应付上面、交差 , 但没办法具体落实 , 不能执行的情况 ;</p> <p>The draft follow-on management rules should include a system of incentives and restrictions for the relevant managers. For example, what benefits will the managers receive if they perform well, and what disciplinary measures or penalties will be imposed on them if they manage poorly? This should ensure adequate performance of the managers.</p> <p>后续管理制度的制定应该涉及对相关管理人员的激励机制和制约机制。也就是说 , 管好了 , 管理人员有什么好处 ; 如果管得不好 , 管理人员又有什么坏处 , 或是会受到什么处罚。这样能够保证管理人员发挥应有的管理作用 ;</p> <p>It is also necessary to consider the issues of summarizing and updating the management rules. A mechanism should be</p>

<b>Steps (infrastructure projects)</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
		<p>established to determine if a management rule is working, whether it needs to be modified, making the modification. In addition, it should appraise the managers' performance and decide whether to implement the existing management rules, and continue to let the original managers manage the business, or modify the management rules, and elect new management.</p> <p>管理制度也要考虑它的总结和更新。应该建立一种机制，对管理制度是否发挥作用、是否需要修改来进行回顾或者进行修改，同时也要对管理人员的尽责情况进行评估，决定是不是执行原有的管理制度，继续由原来的管理人员管理，或者是修改原来的管理制度，推选新的管理人员。</p>
<p>The community should manage the projects as defined in the maintenance management rules drawn up by themselves                      村民们将按他们讨论的维护管理制度管理项目。</p>	<p>Project implementation group, specific managers.                      项目实施小组、具体管理人员</p>	<p>Is there a maintenance plan in PP? Or when is the maintenance plan drawn up? Who contributes towards maintenance and in what ways? How is people's capacity for maintenance being strengthened? Where will the resources for maintenance come from? Will this be sufficient to maintain an asset created by the project?</p> <p>PP中有一个维护计划吗？维护计划是什么时候制订的？谁对维护计划有贡献，以什么方式？人们维护的能力是如何建立的？维护的资源从何而来？这足以维护项目创造的资产了吗？</p> <p>Ideally contracts and documentation for finalizing the maintenance management rules should be drawn up, clarifying the responsibilities of particular maintenance people, and the common responsibilities of the households. During the making and</p>

Steps (infrastructure projects) 步骤 ( 基础设施项目 )	Who is involved? 参与人	Questions 问题
		<p>implementation of the maintenance rules, there should be a focus on poor households perspectives and measures to encompass their needs. For example, what should be done if the poorest households cannot afford to pay the maintenance fee? What should be done if the households who are short of manpower cannot contribute labour?</p> <p>维护管理制度的落实最好有相应的合同或文字依据，明确那些是具体管护人员的责任，那些是农户共同的责任</p> <p>管护制度制定和实施中，需要有关关注贫困的视角和措施，例如，特困户交不起管护费怎么办？缺乏劳力的农户无法投劳怎么办？</p>

**Practical Guideline 2: How to implement community shopping 实用指南2: 如何开展社区采购**

<b>Steps</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
<p><b>Preparation for procurement ( external )</b>  <b>采购准备 ( 社区外部 ) :</b></p> <p>Based on the project plans, the construction bureaus will propose project design and budget. In addition, they need to submit lists of materials required, including specifications, quantities, and basic quality requirements, etc. In the first instance, a quotation for materials may be submitted as a reference.</p> <p>PMO staff will, based on material lists and requirements, inquire prices from other suppliers, and the quotations should be documented.</p> <p>根据项目 , 工程部门提出项目设计和预算。并提交需要的材料清单, 包括规格、数量、基本质量要求等。同时, 也可能提交一份材料报价, 作为参考。</p> <p>项目办人员根据材料清单和要求, 进行其</p>	<p>Technicians, facilitators.                      技术人员、协助人</p> <p>PMO staff                      项目办人员</p>	<p>Technicians always present the budgeting forms and costs assuming the project will be implemented by contracting construction teams, instead of the community themselves. It is necessary to propose special requirements, and separate the capital (all sorts of material costs, freights, installation costs, etc.) from the labour contribution (could be paid work, voluntary, or free work). In addition, who will bear the designing &amp; budgeting costs?</p> <p>技术人员往往提供工程队实施项目的预算格式和预算数, 而不是农户自己实施项目的预算方式。需要提出特别要求, 分开需要投资的部分 ( 各种材料费、运输费、技工安装费等 ) 和投劳部分 ( 可能有工钱、也可能是义务工 )。另外, 谁承担设计预算费?</p> <p>How to inquire on prices, locally or outside the area? Whether PMO has readily available channels for inquiry on prices or not?</p> <p>如何询价, 在本地, 或外出。项目办是否有询价的渠道。</p> <p>1. The community might inquire into prices themselves following the list of materials and according to their needs; Do the villagers have the channels to do price inquiries?</p> <p>农户也可以根据材料清单和要求, 进行询价, 农户是否有询价的渠道。</p> <p>。</p>

<b>Steps</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
他供应商的询价，并将询价结果整理成文。 。 如果是农业生产贷款购买的物资，如牲畜等，同样也有技术部门和项目办进行供应商的询价，并将询价结果整理成文。		
<p><b>采购准备 ( 社区内部 ) :</b>  <b>Preparation for procurement (Internal)</b>                      Call a community meeting, and publicize it:                      召开社区大会，通报：</p> <p>1. Explain that the households have autonomy in choice of materials procurement, instead of through a supplier appointed by the county or township;                      购买材料农户有自主选择权，不是县、乡指定；</p> <p>2. Provide design, list of materials and reference quotations of technical department; quotations of the PMO; possible manufacturers or suppliers as reference points.                      提供技术部门的设计、材料清单和参考报</p>	<p>Community villager reps, rural facilitators, loan households and the elected community purchaser, etc.                      社区农户代表、乡村协调员、贷款农户和选出的社区采购人员等</p>	<p>1. The community lack specifications for some materials needed, such as the diameters of water pipes to satisfy drinking water demands of a certain number of households. The households also lack abilities to identify material quality, such as the quality of the water pipes, whether they are suitable for transporting drinking water, etc. Therefore, there should be participation of relevant technicians and project staff in the purchasing process: they should go together.                      农户缺乏一些物资的需求规格，例如，多少口径的水管可以满足多少农户的饮水需求；农户也缺乏物资质量鉴别能力，例如，水管质量如何、是否符合人饮要求等。因此，要求采购过程有相关技术人员、项目人员参与，一同去采购。</p> <p>2. How to guarantee technicians and project staff are involved in procurement as requested by the villagers? Who will bear the costs of their participation?                      如何保证技术人员、项目人员能按农户要求参与采购，参与过程的费</p>

Steps 步骤 ( 基础设施项目 )	Who is involved? 参与人	Questions 问题
<p>价；提供项目办报价；提供可能的厂家或供应商，作为参考。</p> <p>The villagers then discuss: 农户讨论：</p> <ol style="list-style-type: none"> <li>1. The purpose of materials to be procured by the community: if it is the procurement of materials for projects loaned by households, loan households must participate in deciding which households will authorize reps for procurement; 社区采购的物资范围，如果是贷款到户的物资购买，需要贷款户参与决定哪些户委托代表采购</li> <li>2. Choose people for participating procurement of materials; 选择参与物资采购的人员</li> <li>3. Possible venue of procurement; 可能的采购地点</li> <li>4. Management of money for procurement; 采购资金的管理</li> </ol>		<p>用谁承担？</p>



<b>Steps</b> 步骤 ( 基础设施项目 )	<b>Who is involved?</b> 参与人	<b>Questions</b> 问题
5. Criteria for expenses of community procurement rep during the procurement exercise (transport, food and lodging, etc.) 社区采购代表在采购过程中发生的费用开支标准 ( 交通、住宿、伙食等 ) 6. Sources of funding for expenses incurred during the course of procurement, money raising or other sources, criteria for raising the money (by households, per capita or by area of land, etc.) 采购过程中发生的费用开支来源 , 集资或其它 , 集资标准 ( 按户、按人或按土地等 )		
Carrying out the procurement: Community purchasing rep, PMO staff and technicians consult on the detailed purchasing plans. Depending on the particular situation, the community reps will participate in inquiries to the vendors, and jointly conclude the procurement process. 外出采购: 社区采购代表、项目办人员、技术人员协		The households shall have the right to choose the materials that need to be purchased and technical support needed during the project. On purchasing materials, the farmers may choose to purchase by themselves or authorize the technical departments to make the purchase. If they choose to buy by themselves, the participants should include purchasing farmer reps from the community, PO members and technicians. 农户对项目中所需要购买的物资及所需要得到的技术支持应该有选择权。 从物资采购的角度看 , 可以自行购买 , 也可以委托技术部门购买。

Steps 步骤 ( 基础设施项目 )	Who is involved? 参与人	Questions 问题
<p>商具体的采购计划，根据情况，社区代表参与对供货商进行寻价，并共同完成采购过程</p>		<p>自行购买时，参与购买人员包括社区农户采购代表、项目办成员和技术人员。</p> <p>To reduce input purchasing costs, it may be necessary to entrust the technical department with collectively purchasing the materials, after approval by the community committee on behalf of the households, i.e., the community agrees to handover the collective procurement. In other cases, the beneficiary communities (groups) will make the purchases themselves.</p> <p>为了降低购买物资的成本，需要委托技术部门组织统一购买物资的，社区代表农户的做出签字认可，即社区同意委托购买统一购买，否则由受益村（组）自己购买。</p>

**Practical Guideline 3: How to develop a system for community self-monitoring; 操作指南3: 如何开发社区自我监测系统**

Steps 步骤	Activities and Outputs 活动及产出	Methods and Tools 参考方法/工具
Choosing M&E representatives 选择监测评估人员	Based on different project activities and purposes, select or recommend people responsible for M&E. The voters could be the following people: 根据不同项目活动和目的，选举或推荐负责监测或评估的人员。参加选举的群体可以是： <ol style="list-style-type: none"> <li>1. Ordinary households of the natural villages; 自然村全体农户</li> <li>2. Household' reps from administrative villages; 行政村农户代表</li> <li>3. Households as direct beneficiaries of the project 项目直接受益群体农户</li> </ol>	Election by meetings Joint recommendation or empowerment by several households. Voluntary signing up and confirmation by farmers 会议选举 几户联合推荐或委托 自愿报名，农户认可
Identify areas of interest and decide what should be monitored 找出感兴趣的领域来，并决定应该监测什么	Topics for discussion 供讨论的话题： <ul style="list-style-type: none"> <li>▪ Themes: What is the project about?</li> <li>▪ Measuring change: Comparing before and after?</li> <li>▪ Links between objectives and indicators: How can we observe that we are getting there?</li> <li>▪ 主题：项目是怎么回事？</li> <li>▪ 衡量变化：比较项目之前或之后？</li> <li>▪ 目标和指标之间的联系：我们怎样才能观察到我们正在达到目标？</li> </ul>	Community meeting Group discussions Mapping Diagramms 社区会议 小组讨论 构图 图表
Developing indicators	Based on different project activities and purposes, discuss M&E indicators. Apart from the rural facilitators, one or more of the following groups should be included in the discussion:	Visualisation 可视化

Steps 步骤	Activities and Outputs 活动及产出	Methods and Tools 参考方法/工具
筛选监测评估指标	<p>根据不同项目活动和目的，讨论监测评估指标，参与讨论的群体除了乡村协调员外，还需要包括以下群体的一种或几种：</p> <ol style="list-style-type: none"> <li>1. Ordinary households of the natural villages; 自然村全体农户</li> <li>2. Household' reps from administrative villages; 行政村农户代表</li> <li>3. Households which are direct beneficiaries of the project 项目直接受益群体农户</li> </ol> <p>M&amp;E indicators include: 监测评估指标包括：</p> <ol style="list-style-type: none"> <li>1. Indicators targeting on project objectives; 针对项目目标的指标</li> <li>2. Indicators targeting on project activities; 针对项目活动的指标</li> <li>3. Indicators targeting on impacts. 针对影响的指标</li> </ol>	<p>Brainstorming 头脑风暴（捕捉灵感）</p> <p>Discussion meetings Facilitators or individual farmers make suggestions, and confirmed by main stakeholders. 讨论会议</p> <p>协调员或农户个人提议并得到主要相关群体认同</p>
<p>Setting up monitoring plan and feedback mechanism 建立监测计划和反馈机</p>	<p>How to collect data? Who will collect and when? Including when to monitor</p>	<p>Discussion meeting 讨论会</p> <p>Making monitoring plan table (refer to the</p>

<b>Steps</b> 步骤	<b>Activities and Outputs</b> 活动及产出	<b>Methods and Tools</b> 参考方法/工具
制	包括什么时候监测 Means of monitoring recording 监测记录方式 How to feed back monitoring results? To whom? 监测结果如何反馈？反馈给谁？ How to pass on monitoring results to farmers or publish them? 监测结果如何与农户或公布	following table) PM&E Matrix 制作监测计划表 ( 见下表 )
M&E 监测和评估	Community M&E representatives make investigation and record all communication from households, including in local languages 社区监测评估人员调查和记录 Farmers feed back opinions and suggestions to community M&E representatives 农户向社区监测人员反映意见、建议 Facilitators interview M&E reps or farmers 协调员访问监测人员或农户 Facilitators record monitoring results in written form 协调员文字记录监测结果	Personal histories Household narratives of project activities Songs Maps and diagrams Field checks M&E people interview farmers Community photography Facilitators interview M&E people or farmers (semi-structure interview, SSI) Monitoring Record Table Checklist

<b>Steps</b> 步骤	<b>Activities and Outputs</b> 活动及产出	<b>Methods and Tools</b> 参考方法/工具
		监测人员对农户访问 社区摄影 协调员对监测人员或农户访问（半结构访问SSI） 监测记录表 检查清单
Reflection and Learning	<p>M&amp;E representatives exchange ideas with households who 'own' the monitoring information, which will improve transparency of the project, and make monitoring suggestions to M&amp;E representatives. It is also a learning process for them to adjust their actions, and improve their abilities.</p> <p>Outputs: Households own information, improve abilities.</p> <p>监测人员与农户交流，农户不仅拥有监测信息，增加项目透明度，对监测人员提出监测建议，同时也是一个学习过程，调整自己的行动，增强能力。</p> <p>产出：农户拥有信息、增强能力</p>	issues in bulletins Community discussion meetings PRA tools like diagrams. 张榜公布重要事项 农户讨论会 图表等PRA工具

### Annex 3: Practical Examples 附件3: 实例

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**Practical Example 1: Table for checking PP 实例5: PP检查表**

Poverty Problems to be Addressed 具体贫困问题	Specific Causes of Poverty 具体贫困原因	Specific Prioritized Solutions 具体解决优先对策	Specific Project Activities 具体项目活动	Specific Project Objectives 具体项目目的	Specific Beneficiary Groups 具体受益对象
Problem 1 问题1	Cause 1 原因1	Prioritized Solution 1 优先对策1	Activity 1 活动1	?	?
			Activity 活动。。。	?	?
		Prioritized Solution 优先对策。。。	?	?	?
	Causes 原因?。	?。。。	?。。。	?。。。	?。。。
Problem 2 问题2	Cause 1 原因1	Prioritized Solution 1 优先对策1	Activity 1 活动1	?	?
			Activity 活动。。。	?	?
		Prioritized Solution 优先对策 。。。。	?	?	?
	Causes 原因?。	?。。。	?。。。	?。。。	?。。。
Problem 3 问题3	Cause 1 原因1	Prioritized Solution 1 优先对策1	Activity 1 活动1	?	?
			Activity 活动。。。	?	?
		Prioritized Solution 优先对策。。。	?	?	?
	Cause 2 原因2	?。。。	?。。。	?。。。	?。。。
	Cause 原因?。	?。。。	?。。。	?。。。	?。。



**Practical Example 2: PM&E Plan; 实例6 : PM&E计划**

PM&E Activity/Sub Activity 参与式监测评估活动/子活动	Detail of Action 行动细节	Who will do it? 将由谁来做？	When? 什么时候？	Where? 在哪里？	Resources needed 需要的资源	Expected Output 期望的输出

**Practical Example 3: Checklist for assessing the technical feasibility of PP:实例7:  
PRCDP中技术人员做技术可行性研究用的检查表：**

- Technical staff doing the feasibility of PPs should adopt the following:
- Familiarization with the process of the project
  - Appropriate attitude, behaviour and listening skills towards poor, vulnerable and disadvantaged groups
  - Sensitivity towards situational perspectives of the poor and disadvantaged
  - Supporting solutions which address poor people's priorities
  - Sensitivity towards fragility of the eco-system and cultural diversity
  - Consultation sessions with the poor as an integral part of the decision-making process within the feasibility analysis
  - 熟悉项目过程；
  - 对穷人、脆弱及弱势群体有适当的态度、举止和倾听技巧；
  - 对穷人和弱势群体的景况视角有敏感性；
  - 支持解决穷人优先事项的解决方案；
  - 对生态系统的脆弱性和文化多样性有敏感性；
  - 将召开穷人咨询会作为可行性分析里决策过程不可分割的一部分。

**Practical Example 4: Farmer field schools** 实例1: 农民田间学校

**Farmer field schools** are a specific type of participatory action and learning groups in agriculture. Farmer field schools are well adapted to the extension of agricultural techniques that require intensive learning by farmers when farmers are used to another set of techniques. They have been largely used in the extension of Integrated Pest Management in paddy fields. In farmer field schools, some farmers volunteer to manage two of their plots under two different sets of agricultural practices. Other farmer field school members pay regular visits to follow how the crop performs under the different practices. Farmer field schools have proved to be an effective means among remote communities to extend improved varieties: volunteers grow their traditional varieties and the new varieties side by side to allow visual comparison, and other farmers visit at each critical stage of the crop. In setting up farmer field schools, it is important to ensure that less-educated farmers participate on an equal footing in the group.

农民田间学校是一种特殊的参与式农业知识学习形式。它非常适合开展农业技术推广活动，要求农民集中学习，改变原有的固定技术。在产稻区曾大量利用农民田间学校推广“害虫综合治理”技术。在农民田间学校里，农民会自愿用两种不同方法管理两块地。还有些学员会不断追踪不同方法下作物的长势。经实践证明，农民田间学校是边远地区推广改良品种的一种行之有效的方法：农民自愿按新老品种分行交替播种，进行直观对比。还有些农民会在作物的关键生长期定期观察。要建立农民田间学校，最重要的是要保证教育水平低的农民能平等参与小组活动。

**Practical Example 5: Loan groups, livestock credit groups (Yi, Sichuan);  
实例2: 放贷小组及牲口信贷小组 (例如四川彝族)**

Many townships in China have experience of “micro credit” schemes where households are asked to form a group, typically of 5 households, in order to access credit. In addition to being a requirement in the credit scheme for waiving of collateral requirements, these groups can be an effective way of sharing ideas and experience. The formation of these groups is however not an easy task. In many communities, groups tend to include relatives with one or a few better-off households and poorer households. It should be ensured that better-off households do not expect reciprocation from poor households in exchange of allowing them to join. Efforts may also be required to avoid appropriation by the better-off households of the credit received by the poorer households.

中国的很多乡镇都有“小额贷款”计划的经验，其中农户被要求形成小组，一般是5户，以便获得贷款。除了为放弃担保要求而作为信贷计划的一个要求之外，这些小组还可以作为一种有效的分享点子和经验的方式。不过，组成这些小组可不是一件简单的事。在很多社区里，小组倾向于包括一户或几户较富，几户较穷的亲戚。应当确保较富的农户不指望获得较穷的农户报答，以换取允许他们加入。还应当要求努力避免较富的农户挪用较穷的农户收到的信贷。

In order to facilitate the formation of these farmer groups, facilitators can try the following:

为了协调成立这些农民小组，协调员可以试一试以下方法：

- The facilitator should meet with all households within the group, not only the representative.

协调员应当会见小组内的所有农户，而不仅仅是代表。

- The facilitator can help organize group exchange meetings by attending the first of these meetings.

协调员可以通过出席第一次小组交流会的方式，帮助组织小组交流会。

In disadvantaged communities where poor households have limited experience in handling credit in cash, credit in kind may be an appropriate option. Livestock banks and grain banks are the best-known examples. In a livestock bank, a poor household receives an animal and passes over one of the first animals born to another household. In a grain bank, households store grain at harvest and receive back grain later during the season in case of shortage. However, communities and facilitators should be aware that there many examples of failure to really benefit the poor in these in-kind banks. When organizing livestock banks, the following should be paid attention to:

在那些贫困户对处理现金信贷经验有限的弱势社区里，实物信贷可能会是一种适当的选择。牲畜银行和谷物银行就是最出名的例子。在牲畜银行里，一个贫困户接收了一头牲口，并将头胎所生的几头牲口中的一头传递给另一个农户。在谷物银行里，农户在收获季节时将谷物存入银行，并在以后如果出现谷物短缺的时候取回。然而，社区

和协调员都应当注意，有很多例子都没能真正地使穷人从这些实物银行中受益。在组织牲畜银行的时候，应当注意以下几点：

- Before organizing a livestock bank, the actual capacity of poor households to handle cash should be assessed. Many poor households do handle cash transactions when they work out of their farm or go to the market. In this case, cash credit may be preferable to in-kind credit.

在组织牲畜银行之前，应当评估贫困户处理现金的实际能力。许多贫困户在农场外打工或去市场时，的确处理现金交易。在这种情况下，现金信贷可能比实物信贷更好。

- There are often existing local systems of animal sharing, e.g. a poor household takes care of the animal of another household and keeps part of the young. In this case, the livestock bank should adapt the existing system and facilitate its expansion instead of creating a new one.

通常都有地方性的共享牲畜系统，例如，一个贫困户帮助另一户人照看牲畜，并保留部分小牲口。在这种情况下，牲畜银行应当适应现有的系统，并协助其扩张，而不是创建一个新的系统。

- The cycle of animal lending should always be such that the animal assets of participating poor households are sustainably increased through the scheme. Livestock banks where households pass on young animals to other households are adapted to small animals, up to goats and sheep. In buffaloes and cows, the age at first birth delays the expansion of the scheme. It is then better to pass on adult animals. The ownership of the adult animal being passed around needs to be carefully clarified.

牲口的出借周期应当总是可以让参与的贫困户的牲口资产，能够通过本计划而持续地增加。传递小牲口给其它农户的牲畜银行，应当使用于小动物，最大到山羊和绵羊。水牛和奶牛生头胎的年龄推迟了本计划的扩张。那么，传递成年牲口会更好。需要认真地弄清楚被来回传递的成年牲口的所有权。

- Only vaccinated and healthy animals should be lent. An informal group regulation should be established on how to deal with disease or death of the animals that are lent.

只能接种过疫苗的健康动物才能出借。应当就如何处理出借的动物生病或死亡，建立一个非正式的小组规章。

- Poor households need technical information in animal feeding, animal care, animal housing, disease prevention. Animal bank projects are therefore more efficient if a large-enough group of households take part so that training activities can be organized for them.

贫困户需要动物饲养、动物照料、动物圈养、防疫方面的技术信息。如果有足够大的一个小组的农户参与，可以为他们组织培训活动的话，牲畜银行项目就因此而更有效了。

Grain banks are an appealing option at first sight in communities that have regular

seasonal grain shortage. However they are even more difficult to manage sustainably and they should be avoided. When grain shortage happens because households sell most of their grain at harvest time, grain-short households should be encouraged to diversify into activities other than grain crop production.

谷物银行第一眼看起来，对经常季节性缺粮的社区就是一个有吸引力的方案。然而，它们甚至更难以持续地管理，应当避免使用。如果因为农户在收获季节里出售了多数谷物而出现谷物短缺，应当鼓励缺粮的农户将其活动转移到谷物生产以外的其它活动中去。

### Practical Example 6: Pilot projects for participatory action and learning on agriculture; 实例3: 建议在农业项目方面，开展参与式行动与学习的试点

Township technicians are usually in too few to justify the organization of a training course in the township. Also, most villages have a number of farmers with relatively high education levels or technical expertise. In-village household training may not be appropriate for them.

般说来，乡镇技术人员人数太少，不足以在乡里组织一个培训课程。另外，多数的村里都有一些受过相对较高程度的教育或者有较高技术的农民。村里的农户培训可能并不适合他们。

The Qinba poverty reduction project has successfully tested joint training courses for township technicians and selected households from project villages. Not only do these courses provide cost-efficient and quality training opportunities, but they also contribute to improving the pattern of relationships between village and township levels. Ideally, these training courses take place within the township with a trainer from the county.

秦巴扶贫项目成功地试行了乡镇技术人员与项目村挑选出来的农户联合培训。这些课程不仅提供了节约成本、质量优良的培训机会，而且还有助于改善村与乡之间管理的模式。理想的状态是，这些培训在乡里进行，有一个来自县里的培训教师。

When organizing joint technician-farmer training courses, the organizers should pay attention to the following:

在组织技术人员-农民联合培训课程的时候，组织者应当注意以下几点：

- The farmers that are best qualified to attend township courses may not be village cadres. They are rather individuals with a strong interest in farming. They are more likely to be young people than older people. They are as likely to be women as men.

最有资格参加乡里培训课程的人不一定是村干部。他们可能是对种地有浓厚兴趣人。他们更可能是年轻人，而不是老人。他们一样地可能是女人或男人。

- Training activities should be balanced between classroom activities and field activities.

培训活动应当在课堂活动和野外活动之间实现平衡。

- Training topics should focus less on the agricultural production stage, and more on pre-production (input supply), post-production (marketing, processing), environmental protection, or farm management.

培训的课题应当较少地集中在农业生产阶段，而更多地集中在生产前（提供投入）、生产后（营销、加工）、环境保护，或者农场管理上来。

- Learning and sharing are important for building farmers capacities.

学习与交流对建立农民的能力很重要。





**Practical Example 7: Community-based common property resource management (especially for grassland); 实例4: 以社区为基础的公共财产资源管理 (特别是草地)**

Livestock is expected to be one of the main activities developed under PRCDP, because of its high development potential in mountain areas. In many project villages, fodder resources are a limiting factor for this development, and the development of animal production must go side by side with improved fodder resource management.

Pasture (*fangmu di*), whether it has been demarcated for individual households or not, often continues to be used as a “common property resource”. Even when pasture is managed as an individual household asset, it still requires some kind of community management in defining boundaries and avoiding livestock damage. Improved pasture management is therefore a critical topic that should be monitored closely by the community. The appropriate solution is not fencing, but local informal or formal regulations to manage the animals better.

PRCDP has a specific budget for group or community demonstrations on improved grassland management.

预计畜牧业会成为PRCDP的主要开发活动之一，因为它在山区的开发潜力很大。在很多项目村，饲料资源是畜牧业发展的一个限制因素，而牲畜饲养的发展必须与提高饲料资源管理并肩前进。

草地（放牧地）不管是否已经分配到户，都通常继续地被当作“公共财产资源”使用。即便草地被当作个别农户的资产来管理，它还是需要某种社区管理来确定边界，避免牲畜破坏。因此，提供草地管理就成了社区应当密切监测的关键课题。适当的解决方案不是建围栏，而是制订非正式或正式的规章制度，更好地管理牲口。PRCDP对小组或社区演示提高草地管理有一个具体的预算。

## Practical Example 8: Indicators for Measuring Project Inputs, developed by Communities 实例8: 社区开发的项目投入测量指标

### Use and Availability of Project Inputs

#### 项目投入的利用和实用性

##### 1. Input of labor

##### 劳力投入

Quantity and time of labor input are two indices the farmers care about. From the viewpoint of EATS Project, the poverty relief funds rendered by the project are limited. After participatory discussion, the farmers hope to maximize the efficiency of using the money. Therefore, the vast majority of the project money was used to purchase materials, and the construction jobs were mainly finished by farmers contributing labors. It is thus quite demanding for contribution of labors by the farmers, especially when the farmers set a high project objective.

劳力投入数量和投劳时间是农户关注的两个指标，从EATS项目看，项目给予的扶贫资金是一定数量的，通过参与式讨论，农户希望将资金使用的效率最大化，因此，项目资金大部分用于物资的购买，施工部分则主要依靠农户自己投工完成，这样对农户投入的劳力有比较大的要求，特别是农户设定了较高的项目目标时。

##### 2. Raising money and expenditures

##### 集资和开支

The sum of money to be raised and the allocation plan were cared about by the farmers at the planning stage. It was discussed and decided to raise money half by population and half by the area of cultivated land, and allocate the sum of money to be raised to individual households. Such a plan of even allocation can be easily recognized by the farmers, but some destitute households might find it difficult to raise the money. After the financial difficulties of the destitute households were reported to the implementation group, as a particular issue, the financially better-off households in the community paid the money for the destitute households. For example, when Yandong Community was building the potable water project, by population and by area of farmland, each household was supposed to raise 150 RMB to 300 RMB. However, a few destitute households could only raise 50 RMB, and some better-off households volunteered to pay 500 RMB. Still, everybody believed it was reasonable to raise money by even allocation.

集资数量和分配方案是规划阶段农户关注的问题。通过讨论，确定集资按人口和耕地面积分配各一半分配，将集资款数量分配到户。这种平均分配的方案容易得到农户的认同，但个别特困户集资会出现困难。特困户的集资问题反馈到实施小组后，作为个别问题，社区内有能力的农户帮助特困户垫支集资款，例如，严洞社区修建饮水工程项目时，按人口和耕地情况，需要每户集资150元至300元不等。而个别特困户仅集资50元，而条件好的农户有的自愿集资500元。

但大家仍然认为平均分配集资款是合理的。

The expenditure was another focus of monitoring for the farmers. Posting circulars was an effective measure to ensure participation of community farmers in monitoring, and the contents published include all expenditures of project money and the raised money. If anybody had any disagreements about the contents published, it was allowed to examine details of the expenditures, and the bills.

开支情况是农户监测的一个重点，张榜公布是保证社区农户参与监测的有效措施，公布内容包括项目资金和集资资金的所有开支情况。如果公布内容有异议，可以查看开支细节和开支单据。

### 3. Quality of Major Materials

#### 主要物资质量

The major materials necessary for construction, such as steel tubes, cement and motors were focus of concern for the farmers. However, the farmers were inexperienced in controlling quality of the materials, and they all hoped that the technician could help them control quality.

工程需要的主要材料，如钢管、水泥、电机等材料的质量是农户关注的重点，但如何保证物资质量，农户缺乏经验，他们都希望技术人员帮助他们负责质量把关。

#### 项目结果和影响

**Practical Example 9: Indicators for Measuring Project Outputs and Outcomes, developed by Communities 实例9: 社区开发的项目产出与成果测量指标****1. Construction quality****工程质量**

Concern about construction quality made most communities decide to hire skilled workers to laying bricks to build the water pond. In addition, they also followed the technical design in the use of cement, even put in more cement. Also the farmers attached great importance to opinions and suggestions of the technician, and rework on the construction jobs not consistent with technical standard as requested by the technician.

对工程质量的重视使多数社区在进行水池支砌时，决定出钱聘请技术工人，同时，水泥的使用也按照技术设计的要求，甚至放入更多水泥。同时农户也非常重视对技术人员的意见和建议，出现不符合技术要求的施工，农户按照技术人员的要求重新返工。

**2. Project Benefits****项目效益**

Whether the project solved their problems and difficulties, for example, access to potable water and transportation.

即项目是否解决了他们的问题和困难，例如，解决了饮水问题和运输问题。

**3. Savings of labor****劳力节余**

Savings of labor was also an index of concern for the farmers, particularly for the women. We may see that in geographically isolated karst areas with sparsely spread lands, great labor intensity is a universal problem.

劳力节约也是农户，特别是妇女关注的指标，可以看出在交通不便，土地分散的喀斯特地区，劳动强度大是普遍存在的问题。

## Practical Example 10: How to monitor indicators together with communities

### 实例10: 如何与社区共同监测指标

#### 1. Use of Project Funds

##### 项目资金使用

Including whether the sums of expenditures and receipts were consistent with state regulations.

包括资金开支数量和单据是否符合国家规定。

#### 2. Implementation according to Project Schedule

##### 根据项目进度予以实施

Whether the project was moving ahead as scheduled, and urged the farmers to work hard on implementation. During the course of monitoring, it was also found that due to such factors as shortage of labor and harvesting season, the construction could not possibly be complete on schedule, after consulting the farmers, the project schedule was adjusted.

工程是否按计划执行，并督促农户抓紧实施，在监测过程中也发现由于劳力少和收获季节等因素影响，无法按原来计划的时间完成，与农户共同商议后，调整的工程进度。

#### 3. Construction Quality and Design Indices

##### 工程质量和设计指标

Construction quality is an index of concern to the farmers and project staff. However, the Project Office also cared about whether the construction can meet the design requirements. For example, when the households were building water ponds, the Project Office hoped to subsidize 2,000 RMB, and uniformly build them into 50 m<sup>3</sup> ones. However, according to technical design, merely materials would need more than 2,700 RMB. Therefore, the farmers still had to invest more than 700 RMB and all the labor. During the course of monitoring, the poor households and the households short of labor hoped to build water ponds of about 40 m<sup>3</sup>, which could meet their own needs, without adding excessive burden on them. However, staff of Project Office proposed that it was the standard of the Province to subsidize 2,000 RMB for building 50 m<sup>3</sup> water ponds, and it was hard for them to explain to the Province if they were built smaller. Even though after consultation, the Project Office finally agreed that the farmers could choose to build 50 m<sup>3</sup> water ponds or 40 m<sup>3</sup> ones, they still believed that it was okay to do so in pilot projects. While rolling out extensively, they still had to follow the standard, or it might be difficult to “manage”.

工程质量是农户和项目人员都关注的指标，但项目办同时关注工程是否达到设计要求。例如，家庭水池修建时，项目办希望补助2000元，统一修建50立方的规模，而根据技术设计，修建50立方的水池，仅材料就需要2700多元，因此，需要农户投入700多元资金和所有劳力。监测中发现，贫困户或缺劳力的农户希望修建40立方左右的水池，可以满足自家的需求，也不会增加过多的负担。但项目办人员提出2000元补助修建50立方的水池是省里的标准，修小了

不好向省里交代。虽然经过协商，项目办同意农户可以选择修建50或40立方的水池，但他们认为，试点项目可以这样做，大面积推广时，还是必须有标准，否则不好“管理”。

#### **4. Project Benefits and Beneficiaries**

##### **项目效益贫困户受益**

The project will need to monitor how many households directly benefit from the investments. In addition, it needs to monitor whether the poor households could directly benefit from the project, and whether implementation of the project increased excessive economic burden and labor burden on the poor households.

从宏观上关注投入的资金解决了多少户农户的问题。这是世界银行和DFID关注的指标，包括贫困户是否直接从项目中收益，项目的实施是否给贫困户增加了过多的经济负担和劳力负担。

#### **5. Impacts on Women**

##### **对妇女的影响**

Whether project implementation excessively increased labor burden on women, and whether women just contribute labor during the course of project implementation, whether they could participate in such decision-making activities as discussing plan, and making rules. Farmers in the community could choose at their own discretion means of implementation, so as to ease the pressure of labor contribution on women during the course of implementation.

项目实施是否过分加重妇女的劳动负担，妇女在项目过程中是否只是参与投劳，是否参与方案讨论，规则制定等决策活动。而社区农户可以自主选择实施方式，可以减少妇女在实施中的投劳压力

**Chapter 3: Institutional and Management Issues**  
**第3章：机构和管理问题**

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### 3.1 Overviews: Roles & responsibilities on Participation; 综述：参与式的作用及责任

	PPA 参与式贫困评估	participatory planning 参与式计划	feasibility assessment 可行性评估	P implementation 项目实施	P M&E 参与式监测与评估
<b>Province PMO</b> 省扶贫办	Monitor 监测	Monitor 监测	Monitor 监测	Monitor 监测	Monitor 监测
<b>County PMO</b> 县扶贫办	Coordinate 协调	Coordinate 协调	Coordinate 协调	Monitor 监测	Monitor 监测
<b>County Bureaus</b> 各县局	To be informed 待通知	To be informed 待通知	Implement 实施	Monitor 监测	To be informed 待通知
<b>Township work station</b> 乡镇工作站	Facilitate 协助	Facilitate 协助	Communicate 沟通	Support 支持	Support 支持/记录
<b>Village leaders</b> 村领导	Support 支持	Support 支持	Support 支持	Coordinate/Organize 协调/组织	Facilitate and monitor 协助与监测
<b>Project implementation group</b> 项目实施组	Support 支持	Support 支持	Support 支持	Coordinate/Organize 协调/组织	Monitor and document 监测与文件

## 3.2 Roles of Government staff in participation 政府职员在参与式活动中的作用

### 3.2.1 Roles and responsibilities for rolling-out the participation approach 启动参与式方法的作用和职责

The **county PMO** will coordinate the roll-out of PPA and PP as part of the annual phasing of PRCDP project activities. Persons in charge of coordinating the roll-out process should be familiar with the overall planning process being supportive to the participatory approach, and keep in touch with other project department staff, township coordinators and village coordinators.

**县项目管理办**将协调作为年度分期实施PRCDP项目活动的一部分的参与式贫困评估和参与式计划推广。负责协调推广过程的项目管理人员应当熟悉整体计划过程，支持参与式方法，并保持与其它项目部门人员、乡协调员、村协调员的沟通和联系。

The **township facilitators** will facilitate the PPA and PP process and support the community during all phases of participatory project implementation. They will also support validation of PPA and PP processes, encouraging fair and transparent integration of planning and resource allocation at the village/county levels for different sub-villages. Township facilitators will have undergone a thorough training (including practical application) on participatory methods, participatory approaches and principles and ways of integration/coordination of planned activities from the sub-villages to village/county level.

**乡镇协调员**将负责组织协调参与式贫困评估和参与式计划过程，并对社区参与式项目实施的各个阶段提供支持。他们还将支持对PPA和PP过程的有效性，鼓励在村级/县级以公平、透明的方式，整合对各屯的计划和资源分配。乡镇协调员应当已经接受过透彻的参与式方法，以及整合从屯级到村级/县级的计划活动的培训（包括实际应用）。

。

**Village coordinators** will take on an important role during implementation and monitoring and support the facilitators during the planning process. They should be people within the village who have the recognized skills needed to coordinate projects activities and community events and processes. (Village coordination is normally undertaken by village cadres elected by the villagers.) If necessary, it is also allowable for the villagers or villagers' representatives to elect village coordinators with the assistance of the township coordinators.

**村级协调员**将在实施与监测期间发挥重要的作用，并在计划过程中支持协调员。他们应当是村里公认有能力协调项目活动、社区事件和过程的人。（村级协调员一般由村民选举出的村干部担任，如有必要，也可以由乡协调员的协助，由村民或村民代表选举村级协调员）

### **3.2.2 M&E and Reporting: Monitoring participation**

#### **监测与评估及汇报：对参与式的监测**

Participatory monitoring of project implementation will be done by the project implementation group in the community. It will need to ensure that different groups (including women, poor households, and different ethnic groups) have sufficient opportunity and space to express their opinions and views on project progress and results. The township coordinator will be responsible for promoting the process of PM&E and over-seeing it. He also needs to ensure that a complete documentation of the planning and implementation process is maintained within each village.

项目实施中的参与式监测应由社区的项目实施小组进行。需要确保不同的群体（包括妇女、贫困户和不同的民族）有足够的机会和空间，来表达他们对项目进度和结果的意见和看法。乡级协调员将负责推动参与式监测与评估过程，并加以监督。他还需要确保在每个村里保持完整地记录项目计划和项目实施的过程。

Participatory M&E is an approach to strengthening the community's capacity for self-management and learning, reviewing project experiences and adjusting project implementation accordingly. This means that PM&E is mainly to serve the community's own information needs and as such, the community needs to decide what they want to monitor and how. Township facilitators will support the community and the implementation group to set up such a system, to define the areas they want to monitor and develop methods for monitoring which will enable women and member of different ethnic communities to express their views in an appropriate way.

参与式监测与评估是一种方法，用以加强社区自我管理和学习的能力，回顾项目经验，并相应地调整项目实施。这就意味着参与式监测与评估主要是为了服务于社区自身的信息需要；社区需要决定他们想监测什么，如何监测。乡级协调员将支持社区和项目实施小组建立这样一个系统，以便界定他们想要监测的领域，并开发出能让妇女和不同民族的群体都以适当的方式表达他们的看法的监测方法来。

In addition, it will be important for township workstations and county PMOs to receive regular feedback from communities on project progress and project results. These feedback mechanisms can build on existing PM&E systems, but they would not replace them as part of the community capacity building process. The information requested by the management might overlap with the areas monitored by the community on some aspects, but might be requested in addition on others.

此外，重要的是让乡镇工作站和县项目办定期地接受各社区对项目进度和项目结果的反馈。这些反馈机制可以在现有的参与式监测与评估体系上建立，但它们不会替代它们而成为社区能力建设的一部分。管理层要求的信息可能与社区监测的领域在某些方面相互重叠，但也可能是另外要求的。

County facilitators will develop a format for collecting feedback from communities and for integrating the information from different sub-villages to the village level into their information database, to be reported to the county PMO.

县级协调员将开发出一个文本格式，以收集来自各社区的反馈，并将不同屯到村级的信息整合到他们的数据库中，向县项目办汇报。

The county PMO will have to coordinate the contents and process of record data, urge the village coordinators to complete the records, and keep a complete set of planning and monitoring documentation in its office.

县项目办将必须协调记录资料的内容和过程，督促乡、村协调员完成记录，并在项目办公室保存一整套项目计划与监测文件资料。

### **3.2.3 Roles in Participation as part of the PMO management regulations 纳入项目管理办管理条例的参与式职责**

The management regulation of the PMO should clarify roles, responsibilities and team work of PMO in implementing the participatory approach. The management rules for project offices may be defined by each county separately, however, they should include the following aspects:

项目办管理条例应澄清项目办在实施参与式方法中的角色、责任和团队工作。项目办管理条例可根据各个县具体情况自行制定，但应该涵盖以下方面：

- ✓ Job descriptions and appraisal rules of PMO staff (including facilitators).  
项目办人员（包括协调员）的工作职责及考核制度
- ✓ Office management and staff working system (town, field), including tasks to support and integrate PPA, PP, PI and PM&E in county level working and planning procedures.  
办公室管理及人员工作制度（市内、野外）（包括支持和整合县级工作及计划程序的参与式贫困评估、参与式计划、参与式实施和参与式监测与评估的任务。
- ✓ Financial management rules (including monitoring by beneficiaries), which support the participatory process and provide reasonable powers to the facilitators for taking decisions on-the-spot.  
财务管理制度（包括由受益人监测），支持参与式过程，并为协调员在现场作决定提供合理的权力。
- ✓ Data logging and filing management system (including M&E of the participatory approach and information from PM&E)  
资料记录和档案管理制度（包括参与式监测与评估，和来自参与式监测与评估的信息）
- ✓ Equipment use and management rules (including maintenance plans for project villages)  
设备使用和管理制度（包括项目村的维护计划）
- ✓ Exchanges and communication rules (such as meetings, etc.), as part of the wider M&E in PRCDP, and powers of decision-making at different levels and its interface  
交流与沟通制度（如会议等）（作为PRCDP里更广泛的监测与评估的一部分），各级的决策权及其界面。

### 3.3 The facilitators as key-personnel in participation 协调员是参与式活动的关键人物

#### 3.3.1 Attitudes of government staff in participation 政府职员对参与式的态度

Effective participation of stakeholders in poverty alleviation necessitates a change in roles and attitudes for government staff. The poor know best about their own poverty situation and development priorities. Therefore, it is important to let the poor themselves be at the centre of the PRCDP process as primary stakeholders to reveal their priorities and preferences, take decisions, plan, implement and monitor project-related activities for their own development and poverty reduction. Government staff should act as service providers and facilitators, rather than dominating the entire project process, taking the lion's share of resources, and making all project decisions as in the past.

相关利益群体要有效地参与项目过程，意味着政府人员的态度和在项目中的角色必须有所调整和转变。作为当事人，贫困人口可能更清楚自己的贫困状况和发展需求，因此重要的是在PRCDP项目过程中，应当让贫困人口自己处于中心位置，作为主要的利益相关者来反映他们的优先事项和喜好，决策、计划、执行和监督他们自己与项目有关的发展和减贫活动。而政府工作人员应该是服务和协助的角色，而不再是象过去一样控制整个项目过程，占有大半项目资源，以及决定所有的项目活动。

Participation means government departments and communities working together on a joint project where both sides share their knowledge and their skills, respect each other's rights and views and take decisions together in a transparent and open process. To achieve this, communities need opportunities to take the initiative and responsibility to build their capacities for sustainable development. 社区参与就意味着政府部门与社区群众共同规划和实施项目，双方都要分享他们的知识、技能，相互尊重对方的权利和观点，并在透明而公开的过程中进行决策，所以社区应当拥有更多的主动性和责任，以建立社区实现可持续发展的能力。

⇒ case 23: Change of Attitudes among local officials as an outcome of PP;  
案例1：PP对当地政府项目人员态度的影响

Thus, under PRCDP government staff need to act as facilitators and ensure that the **voices and priorities of the poor and the disadvantaged groups** (the poorest, women, ethnic minorities) are heard and sufficiently considered in the process.

因此，在PRCDP项目过程中，政府工作人员的角色更多的是协助者和学习者，并确保PRCDP项目能够真正反映**贫困和弱势群体的声音**（最贫困的妇女、少数民族）的声音和需求。

**Attitudes of a good facilitator; 好的项目协调员应有的态度**

- To respect and learn from each other: 相互尊重，相互学习；
- To value differences; 看重不同的看法；
- To have good listening skills; 有良好的倾听技巧；
- To have people-friendly body language and a positive approach; 有对人友好的肢体语言和积极的方法；
- To communicate effectively face-to-face; 有效地面对面沟通；
- Use traditional local knowledge; 利用当地的传统知识
- Maintain various perspectives during analysis; 多角度分析；
- Discover common grounds; 找出共同点；
- To encourage community ownership; 鼓励社区对项目有拥有感
- To learn from the community; 向社区学习
- To empower the community; 赋予社区应有的权利
- To embrace errors; 接受错误；
- To create new bonds with the poor and the disadvantaged; 为贫困和弱势群体创造新的纽带；
- To create enough space for the poor to participate; 为穷人参与项目创造足够的空间；
- To be able to assess the process in an objective manner; 能够客观地评估项目过程



### **3.3.2 Role of Facilitators 协调员的角色**

Clarity about the roles of facilitators and the recognition of these roles both by the local project and the communities is important for the smooth running of PRCDP. Forming a cadre of facilitators at the village/township level and building their capacity implies lower cost for the provinces and easy replication via-a-vis employing facilitators at the county or provincial level. It is not enough to have a set of village and township level facilitators - they also need to be empowered to take on-the-spot decisions (if necessary) on behalf of PRCDP.

明晰协调员的角色和职责以及让他们被当地项目和社区都认可，对于PRCDP的顺利运行很重要。在村级/乡镇级形成一支协调员队伍，并培养他们的能力，与在省上或县上聘用协调员相比，对各省来说，不仅意味着项目成本更低，并且更容易复制这种工作模式。但是光有一群村级和乡镇级协调员还不够，他们还需要得到授权，可以代PRCDP在现场作决定（如果必要的话）。

**Box 16: The facilitator's role; 框1: 协调员的角色**

The description of facilitators' roles of facilitators is drawn from experiences in PPA and PP under the Project<sup>18</sup>:

通过PPA和PP过程的体会，我们认为项目协调员应该具有下面几种角色：

- **The facilitator as assistant:** During PPA and PP, facilitators should only facilitate, not give instructions or dominate the discussion and analysis, or influence decision-making of the community. Local people should be the ones to talk, discuss and decide;

项目协调员是协助者：在参与式贫困分析和参与式规划过程中，项目协调员只作为协助者，不给指示，不在讨论分析中占支配地位，而由当地人自己发言，分析决定，避免影响社区的分析和决策；

- **The facilitator as catalyst:** the facilitator should guide the process of transfer between PPA and PP, to ensure all analytical and planning contents are complete and to provide continuity. If there are disagreements/disputes on, for example, development priorities of the community, facilitators need to balance the different priorities with a pro-poor perspective using a participatory approach, so that the community reaches a consensus;

项目协调员是催化剂：协调员要指导好参与式贫困分析和参与式规划过程之间的转换，以使分析和规划的内容完整，步骤紧凑。在出现分歧意见时，比如对社区的发展需求，项目协调员要从对穷人有利的角度，用参与式方法平衡社区需求的不同，以使社区达成共识；

- **The facilitator as service provider:** During the course of PPA and PP, the facilitator needs to ensure all relevant data is generated and recorded; maintain regular communication with key stakeholders; accurately represent local views and ideas; and feed back outside information to the community promptly.

协调员是服务者：协调员在参与式贫困分析和参与式规划过程中，要收集好各种资料，积极主动与有关部门沟通，表达社区的需求意愿，并将外来的信息及时反馈到社区。

**3.3.3 How to mediate conflicts: some principles and cases**

**如何调解冲突：原则和案例**

Conflict and negotiation is an important part of the participatory process in PRCDP. Different conflicts over different resources and even induced conflicts within or outside the local community can raise its head. Local facilitators have an important role in mediating conflicts and mediating interests of different stakeholders, especially the poor and the disadvantaged. Their capacities and the institutional support for addressing and solving conflicts needs to be build up over time in PRCDP.

冲突与谈判是PRCDP项目中参与式过程的一个重要部分。不同资源分配导致的不同冲突，甚至可能引发当地社区内、外过去的冲突重新抬头。当地协调员有一个重要的角

<sup>18</sup> **Source:** Mr. Zhou Zhifei, Banqiao Township, Rongan County, Guangxi province; 案例提供：周志飞（广西融安县桥板乡）

色，就是调解不同利益相关者的冲突和利益，特别是保障穷人和弱势群体的利益。在P RCDP项目中，应随着时间的推移，要逐步培养协调员解决冲突的能力并建立处理和解决冲突的机构支持。

⇒ **case 24: How Conflict was solved during a villagers meeting;**

案例3: 如何解决村民大会上的冲突

⇒ **case 25: Solving a Conflict on Water Source;**

案例5: 解决水源纠纷案例

When mediating conflicts, facilitators should observe the following points:

作为冲突处理的协调人员，需要注意以下方面：

- While analyzing and demonstrating project plans, try to consider who are the stakeholders of the project plan, particularly which group's interests may be jeopardized, listen to their views, and promote the beneficiaries and the potential non-beneficiaries to discuss and decide a possible solution, so as to avoid conflicts;

分析论证项目方案时，应尽可能考虑与该项目方案相关的利益群体有哪些，特别是哪些群体的利益可能受到损害，听取他们的意见，推动受益者和潜在受损者共同协商讨论出可能解决办法，避免矛盾的产生；

- Some conflicts may have already been there, and the project may become the catalysis for the conflict to erupt. Only by firstly obtaining a good understanding of the community and possible sources of conflict, can we possibly avoid the project making the conflict worse.

有些矛盾冲突可能是已经存在的，项目可能变为冲突爆发的催化剂，只有首先对社区具有充分的了解并调查了解冲突的根源才能避免项目加剧冲突发生。

- No project could possibly make everybody happy. However, creation of an open, transparent and equitable decision-making mechanism will minimize potential conflicts.

每一个项目都不可能使所有的人员都满意，但创造一种公开透明和公平的决策机制，可以使潜在冲突尽量减少。

- "The minority should be subordinate to the majority" is a way of settling disputes. However, we must be careful about whether the opinions of the majority may infringe the interests of the minority, and see if it is possible to establish compensation method or other alternative measures, so as to avoid planting seeds for future conflicts.

少数服从多数是解决冲突的一种方式，但需要注意是否因多数人的意见侵害到少数人的利益，能否建立补偿办法或有其它措施，避免种下矛盾的种子。

### 3.3.4 Checklist for Facilitation of Participatory Processes in Communities 协助开展社区参与式活动的检查单

The following checklist is meant as a guideline to help facilitators to check their behaviour during the facilitation process.

以下清单可作为帮助协调员检查其协助活动的指南。

Dos of good facilitation 该做的	Don'ts of good facilitation 不应该做的
<ul style="list-style-type: none"> <li><input type="checkbox"/> Convey project principles, orientation, limitations and possible resources to villagers. 向农户解释项目原则，方向，限制和可能向村民提供的资源</li> <li><input type="checkbox"/> Have willingness to delegate power, be pro-active. Create enabling conditions for local people to talk, draw and rank their issues, reveal their priorities and preferences and act in a positive manner. 愿意下放权力，并相互作用。为当地人创造条件，使他们可以谈论问题并打分，反映他们的优先事项和喜好，并以一种积极的方式行事。</li> <li><input type="checkbox"/> Encourage and support local participation, especially that of the poor and the vulnerable groups; support villagers in establishing a transparent and equitable system for local participation 鼓励并支持当地人参与，特别是贫困弱势群体人员参与；支持建立一个透明而公平的本地人参与机制</li> <li><input type="checkbox"/> Support villagers in developing an approach for analysis, discussion, decision-making and sharing of information 支持村民们开发一种分析、讨论、决策并分享信息的方法</li> <li><input type="checkbox"/> Emphasize villagers' capacity building throughout the process</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Commit to support carrying out some endeavors, raise expectations and designate specific projects for farmers to implement. 许诺支持开展某些事业，提高期望，指定具体的项目让农户实施</li> <li><input type="checkbox"/> Define a structured participatory system from the top. 用“从上到下”的模式，确定一个层次分明的参与机制</li> <li><input type="checkbox"/> To interfere in the internal community decision-making process, neglect to establish a system 干预社区内部的决策过程，忽视机制的建立</li> <li><input type="checkbox"/> To focus on specific project outputs, neglect process 注重具体的项目结果，忽视过程</li> <li><input type="checkbox"/> Insist on the project sticking to outsider requirements, or even give orders. Suspend the project. 坚持项目应围绕外部人员的要求，甚至命令，否则中断项目</li> <li><input type="checkbox"/> To emphasize "scientific and standardization" of participation, neglect implementation of participatory activities 注重参与的“科学性”和“规范性”，忽视参与性活动的实施</li> <li><input type="checkbox"/> Be careless about behavior which is</li> </ul>

<b>Dos of good facilitation</b> 该做的	<b>Don'ts of good facilitation</b> 不应该做的
<p>强调农户在整个过程中的能力建设</p> <p><input type="checkbox"/> Provide feedback and share information 反馈并分享信息</p> <p><input type="checkbox"/> Pay attention to local knowledge, customs, beliefs, expressions and psychological aspects, that influence the process of participation 关注那些影响参与过程的当地知识、习俗、信仰、表达方式和以及心理因素</p> <p><input type="checkbox"/> Try to moderate and/or prevent and mediate in case of individuals that act in a negative or destructive manner and try to establish a fair and robust environment for participation 如果个别人以破坏性行为，尽量创造一个公平参与的环境</p>	<p>not pro-poor and not pro-participation. Handle such issues all by yourself. Neglect considering what to do after completion of project or how to sustain participation.</p> <p>不理睬那些对情人不利、对参与不利的行为，或者自己包办处理这类事情（忽视项目结束后怎么办或者如何使参与得以持续下去）</p>

## 3.4 Capacity Building 能力建设

### 3.4.1 Objectives of Capacity Building in PRCDP PRCDP项目中的能力建设目标

- Project staff in PRCDP understands and accept the principles and approach of participation in PRCDP and apply them to their daily work.

PRCDP项目人员理解并接受PRCDP中的参与原则和方法，并在其日常工作中加以应用。

- Through adoption of participation as guiding principle, the performance and effectiveness of project management will significantly improve and conflicts of interests among project stakeholders will be reduced.

通过采用参与作为一种指导方针，项目管理的绩效和有效性将会显著提高，而项目利益相关者之间的利益冲突将会减少。

- Building capacities for participatory project planning, implementation and monitoring will help PRCDP to better achieve its vision of people-centred and sustainable development.

参与式项目计划、实施和监测的能力建设，将有助于PRCDP更好地实现其以人为本和可持续发展的展望。

### 3.4.2 Approach to Capacity Building 能力建设方法

Participatory approaches involve a big dose of learning-by-doing over time. Still, it is crucial to start with some basic inputs for enhancing capacity development within PRCDP. A strategic plan for capacity building in a phased manner will be driven by the needs of the project and will put specific and clear emphasis on the following three aspects:

尽管参与式方法随着时间的推移，涉及大量的边干边学。不过，开始时进行一些基本的投入，以便提高在PRCDP内的能力发展，还是很重要的。分阶段进行能力建设的战略计划，将由项目的需要驱动，并具体而清楚地分析以下内容：

- **Attitudes:** Changing stereotyped mind-sets to adopt a more flexible attitude to people-centred development;

改变刻板的思维方式，取而代之以一种更加灵活的态度，和以人为本的发展观

○

- **Methods:** Application of participatory methods and approaches in practice and

在实践中应用参与式方法和方式；

- **Institutional Change:** Institutionalize these methods and approaches within the government system to poverty alleviation for a sustainable development.

在政府体系中，将可持续发展的扶贫方式方法机制化。

Recommended here are some strategies for capacity building, which are to be used in a comprehensive manner. The strategies are not mutually exclusive. They are over-lapping and are inter-connected to a great extent and should be employed simultaneously to achieve the objectives mentioned above.

这里推荐几个能力建设策略，这些策略应以一种综合性的方式。这些策略并不是相互排斥的。它们在很大程度上是相互重叠、相互关联的。

- Building **knowledge, skills and values for participatory development**, which is a crucial component of the whole project process. There should be opportunities created for continuous learning and reflection contributing towards focused professional growth of the project staff. One-shot workshops are not sustainable and there is also the need for providing regular support to facilitators to apply new ideas going beyond conventional activities. This would also involve performance-based assessments and incentive systems, which encourage project staff to take a less structured approach.

建设参与式发展的知识、技能和价值观，这是整个项目过程的关键部分。应当有机会创造连续学习和回顾的机会，有助于把焦点放在项目员工的职业发展上。现场研讨会不能持续，还需要为协调员提供定期的支持，以便应用新观点，并超越传统活动。这也会涉及以业绩为基础的评估和奖励体系，鼓励项目员工采用一种分级更少的方法。

- Building **skills in interpreting and using data from PPA, PP and participatory monitoring** in order to integrate them with county/village level plans and the conventional project data.

建设解释并使用来自参与式贫困评、参与式计划和参与式检测的数据的能力，以便将他们与县级、村级计划及传统项目数据合并。

- Finding ways to align project objectives with those of local communities and coming up with a localized checklist and instructions for **strengthening and supporting field-level decision-making**.

找到将项目目标与当地社区的目标相调整的方式，并形成一個本地化的检查表，以及强化并支持现场一级决策的提示。

- Finding ways to **identify and target poor and the disadvantaged** in terms of project benefits and related decision-making, to target additional resources and support from different partner organizations, to provide support for organizational linkages of communities for more holistic

development and to promote self-help principles amongst the community members for sustaining development.

在项目好处及相关决策方面，**找出识别并锁定贫困及弱势群体的方式**；找出锁定来自不同伙伴组织的额外资源和支持的方式；为社区跟好的发展提供更多的组织联系支持；为持续发展，在社区成员中间促进自助原则。

- **Institutional development** – Redefine roles and change attitudes (For details see the discussion above). In the long run, the institutions in the hierarchical structure will need to redefine and clarify their objectives, mutual roles and performance yardsticks through a learning process which draws from present and past experience. Focused training and stakeholders' workshop is considered a powerful means of influencing institutional behaviour<sup>19</sup>.

### **组织发展**

重新分配角色，改变态度（详见上文讨论部分）。从长远来看，层次分明的机构将需要重新组合，并界定清楚它们的目标、相互作用，以及衡量业绩的尺度。这是一个渐进的阶段，各机构会从它们目前和过去的经验中学习。集中培训和利益相关者研讨会被认为是一种强有力的影响机构行为的方式。

- ⇒ [case 26: Developing a Learning System on Participation in Guangxi](#)  
案例4: 广西项目系统建立参与式学习体系初显成效

### **3.4.3 Principles of Capacity Building 能力建设的原则**

Appropriate capacity building based on practical experience will help the managerial team to adopt a learning mode with sufficient flexibility for to improvement . Such an approach to capacity building will demonstrate the relevance and usefulness of participation in initiating and running projects/programmes and especially the significance of facilitator-villager interface.

基于实践经验的适度能力建设，将有助于使管理团队采用一种有足够灵活性加以改进的学习模式。这种一种能力建设方法，将展示参与在启动和运作项目/计划中的关联性和有用性，特别是协调员 – 村民界面的重要性。

The learning approach adopted by PRCDP means:

PRCDP采用的学习方法意味着：

- mutual learning amongst project stakeholders rather than top-down instruction by higher levels

项目相关利益者之间相互学习，而不是由高层从上到下指示；

<sup>19</sup> For further guidance on the Learning System, please refer to the Manual Annex.



- learning from practical application rather than from instructions through experts,  
从实际应用中学习，而不是通过专家讲授学习；
- improving project performance based on lessons from the field rather than sticking to predefined targets only,  
根据现场的教训来提高项目的绩效，而不仅仅是坚持事先确定的目标；
- understanding learning on participation as a long-term task and creating platforms for ongoing exchange of field-based experiences within the government system rather than depending on formal training only.  
将对参与的学习理解为一种长期的任务，并在政府体系内创造持续交流现场经验的平台，而不是仅仅依靠正式的培训。

### **3.4.4 Focuses of Capacity Building 能力建设的重点**

Capacity building on participation should focus on the following areas:

在PRCDP中应用以参与式方法为基础的能力建设，应该考虑以下几个方面：

- Capacity building will be focused on developing **understanding of participation**, and on how to effectively promote active participation of the community, as well as how to effectively coordinate cooperation between different departments (the province, the counties and the townships). This will help realize project objectives, and ensure that the poverty groups benefit.

能力建设应将焦点集中在开发对参与的理解上，集中在如何有效促进社区的积极参与，以及如何在不同的部门之间如何有效地协调合作（省、县、乡）。这将有助于实现的项目目的，并确保贫困群体从中受益；

- **Awareness raising** will be carried out with leaders. The switch should be made to the awareness from the past when the leaders made all the decisions, and the people implemented these decisions, to the stakeholders jointly make the decisions and jointly implementing the activities. Such a switch of awareness is not only to improve the effectiveness and efficiency of the project, but also to guarantee that the development changes of the poor communities are toward the desired direction for reducing poverty and vulnerability.

**将提高领导的意识。**改变过去的领导做决定，群众做事情的意识，向相关群体共同做决定，共同实施的方向转变。这种意识的转变不仅是为提高项目的有效性和项目效率，也才能保证贫困社区的发展改变是贫困人群期望的方向。

- The key trainees will be **project facilitators** (including line agencies) at county, township and village levels, so as to minimize costs during the course of rolling out PP. The most suitable promoters of PRA will be project facilitators at county, township and village levels, instead of the outside "experts". The focus of capacity building should be on capacity of the local facilitators, so as to ensure that they can be in operation continuously.

关键的培训对象将是县、乡、村级项目协调人员（包括专业机构），以减少参与式计划推广过程中的成本；可行的、有效的参与式方法的推动者将是县、乡、村级项目协调人员，而不是外来“专家”，能力建设重点是当地协调员的能力，以保证他们持续发挥作用。

- The basic means of training should be through **learning-by-doing** in the field instead of mainly indoor training. The mentality of participatory development and facilitating skills for promotion of participation depend largely on accumulation of experiences. However, indoor training mainly provides concepts and theoretical knowledge. Therefore, self-learning and mutually helpful learning in practice is more important.

培训的基本手段是通过在**现场边学边干**，而不是以室内培训为主。参与式发展的理念和推动参与的协助技巧更多的是一种经验积累，而室内培训主要提供一些概念和理论知识，因此，实践中的自我学习和互助学习更为重要。

### **3.4.5 Steps in Capacity Building 能力建设的步骤**

Steps in capacity building in the different areas should be suited to local conditions. If the level of capacity is at a starting stage, capacity building would go through the following stages. :

各地能力建设的步骤因地制宜。如果能力水平处于起始阶段，则可以参考下面的几个步骤：

#### **Step One: Clarify Institutional Responsibilities and Training Audience**

步骤一：明确各机构的职责和培训对象

The institutions involved in PRCDP need to clarify objectives and mutual roles through 'start-up stakeholders' workshops.

PRCDP涉及的机构，需要通过一次利益相关者启动研讨会，来界定清楚目标和各自角色发挥什么作用。

- Who will be responsible for managing the capacity building programme at PMO level? There should be people who can handle such a mission at the County level.

谁将负责管理项目办一级的能力建设计划？在县一级应当有能够承担这个重任的人。

- Who will be the key resource persons for briefings to leaders and as training facilitators? These will be those with considerable knowledge of participation, functional and operational skills, and proper attitude to form the county-level trainers' team, and also be recognized by the provincial-level project coordination department.

谁将是向领导们进行简单介绍并担任和培训协调员的关键人物？这些人应当有相当的参与知识、操作技能和适当的态度，以组成县级培训教师队伍，还应由省级项目协调部门认可。

Scope for holding a series of stakeholders' workshops, based on the emerging project needs, is useful during the life of the project. So a start-up stakeholders' workshop will be followed by a series of such workshops either on a periodic basis and or as and when the situation demands. This is a type of needs-based, evolutionary process of institutional learning-by-doing in which the lead institution, its supportive institutions and those networked can mutually learn from the emerging field experience and resolve outstanding issues.

根据新兴项目的需要，在整个项目周期内，有必要召开一系列利益相关者研讨会。因此，在利益相关者启动研讨会之后，一定要定期或者根据形势需要，接着召开一系列的这种研讨会。这是一个以需要为基础的、革命性的、机构性的边干边学过程，牵头机构、相关机构和其它网络机构可以相互学习各自的实践经验和解决问题的方法。

## **Step Two: Assess Training Needs**

### **步骤二：培训需求评估**

The training must be based on the actual needs of project work, be fully functional during the course of project implementation, and directly contribute to rolling out the PRCDP project and PP. Training is for de-bottlenecking the "skill" difficulties and hurdles encountered during the course of rolling out PRA. Therefore, the starting point of capacity building is the actual needs instead of the theories or approaches.

培训必须以实际项目工作的需要为基础，并在项目实施过程中充分发挥作用，直接贡献于PRCDP项目以及参与式计划的推广；培训是为了更好地解决推广参与式方法中遇到的“技能”困难和障碍，因此，能力建设的出发点是实际需求，而不是理论或方法。

The county-level training groups and the provincial project departments will evaluate the training needs of the counties, townships and villages and provincial-level relevant units related to participatory poverty alleviation and development, and determine the different trainees and corresponding training contents. The training needs analysis should include assessment of knowledge, attitudes, skills and practices on participation. The results of this study should be a strategy focusing on identifying and fostering supportive leadership, developing a skilled and committed staff cadre, and supporting any organisational changes needed to promote these changes.

县级培训小组和省级项目部门分别对县、乡、村和省级相关单位进行有关参与式扶贫和发展的培训需求评估，确定不同的受训对象及其相应的培训内容。培训需求分析应包括对知识、态度、技能和参与做法的评估。这个研究的结果应当是一个把焦点放在识别并促进支持性领导艺术，发展一支熟练而执着的干部队伍，并支持促成这些变化所需要的任何组织变化。

PRCDP must strive to build capacities for improved ways of participation in the project. There are a few critical capabilities needed by project staff which are described in the following checklist.

PRCDP必须努力建设能力，以改善项目参与的方式。对项目员工来讲，有如下几个关键的能力：

### Capabilities of Project Staff on Participation

#### 好的项目协调员应有

- Conducting participatory poverty assessment and PP  
进行参与式贫困评估和参与式计划
- Reversing roles and “handing over the stick” for decentralized decision-making  
反向作用及“传递接力棒”，以便分散决策
- Managing resources and providing effective services  
管理资源及提供有效的服务
- Organizing and managing different stakeholders for decentralized decision-making and implementation  
组织并管理不同的利益相关者，以便分散决策及执行
- Finding ways for sustaining maintenance and management of facilities, and maintenance of assets  
找到持续维护管理设施和保持资产的方式
- Finding ways of sharing common goals and pro-poor decision-making  
找到分享共同目标和对穷人有利的决策方式
- Partnering project activities with other stakeholders  
与其它利益相关者结伴进行项目活动

### Step Three: Capacity Building Plans

#### 步骤三：能力建设计划

Based on PRCDP project progress and the above strategy, create county-level and provincial level capacity building plans. These will be practical documents showing the number, type, content, and timing of capacity building and training sessions, including who will facilitate them, and who the participants should be. The plans should have an accompanying budget. The sessions will include trainings, workshops, discussion meetings, briefings, exposure visits/exchanges, etc.

根据PRCDP项目进程以及上述策略，形成县级和省级的能力建设计划。这将是表明能力建设和培训课程的编号、类型、内容和时间的使用性文件，包括谁来协调，谁应当是参与者。这些计划应伴随着一个预算。课程应包括培训、交流研讨会、讨论会、短会、考察、交流等。

**Box 17: Some ways for Capacity Building in PRCDPI; PRCDP能力建设的相关方式I**

- \* Training; 培训
- \* Building teams of motivated individuals; 建设由激情昂扬的个人组成的团队
- \* Periodic performance assessment by peer-group through meetings and sharing sessions, 通过会议及交流会，由对等人群定期进行业绩评估
- \* Forming informal learning groups in the project, 在项目中形成非正式的学习小组
- \* Informal discussions with other stakeholders from time to time; 不时地与其它利益相关者进行非正式讨论
- \* Holding periodic workshops with local communities/other institutions; 与当地社区、其它机构举办定期的研讨会
- \* Holding participatory 'clinics' for resolving field issues; 定期开办“诊所”，解决现场的问题
- \* Mentoring by seniors; 由资深人员指导
- \* Counselling sessions by team members; 由团队成员开咨询会
- \* Competing/collaborating in small groups, 小组内竞争、协调
- \* Imitating role models within and outside the project, 项目内外模仿角色模式
- \* Self-learning from the field; 现场自学
- \* Providing Incentives/rewards for good and creative work 为良好而有创造性的工作提供奖励/鼓励

In addition, the capacity building and training should make best use of the pilots demonstrating in-depth participation.

此外，能力建设与培训应当最好地利用深度参与的试点展示。

Training will be appropriately tailored – specific training according to different administrative levels and project roles – including both intra –project and inter – institutional objectives, roles and performance yardsticks<sup>20</sup>.

培训将量体裁衣 – 根据不同的行政级别和项目角色采取不同的培训 – 项目内和机构间的目标、角色和衡量业绩的尺度。

- ◆ **Leaders** – the poverty alleviation context of participation, the concept of participation, changing attitude and behaviour, overview of participatory methods, the costs and benefits of participation, the institutional fit of the approach, responsive leadership in the context of community participation and community empowerment

领导 –

参与的扶贫内容、参与的概念、改变态度和行为、回顾参与式方法、参与的成本和效益、方法的机构适配性、社区参与和社区授权的内容中敏感的领导艺术

;

<sup>20</sup> For further guidance on how to design a training strategy, please refer to the Manual Annex. 要获得更多如何制定培训战略的指导，请参阅手册附件

- ◆ **Trainers** - the concept of participation, the importance of attitude and behaviour, the context of PRCDP, conducting workshops, training methods, participatory tools, application and reflection

培训教师 –

参与的概念、在PRCDP中，态度、行为的重要性、召开研讨会、培训方法和参与式工具、应用及回顾；

- ◆ **Facilitators** - the concept of participation, the importance of attitude and behaviour in participation, PRCDP, participatory tools and techniques

协调员 – 参与的概念、态度、行为的重要性、PRCDP和参与式工具和技巧；

#### **Step Four: Implement Capacity Building Plans**

##### **步骤四：实施能力建设计划**

Based on the PRCDP schedule requirements and correspondent training materials, implement capacity building plans.

根据PRCDP项目进度要求和相应的培训资料，实施能力建设计划。

#### **Step Five: Evaluation and Follow-Up**

##### **第五步：评估和后续活动**

**Finally**, the effectiveness of the capacity building and training should be evaluated as part a) of good training practice (e.g. by using trainee feedback at the end of sessions), and b) of the overall M&E system of PRCDP, especially the part dealing with the quality of participation. This feedback can be used to modify further capacity building.

**最后**，能力建设和培训的效果应当被作为a)良好培训方法（比如期末使用培训学员反馈），b)

PRCDP中的整体监测与评估体系的一部分而评估，特别是处理参与质量的那一部分。

这种反馈可以用来修正进一步的能力建设。

#### **Box 18: Ways for Capacity Building in PRCDP II; 框3: PRCDP能力建设的相关方式 II**

**Training-workshops based on field-work** can provide useful lessons for influencing attitude and behaviour. However, there can arise the need for having more than one round of training-workshop since PRA-type activities require periodic reinforcement of appropriate inputs. When the needs of the project team are identified for capacity building it is important to plan suitable ways of meeting those needs. High quality training in participatory project activities can initiate changes in knowledge, skills and values of the project team members, which would then have to be sustained.

**以现场工作为基础的培训班**可以提供有用的课程，来影响态度和行为。不过，可能需要不止一轮培训班，因为参与式的活动要求定期加强适当的输入。一旦项目团队能力建设的要求被找出来，重要的是计划适当的方式来满足那些需要。参与式项目活动的优质培训可以开始改变项目团队成员的知识、技能和价值观，就会不得不持续下去。

。

An important message to bring to the project team is that in the post-training period, self-driven learning from the field is a powerful way of reinforcing skills and values required for participatory projects.

要带给项目团队的一个重要的信息是，在培训之后，现场的自发学习是强化参与式项目要求的技能和价值观的一种强有力的方式。

**Box 19: Ways for Capacity Building in PRCDP III; : PRCDP能力建设的一些方式 III**

Implementing institutions can build **teams of motivated individuals** with concentrated rounds of training to spearhead the participatory process envisaged in PRCDP. Peer-groups can be encouraged to meet for informal interactions and sharing of views.

实施机构可以建设**由情绪高昂的个人组成的团队**，有几期集中的培训，以便在PRCDP中带头实施参与式方法。可以鼓励相等群体开会，非正式地交流、分享看法。

**Informal learning groups**, small in size, cutting across different layers of an institution can highlight issues from different perspectives and discuss them. Learning groups can cut across project team members, local communities and others.

**非正式的学习小组**，规模小，在一个机构的不同层次切入，可以从不同角度突出问题，并讨论它们。学习小组可以切入项目团队成员、当地社区和其它。

**PRA ‘clinics’** conducted from time to time can bring to the fore important field and project-related issues and discuss ways of resolving them. Such ‘clinics’ from time to time can play a useful role in conflict-resolution both within and outside the project teams and can strengthen the process of learning.

不时举办的**参与式“诊所”**可以将重要的现场和与项目有关的问题提到前台，并讨论解决的方式。这种不时举行的“诊所”，可以在项目团队内外发挥一种有益的冲突解决作用，并可以强化学习过程。

In **mentoring or ‘hand holding’**, a close relationship with a senior staff of proven behaviour and skill is likely to keep a young staff open and yearning for growth. Institutions can nurture such relationship by assigning mentors to junior staff members. The mentor has to create effective channels of communication, inspire and instil values in the junior, encourage positive attitudes, and discourage cynicism and negative attitudes in the junior. This would increase the confidence of junior staff being mentored, open channels of communication and influence way of thinking and thereby create opportunities for attitudinal change.

在**辅导或“帮扶”**中，与举止和技能良好的资深员工之间建立的一种密切的关系，可能使年轻员工敞开心扉，渴望成长。机构可以为初级员工指定导师，来培养这种关系。导师必须创造有效的沟通渠道，激励初级职员，并将价值观植入其心中，鼓励积极的态度，反对玩世不恭和消极的态度。这将会增加被辅导的初级员工的自信心，打开沟通的渠道，并影响人们的思维方式，因而创造改变态度的机会。

### 3.4.6 Checklists for Capacity Building 能力建设的检查表

The following checklists should be used by project managers and supervision for assessing capacity building on participation in PRCDP.

下表可供项目经理和总监在分析PRCDP项目中能力建设问题使用：

#### Attitudes and Awareness of Project Staff

##### 项目工作人员的态度和意识

- Appreciating issues of "local ownership" and "sustainability";  
欣赏“本地拥有”及“可持续性”问题；
- Appreciation of de-centralised decision-making process in participatory approaches - 'handing over the stick';  
欣赏参与式方法中分散决策过程 – “传递接力棒”；
- Greater clarity in understanding of project objectives, approaches and methods;  
更清楚地理解项目目标、方法和方式；
- Understanding of indigenous knowledge system and its significance;  
理解乡土知识体系及其重要性；
- Understanding of participatory processes and its strengths/limitations for 'scaling up';
- 对参与式过程、其推广的优势/弱点的理解；



## Skills of facilitators

### 协调员的技巧

- Inter-personal skills, social skills, ways of consultation and decision making amongst project team members, team work, team spirit and group dynamics;  
在项目团队成员、团队工作、团队精神和团队动态中间，进行人际交往能力、咨询和决策方式的能力；
- Skills in identification of different poor groups, mobilising and involving them in the project;  
在识别不同贫困群体，在项目中调动他们，并使其参与的额外技能；
- Skills for sensitisation to gender issues and finding ways of involving local women;  
对社会性别问题敏感，并找出让当地妇女参与的方式的额外技能；
- Skills for establishing rapport and motivating community in order to involve villagers;  
建立关系，调动社区村民参与的额外技能建设；
- Skill in ways of involving local leaders, other stakeholders and recognising partnership issues;  
使当地领导、其它利益相关者参与方式，以及认识伙伴问题的技能建设；
- Ability for critical reflection, self awareness and embracing errors;  
关键的回顾、自我反省及接受错误的的能力；
- Conflict mediation skills  
调解冲突技能
- Making of PPA, PP, action plans, village development plans /implementation and related activities.  
制订参与式贫困评估、参与式计划、行动计划、村发展计划、实施及有关活动；
- Skill building for formulating withdrawal/exit strategy/plan of project activities;  
起草项目活动的撤出/推出战略/计划的技能建设。

## Management Roles and Principles

### 管理职责与原则

- Greater clarity on roles of various stakeholders in the project for overcoming gaps, distortions in and low appreciation of community empowerment process;  
更清楚各种利益相关者在项目中的作用，以克服社区授权过程中的隔阂、扭曲和欣赏程度低的问题；
- Understand and adopt facilitating role for interaction with communities;  
理解并接纳与社区互动的协调作用
- Village groups, village organizations and their activities - social, economic, technical and technological issues for holistic understanding;  
村民小组/村组织和他们的活动 - 理解的社会、经济、技能和技术问题；
- Way of building project 'vision of change' and core ideology and making them actionable;  
建设项目“改变的展望”、核心理念并使其可实施的方式；
- Feasibility of local development strategies and social and technical validation;  
本地发展战略的可行性，以及社会、技术批准；
- Lessons in institution building and project sustainability.  
机构建设和项目可持续性的教训。

### 3.4.7 Issue and Challenges 问题和挑战

Some common issues and challenges in capacity building in participatory approaches are described below.

下面说明了用参与式方法进行能力建设中的一些常见的问题和挑战。

(i) It is important to point out that training has its own limitations, especially **one-off training**. Slow capacity building over time with periodic reinforcement of new training inputs is desirable for the project team.

应当指出，培训有其自身的局限性，特别是单一的培训。能力建设随着时间缓慢推进，并定期地强化新的培训输入，对项目团队来说最为理想。

(ii) **Relationship with external agencies/parent organization** – Often it is found that the rules which govern a participatory project management structure stands out differently from those which govern parent institution/s and other line agencies. These differences often act as constraints to smooth functioning of the participatory project management structure. It is important to be aware of such constraints and evolve appropriate capacity building plans for providing overviews on participatory approaches to parent institution/s, line agencies and others institutions important to the smooth running of the project.

#### 与外部机构/母体组织的关系

我们经常可以发现，一个参与式项目的管理，与管理母体机构及其它部门机构的原则不同。这些差异经常成为参与式项目管理结构顺利运作的限制因素。应当重视这种约束，并制定相应的能力建设计划，全面回顾母体机构、部门机构和其它重要机构采用参与式方法顺利开展项目运作的过程。

(iii) **Transfer of trained staff** – Often it has been observed that trained staff from participatory project management structures get transferred on a routine basis and such transfers may not be beneficial for the project during its start-up years. An agreement needs to be reached with an appropriate authority for limiting the transfers of trained staff for a few years.

#### 调动训练有素的员工

经常可以观察到参与式项目管理班子中训练有素的员工定期调动，这种调动对项目头几年可能不好。应当和有关部门达成一项协议，限制这种熟练人员在几年时间内的调动。

(iv) **Use of stereotyped yardstick for performance assessment** – Use of performance yardsticks used for less participatory projects can pose a constraint, as they may limit the performance of a PRCDP staff who may then be less inclined to take risk or do something innovative in the course of the project period. It is important to develop new yardsticks for performance assessment of staff the project through brain-storming with PRCDP staff .

### 使用刻板标准来进行业绩评估

使用非参与式项目常用的绩效标准可能成为一种束缚，因为它可能限制PRCDP员工的表现，他们可能更不愿意承担风险，或者在项目期间做任何有创意的东西。应当通过PRCDP员工的集思广益，为项目开发新的业绩评估标准来。

(v) **Quantitative targeting** – Reliance on quantitative targeting is limiting in participatory projects, and these targets are often already in place for projects where the number of things produced/provided is the only indicator for judging performance (for example the number of drinking water taps or the number of roads planned and completed). This approach may have to be dropped or ignored in PRCDP and more qualitative ways of benchmarking and even targeting will have to be evolved. This will become important in the setting of monitoring indicators for the project and the stakeholders' workshop can provide a list of such indicators appropriate for the PRCDP project.

### 定量目标

参与式项目对定量目标的依赖是有限的。在那些数量为判断业绩的唯一指标的活动中，这些目标通常都已经存在了，比如自来水水龙头的数量，或者计划及完工的公路数量。这种方法在PRCDP中可能不得不放弃或忽略掉，必须演化出更定性的标准、设定里程碑、尺度，甚至目标的方式来。这一点在设置这种指标时会变得重要起来，利益相关者研讨会可以提供一个适合于PRCDP项目的这种指标的清单。

### **3.4.8 Opportunities for institutional change under PRCDP.** **在PRCDP项目中进行机构变革的机遇**

Emphasis on practice and mutual learning as an integral aspect of the participatory approach will help the institution to be more effective in translating practical lessons from the field and to be able to manage the project with more professional confidence and hence better results.

强调将实践和相互学习作为参与式方法不可分割的一个方面，将有助于机构更有效地从现场、实践中吸取教训，并能够以更好的职业自信心和更好的结果，来管理项目。

Managerial styles in PRCDP are expected to influence other institutions in direct contact with PRCDP as well as those which control it. It is important to point out that the management systems in the higher-up institutions over-seeing PRCDP will have to adapt and gear themselves to the new participation-friendly style of functioning. This will imply not only a change of mind-set to appreciate participatory management but also to appreciate, recognize, grant legitimacy to and support the following:

预计PRCDP中的管理风格也将影响与PRCDP有直接联系的其他机构，以及那些控制它的人。有必要指出，那些监督PRCDP的上级机构的管理系统，将不得不使自身适应新的、对参与无害的职能。这将不仅暗示着改变思维方式，去欣赏参与式管理，而且还要欣赏、认可、支持以下内容，并赋予其合法性：

- the decentralisation process of decision-making,

决策的分散过程；

- views of the multiple stakeholders of the project,  
项目众多利益相关者的看法；
- the delegation of authority down to the 'bottom',  
将权力下放到“底层”；
- the role reversal under participatory approach in the context of mutual roles and powers of PRCDP, its controlling institution/s and local communities,  
PRCDP、它的控制机构和当地社区的相互作用和权力，在参与式方法下的反作用；
- the decentralisation of project budgets,  
项目预算的分散化；
- the significance of participatory poverty assessments in PP and the whole of the project cycle,  
参与式贫困评估在参与式计划和整个项目周期里的重要性；
- the bottom-up planning and implementing processes,  
自下而上的计划和实施过程；
- the community monitoring and maintenance,  
社区监测与维持；
- the local people's perspective to project implementation and decision-making and  
当地人对项目实施和决策的看法；
- the time needed for both local community and PRCDP managerial team to adapt to the new ways of project management and take off.

当地社区和PRCDP管理团队适应新的项目管理方式，并出发的时间。

Ultimately, the re-structuring of institutions towards becoming people-friendly needs to be mainstreamed on the development agenda. This is also important in the context of sustaining institutional capacity building towards participatory development.

最后，需要调整和重组机构，使机构的主流工作体现以人为本的发展理念。这一点对于为了参与式发展而开展的持续的机构能力建设，也很重要。

In this context, it is important to remember that PRCDP is not an isolated project structure. It can perform well only if it is provided good support by its controlling institutions and peer-institutions. Such capacity building of other institutions is also important for sustaining institutionalization of participatory approaches within PRCDP. Otherwise there is a risk that PRCDP becomes a mere one-off experimental project in the vast development world of China. Therefore, some capacity building of the institutions controlling PRCDP and peer-institutions is

most desirable for strengthening professional capacities for better understanding of the project strategy, context of activities and the way forward and also for moving towards improved vertical and horizontal linkages.

在这方面，重要的是需要记住，PRCDP不是一个孤立的项目结构。它只有得到其控制机构和同等机构提供的良好支持，才能很好地实施。其它机构的这种能力建设，对于在PRCDP内将参与式方法的持续机构化也很重要。否则，就有PRCDP仅仅成为中国庞大的发展世界中的单一的一个试点项目的风险。在一定程度上，控制PRCDP的机构和同等机构的一些能力建设，对强化职业能力，更好地理解项目策略、活动内容及前进方式，以及朝着更好的垂直联系和水平联系前进，是最理想的。

## 3.5 Costs and Benefits of Participation 参与式的成本和效益

### 3.5.1 Purpose of this Chapter 本章的宗旨

The purpose of this Chapter is to provide a framework for assessing the costs and benefits of participation and to provide guidance on financing the participatory approach in PRCDP.

为评估参与式的成本和效益提供一个框架，并为PRCDP中的参与式方法融资提供指导

。

To achieve meaningful participation it is important to recognize that there is an 'up-front' cost, i.e. at initial cost at the beginning of the project. However, the reason that the participatory approach has been adopted across so many of the World Bank's investments globally, is that the initial costs are off-set by much better impact and more sustainable outcomes in the long run. These initial costs and longer-term benefits are elaborated here.

要实现有意义的参与，重要的是承认有“启动”成本，即在项目开始时发生的费用。然而，参与式方法在世界银行全球这么多投资项目都一直采用的原因，是启动费被长期更好的影响和更可持续的结果抵消了。这里详细地阐述了这些启动费和长期的效益。

### 3.5.2 Costs of Participation 参与式的成本

There are two principle cost types in the participatory approach:

在参与式方法中有两种原则性的成本类型：

#### a) Costs associated with training and capacity building

##### 与培训及能力建设有关的成本

- ◆ Building awareness and support for the participatory approach among management staff at all levels

在各级管理层中间建立对参与式方法的意识和支持。

In relation to awareness raising and capacity building, PMOs will need to ensure that sufficient briefings and workshops with leaders are costed.

关于意识提高及能力建设，项目办将需要确保为与领导们进行短会和研讨会预算足够的费用。

- ◆ Facilitator training on participation methods, attitudes and quality issues (facilitators at County, Township and Village levels)

对协调员进行参与式方法、态度及质量问题培训（县级、乡级和村级协调员）

。

- ◆ Holding stakeholders's workshop (one day) with regular periodicity (twice annually or as frequent as required). These may involve paying subsistence

allowance and travel costs to participants and should be held in locations where such costs are generally low.

定期召开利益相关者研讨会（一天的），一年两次或者按需要召开。这可能涉及向参与者支付生活费和差旅费，并应该在费用最低的地方举行。

In relation to the training, Provinces will need to make sure they have budgeted for sufficient training of facilitators and that they have a group of experienced facilitators who can run the facilitators' training. It is recommended that facilitator training occurs at two separate levels, to reflect the different roles and capacities of the facilitators:

关于培训，各省需要确保他们已经为“协调员培训”预算了足够的费用，并有一群有经验的协调员可以进行协调员培训。建议将协调员培训分两级进行，以反映协调员们不同的角色和能力。

- ◆ One set of training for facilitators drawn from County and Township staff (to include the Province in one county. In case there are too many people, it may be conducted in two sessions).

一套培训针对从县级和乡级人员中抽调出来的协调员（将全省集中在一个县，如人数太多可分两批进行）。

- ◆ One set of training for village facilitators.

一套培训针对村级协调员。

The majority of participation facilitators will be at the township and village level, and the major cost is in training this large group of facilitators. This is in fact a low cost approach to facilitation, as once trained, the facilitators have low on-going costs (e.g. work subsidies and daily subsistence fees). Furthermore, training a group of people at the village level in facilitation skills, is a more sustainable approach and is empowering to those communities.

参与协调员的大多数将是乡级和村级协调员，培训费主要花在这一大组协调员里。这事实上是一种低成本的协助方法，因为一旦受过培训，协调员们的持续费用会很低（比如工作补贴和每日生活费）。进一步说，在村一级培训一组人员的协助技巧，是一种更可持续的方法，对那些社区是一种赋权。

It is further recommended that a highly participatory approach is developed for the training, using small groups and a hands-on approach, and that the costing is based on using this type of training method (see Annex on Training).

进一步建议为培训开发一种高度参与式的方法，分小组，使用动手的方法，预算成本以使用这种培训方法为基础（见培训附件）。

- ◆ Introducing the participatory approach to villagers

将参与式方法介绍给村民们。

The costs that need to be allocated to introducing the participatory approach to villagers should be much less than the cost for training facilitators. Since the



majority of trained participation facilitators will be at the village level already, the costs of travel, food and subsistence, and so on for people to facilitate the introduction of the approach to villagers will be minimised.

需要分配给向村民介绍参与式方法的费用应当比分配给培训协调员的费用少得多。由于受过培训的协调员中多数本来就是村里的人，向村民们介绍参与式方法的协调员的差旅费、食宿费等将会被降到最低程度。

Villagers could be introduced to participation in a number of ways – such as through a village meeting or through learning-by-doing. Following some briefing, learning-by-doing together with good facilitation should mean they understand the concepts better. This would mean that some extra briefing and training costs and time should be budgeted into each stage of the village-level project cycle.

可以用几种方法来向村民们介绍参与式方法

例如通过村民大会或通过边学边干进行。在听过简介之后，边学边干，加上好的协助，就意味着他们应当更好地理解这些概念。这就意味着在村级项目周期里的每个阶段，都应当更多地预算一些简介和培训的费用和时间。

## **b) Costs associated with facilitating the on-going participatory project cycle process**

### **与协助现有参与式项目周期过程有关费用**

- ◆ Facilitating the key project cycle stages: PP, PPA, Participatory Implementation, and PM&E

协助关键的项目周期阶段：参与式规划、参与式贫困评估、参与式实施和参与式检测与评估。

Facilitation will be required in each step. In order to cost these facilitations within their costing frameworks, PMOs will need to decide:

每个步骤都要求协助。为了将这些协助费用控制在它们的预算框架内，项目办将需要决定：

- ◇ how many village and county/township facilitators will be involved in each stage,

每个阶段将涉及到多少村子，多少县/乡协调员；

- ◇ how many days facilitation each facilitator dedicates to each stage in each village,

每个协调员每个阶段将在每个村子贡献多少天的协助；

- ◇ how much, if anything, village facilitators will be remunerated.

村级协调员们将得到多少报酬，如果有的话。

Expenses to be budgeted which are related to facilitation during implementation are :

执行阶段需要做出预算的、与协助有关费用：

- ◇ Material costs, transportation and hotel expenses incurred during the course of project management;  
项目管理过程中的材料费，交通费，住宿费等
- ◇ Technical inputs, such as engineering costs, transportation and boarding of technicians going to countryside;  
项目过程中的技术投入，如设计费、技术人员下乡的交通费，住宿费等
- ◇ Necessary meetings, including reasonable food and other expenses for meetings of county, township and village coordinators;  
必要的会议，包括县级、乡级、村级协调员会议需要的合理伙食等开支
- ◇ For county and township project staff and technicians going to the countryside, it is allowable to work-out reasonable rates of field subsidies (including food);  
县、乡项目人员、技术人员下乡时，可按当地标准，制定出合理的野外工作补贴（含伙食）标准
- ◇ As a principle, the project will not provide beneficiary groups with working subsidies. The beneficiary groups include villagers, villagers' representatives, managerial people from the natural villages and villagers' committees. However, if the villagers' representatives and managerial people have to work outside their villages, the necessary expenses need to be budgeted.  
项目原则上将不为受益群体提供工作补贴，受益群体包括村民、村民代表、自然村和村委会管理人员。但需要村民代表、管理人员到村外工作时，必要的开支可列入项目预算；
- ◇ Based on specific project needs, farmers may input money or labour, however, this will have to be on voluntary basis.  
根据具体项目需要，农户可能有资金或劳力的投入，但这需要建立在农户自愿的基础上。
- ◇ If villagers and villagers' representatives are authorized by villagers to work outside the village (for example in procuring materials), the necessary expenses like transportation, food and lodging incurred during the course of these activities will be jointly born by the villagers. However, the range and criteria of the expenses will be decided by the villagers beforehand.  
村干部、村民代表受村民委托外出工作时（如参与物资采购），活动过程中产生的交通、伙食、住宿等必要的开支应由村民共同承担，但事先应由村民确定开支范围和标准
- ◇ Different villages may decide according to local circumstances if the labor contributions of farmers in construction of infrastructures will be subsidized (with labor remuneration), and be included in the plan.

农户在基础设施项目建设中的投劳，是否有补贴（劳务费），各村根据具体情况而定，列入规划中。

- ◆ Training Materials and Manuals on participation methods, data collection, storage, analysis, reporting and information dissemination;

参与式方法的培训资料及手册、数据采集、存放、分析、汇报及信息传播。

- ◆ Reflective learning and sharing of experiences (improving participation – passing learning on to the next phase and new project areas);

回顾式学习及经验分享（提高参与 – 将学习传递到下一个期和新的项目区）。

Given the phased approach to PRCDP, between each phase there will be opportunities for reflection and sharing of experiences with participation. Provinces should budget for proper reflection workshops, as well as any other sharing ideas such as networking, to maximize the potential of learning-by-doing.

假定PRCDP用分阶段的方法，那么在每个阶段，就会有用参与式来回顾和分享经验的机会。各省应为适当的回顾研讨会，以及诸如联网之类的分享思路编制预算，以便将从边学边干中学习的效果最大化。

### **3.5.3 Benefits of participation 参与式的效益**

Benefits from the participatory approach may be divided into social and institutional benefits that are difficult to assign a monetary value, and economic benefits.

参与式方法的效益可以分成难以确定货币价值的社会效益及机构效益，以及经济效益

。

Evidence for the economic benefits from a participatory approach are drawn from experiences with other World Bank community-driven development (CDD) projects around the world, as well as experiences from some NGOs with Chinese rural communities.

参与式方法的经济效益的证据来自世界银行在全世界的其它以社区为动力的项目（CDD）以及部分NGO在中国农村社区的经验

These benefits include:

这些效益包括：

- ◆ The farmers are more willing to input more resources (mainly labour resources) to improve the quality of infrastructure projects implemented and managed by the communities themselves, and spare more project resources for such inputs as purchasing materials and technical supports, which will need “direct” input of money. In this way, with the same amount of financial inputs, the project can be bigger than it would be

otherwise. However, it should be noted that, when the community make the project bigger, it may impose pressure on households short of hands due to the associated increase in contribution of labor. It may also impose unintended pressures on the poor and the disadvantaged households to provide labour services on a voluntary basis, which they may not be able to cope with and which may result in them being forced to go without food and other basic needs.

社区自主实施和管理的基础设施项目，农户更愿意为提高项目质量投入更多资源（主要是劳力资源），而将项目投入的资源，更多用于材料购买，技术支持等需要资金的“直接”投入，这样，同样的资金投入，可以将项目做得更大。但也需要注意，在社区将项目做大的同时，可能因为投劳多而对劳力缺乏的家庭造成压力。它也可能因自愿投劳而无意中给贫困和弱势群体造成压力，他们可能不能应付，可能导致在没有食物和其它基本生活必需品的情况下去投劳。

- ◆ If, compared with contracted projects, the ones implemented and managed by the communities minimized the overhead expenses and profits paid to contractors, they can make almost 100% of project money available for the implementation of the project. . In addition, the communities will not shortcut input of labor and materials in order to increase profits, which will guarantee construction quality, and minimize future maintenance and service expenses. This also lays the foundation for infrastructure to be sustainable.

社区自主实施和管理的项目，与对外承包实施的项目比较，减少了承包机构的“管理费”和“利润”，可以使项目资金几乎100%用于项目实施。同时，社区不会因为要增加“利润”而偷工减料，保证了项目的质量，这就可以减少以后的维修和管护费用。这奠定了一些基础设施能够持续发挥作用的基础。

- ◆ Community-managed infrastructure projects (i.e ones with community participation) are better maintained than projects managed by the local government<sup>21</sup>. The conclusion drawn from this is that where communities have participated in the full project cycle related to the development of a certain infrastructure, they feel more ownership of it, it is 'their road', not the 'government's road'. Therefore they are more willing to commit time and resources to maintain it. This saves the local government money on maintenance and extends the useful life of the investment. Both of these factors improve the economic return on the investment.

社区管理的基础设施项目（即有社区参与的项目）要比当地政府管理的项目维护得更好。从这一点得出的结论是，如果社区全程参与了某个基础设施项目的开发，他们就有更多的拥有感，例如，它是“他们的路”，而不是“政府的路”。因此，他们就更愿意投入时间和资源来养护它。这就为当地政府节省了养护费用，并延长了投资的使用寿命。这两个因素都会提高投资的经济回报。

<sup>21</sup> Evidence from AKRSP in Pakistan. 来自巴基斯坦AKRSP项目的证据。

◇ It is worth noting that smaller, less technical sub-projects were found to be more effective when a participatory approach was used.

值得一提的是，人们发现较小、技术含量较低的子项目使用参与式方法的效果更佳。

- ◆ Facilities constructed with community involvement (participation) tend to improve access to public services. Schools developed where there has been community participation in the project cycle have higher attendance rates than government built schools, and use of primary health care and rates of child vaccinations increased where health facilities were developed with community participation<sup>22</sup>.

有社区参与建设的设施更容易获得公共服务。社区全程参与开发的学校入学率比政府建设的学校要高，而且有社区参与开发的卫生设施，初级保健的使用率及儿童免疫率都增加了。

- ◆ Where there is on-going participation of the community in the management of infrastructure, better outcomes are found: better school test results and fewer absentees with community members on school boards<sup>23</sup>.

如果有社区连续地参与基础设施的管理，就会有更好的结果：学校考试成绩会更好，而且学校董事会里社区成员的缺席者会更少。

The quality of infrastructure is better where the community is involved in project implementation. Projects constructed without community supervision or management tended to be poorly constructed by private contractors. The conclusion drawn here is that communities tightly supervise what they see as 'their infrastructure' and as they are on the ground they are better able to supervise than town-based technicians. However, studies show communities do need technical support in their supervision.

有社区参与项目实施的基础设施质量更好：没有社区监督或管理而建设的项目，可能会被私人承包商建设得很劣质。这里得出的结论是，社区会紧紧地监理他们看成是“他们自己的基础设施”；他们在基层，因此能够比那些以城镇为基地的技术人员更好地监理。不过，研究表明社区在监理过程中，的确需要技术支持。

- ◆ Infrastructure works better where there is participation. In water schemes, water supply is better and improvement in health outcomes greater<sup>24</sup>.

<sup>22</sup> Evidence from social funds in Peru and Zambia respectively.

证据分别来自秘鲁和赞比亚的社会基金。

<sup>23</sup> Evidence from Nicaragua and El Salvador.

证据来自尼加拉瓜和萨尔瓦多。

<sup>24</sup> Evidence from Indonesia and India.

证据来自印度尼西亚和印度。

有参与的基础设施效果更好：在供水项目中，供水情况更好，而且对卫生改善的结果更佳。

- ◆ If participation extends to some control of the funds themselves., then it improves communities' willingness to contribute time and resources to projects. When government staff or contractors controlled the funds, communities viewed their contribution as a tax rather than a fee for service<sup>25</sup>.

如果参与式会延伸到他们自己对资金有一定的控制的话，参与式会提高社区为项目贡献时间和资源的意愿。如果政府人员或承包商控制资金，则社区会把他们的贡献看成一种税收，而不是一种服务费。

- ◆ Overall, participation can improve the sustainability of project investments. The process of community participation strengthens the community's potential for collective action, which in turn is likely to mean that they act together to better maintain infrastructure. However, there is evidence that participation and community management can be seen by governments as an excuse for minimal on-going support to communities. The combination of community participation and continuing support from government for margin inputs and training is most likely to create sustainability<sup>26</sup>.

从总体上说，参与式能够提高项目投资的可持续性。项目参与的过程加强社区采取集体行动的潜力，反过来就可能意味着他们可以一致行动起来，更好地养护基础设施。不过，有证据说明社区参与和管理可以被政府看成是只给予社区最小的连续扶持的一个借口。社区参与和政府对于差额和培训的连续扶持，很可能产生可持续性。

These economic benefits may be summarized as:

这些经济效益可以总结为：

- ◆ Better maintenance, and lower maintenance costs by government  
更好的养护，政府投入更少的养护费用；
- ◆ Better utilization rates, and hence better rates of return on the investment  
更高的利用率，因此有更高的投资回报率；

<sup>25</sup> Evidence from Brazil.

证据来自巴西。

<sup>26</sup> Ghazala Mansuri and Vijayendra Rao. **Community-Based and -Driven Development: A Critical Review.** World Bank Policy Research Working Paper 3209, February 2004.

嘎扎拉·曼苏里与维亚因德拉·劳合著《以社区为基础及动力的开发：关键回顾》。世界银行政策研究工作论文第3209号，2004年2月。

- ◆ Better outcomes, eg health and education

更好的卫生和教育结果；

- ◆ Improved sustainability

改善的可持续性。

The major social and institutional benefits include:

主要的社会和机构效益包括：

- ◆ Projects better meet local demand – greater community satisfaction

项目更好地满足本地的需求 – 更高的社区满足度；

- ◆ Higher levels of social inclusion – those groups of poor and disadvantaged at the margin of society are able to participate. This helps in broadening the local base for participation.

更高的社会包容水平

处于社会边缘的贫困和弱势群体能够参与。这有助于扩大参与的地方基础。

- ◆ Deeper interaction between communities and officials – more efficient processes mean that programmes are more likely to succeed.

社区和官员之间更深层次的互动

更高效率的过程、意味着计划更有可能成功；

- ◆ Government officers facilitate, but do not govern the participatory processes therefore officials gain better understanding of poverty and communities needs.

政府官员协助，但不管制参与式过程

，因此官员对贫困和社区需要获得更好的理解；

- ◆ All sections of society are given a voice and the opportunity to express choice – greater community empowerment.

社会的各部分都得到一个发言权，和表达声音的机会 – 更大的社区授权；

- ◆ Better ownership by the local communities of the assets and infrastructure contributed by them as well as of the services provided by them under the project.

- ◆ 当地社区对他们贡献的资产和基础设施，以及他们在项目中提供的服务，有更好的拥有感。

- ◆ Better transparency and clarity of project process and local validation.

项目过程和当地批准更透明，更清楚。

- ◆ The participatory process is one of learning-by-doing – communities' capabilities for self-development are built upon and improved.

参与式过程是边学边干的过程之一 – 社区自我发展的能力得以建立、改善；

- ◆ Community works together in participatory processes – greater social capital developed.

社区在参与式过程中一起工作 – 发展出更大的社会资本。

- ◆ The government improves its own service and management. On the one hand, the government should empower the communities, allowing the communities to do those things they have the right to participate in and can do well. On the other hand, the government should focus their efforts on providing the communities with a better development environment and services, including managerial supports and technical services, etc.

改善政府自身的服务和管理，一方面放手授权于社区，使社区自主做他们有权利参与并且能做好的事，另一方面政府集中精力，为社区提供更好的发展环境和服务，包括管理支持和技术服务等。

The last five of these social benefits should all endure beyond the life of the project.

这些社会效益的后五种应能持续到项目周期之后。

In summary, the participatory approach entails some upfront expenditure, mainly in training. Use of village facilitators means on-going costs are lower, and the capacity is located in the village. The benefits from the approach are mainly longer term ones that relate to more effective and efficient use of the project investment, and communities that have improved capabilities for self-development. The cost-benefit equation favours the use of the participatory approach.

概括地说，参与式方法必然带来一些急迫的支出，主要是在培训方面。使用村级协调员就意味着连续的费用会更低，而且培训能力就在村里。本方法的好处主要是长期的，与更有效而高效地使用项目投资，而且社区提高了自我发展能力有关。成本-效益方程赞成使用参与式方法。



### 3.6 Annex Chapter ; 第3章的附件

#### Cases 案例

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**case 23: Change of Attitudes among local officials as an outcome of PP;****案例1：PP对当地政府项目人员态度的影响**

Through their involvement in the PP process, local officials have developed a new understanding about the local community, as well as poor people's perspective on poverty and its alleviation. Examples of this change are:

通过介入PP过程，不少地方政府官员对当地社区，以及穷人们对的贫困与脱贫有了新的认识，具体包括：

1. From lack of trust of analytical abilities of the community to acknowledgement of and respect. When they started participating in PP, some officials thought poor communities were economically primitive, and that villagers were poorly educated, and did not know and could not think about their lives. They believed that county and township project staff were better educated, more analytical, and more knowledgeable on issues most important for the communities. Conducting PPA and PP would only waste time and resources in poor communities. However, as the participatory work progressed, attitudes of township and county project staff changed. "During the course of analysis, we came to fully respect and trust local people's knowledge and abilities, feel relaxed to let them map, vote and draw conclusions. We delegated the right to discuss and analyse to the locals completely. The results proved that the community have all the abilities to analyze their own poverty problems."

由不相信社区的分析能力转变为承认和尊重社区的能力。刚开始参与PP时，有人认为贫困社区经济落后，村民文化水平低，分析能力差，不会、也没有能力思考他们的生活，而县乡项目人员文化高，分析能力强，知道什么事情对社区最重要，在贫困社区用参与式方法进行贫困分析和规划会浪费太多的人力和物力。但随着参与式工作的开展，县乡项目人员的态度有了转变。在分析过程中，我们充分尊重和相信当地人的知识和能力，放心和放手让他们去做，作图、投票、作结论都由当地人完成，完全把发言权、分析权交给了当地人。结果发现，社区完全有能力分析自己的贫困问题；

2. From unwilling to communicate with the community to learning from them, and listening attentively to their wishes. "At the very beginning, some people believed it was sufficient to consult a few village cadres, and that there was no need to do a very detailed job. However, after living in the village and establishing a profound communication with villagers, county and township project staff discovered they had gained a lot of knowledge from the community, and collected a lot of information. We realized it was their knowledge that was the key to solve poverty problems. We learned how to learn from the community and listen to their voices".

由不想同社区沟通转变为自觉向社区学习，倾听社区的意愿。一开始，有人认为，只要找一些村屯干部问问就行了，没有必要那么深入细致的工作。但经过县乡项目人员吃住在村里，与当地人同吃同住，深入沟通后，我们学到了大量的社区知道而我们不知道的知识，得到了许多原先没有掌握的信息。我们认识到他们的知识才是解决贫困问题的关键。我们学会了如何向社区学习，学会了倾听社区的声音；

3. From being afraid of empowerment to letting local people make decisions by themselves. "Before implementation of PP, some people were worried that the community would not use their new rights to plan. However, after a series of PP, we noticed that the community had all the abilities to handle all kinds of conflicts of interests, and make practical and feasible plans. Therefore, we delegated the right of decision-making to the community, and let the locals make the decisions and produce very good results from community PP."

由不敢赋权转变为由当地人自主决策。即将开展参与式规划时，有人担心社区不能用好规划权。但在一系列参与式规划活动中，我们认识到社区完全有能力处理各种利益冲突，有能力做出符合实际、可行的规划，所以我们由社区自主决策，把决策权交给当地人，得到了很好的社区参与式规划成果。

*Write-Up: Zhou Zhifei, Banqiao Township, Rongan County, Guangxi province*

案例提供：周志飞（广西融安县桥板乡）

**case 24: How Conflict was solved during a villagers meeting;****案例3: 如何解决村民大会上的冲突**

On that day, 114 representatives of the villagers joined the meeting, of which 64 were men and 50 were women. Before the meeting the facilitators informed the village that the representatives should consist of 1 woman, 1 poorest household and 1 member of Villagers' Union. The number of representatives was expected to be 81 though 114 persons came to join the meeting because several sub-villages sent more representatives in consideration of their population.

In the meeting the representatives had two different opinions in the same village. One group wanted to build the road different from the other group. So conflict appeared regarding direction of the road and it was difficult to decide, which road to build on a priority bases. Each group selected one representative to present their opinion in detail. After their presentation the work team numbered the two roads as road 1 and road 2 and then wrote road 1 on a piece of paper on the left and road 2 on another piece of paper on the right. And then the 2 pieces of paper were placed on two bowls respectively with one bowl placed between them in the center. The two groups then put beans in the three bowls to vote either for road 1 or road 2 or not vote at all. The work team then made the decision according to the number of beans in each bowl for selection of the road project. The results showed that for road 1 there were 9 votes, for road 2 there were 99 votes and 6 persons did not take sides.

**如何解决分歧？龙胜的经验**

那天，114名村民代表参加会议，其中男性代表64人，女性代表50人。会议举办之前，协调员通知村里，村民代表必须包括一名妇女、一名最贫困农户和1名村委会成员。代表人数原来预计是81人，但实际到会人数是114人，这是因为一些屯考虑到本屯人口较多，因此多派了代表。

会上，来自同一个村的代表就修路问题有了不同意见。一方想修的路另一方的意见相左。因此冲突看起来是关于公路走向问题，难以决定优先建设哪一条路。于是双方各派一名代表在大会上详细阐明己方观点，在他们各自阐述完毕后，工作组将两种修路方案标示为1号公路和2号公路，并写到两张纸条上，左边是1号公路，右边是2号公路。然后，将两张纸分别放进两个碗中，中间放上第三个碗。然后两组人以投豆子的方式表决，同意修1号公路的，将豆子投入左边碗中；同意修2号公路的，将豆子投进右边碗中；豆子投进中间碗里表示弃权。之后，工作组根据每个碗中的豆子数量，做出最后决定。投票结果表明，9人赞同1号公路方案，99人赞同2号公路方案，6人弃权。

*Write-Up: County group from Long Sheng County*

来源：龙胜县工作组记录

## case 25: Solving a Conflict on Water Source;

### 案例5: 解决水源纠纷案例

广西环江县川山镇白丹村共有9个屯，在PRCDP项目开展需求评估时，交通困难和饮水不足或不清洁是各个屯村民提出的共性需求。在准备开展EATS项目时，由于资金有限，各个屯村民代表都同意首先将饮水问题作为主要解决的困难。经过水利部门技术员与村民规划后，初步确定5个屯涉及饮水工程，下白丹等其余4个屯因为已经基本解决饮水问题，没有列入试点项目范围。之后，由于EATS项目希望探索出不同类型项目的参与式实施经验，即项目的多样性，又在两个贫困屯开展了小规模修路项目，这样，在白丹村涉及到项目试验的屯共有7个。另一方面，根据当地发展条件和县政府的规划，其中的\*\*屯将作为搬迁屯，没有在当地开展项目的必要，因此，最终的结果是只有下白丹屯没有得到ITAD的支持，开展EATS项目。虽然开展饮水项目是所有屯村民共同决定的，但加上修路项目和政府搬迁计划的综合结果，没有项目的下白丹村民对这样的结果有些想法。

Baidan Village of Chuanshan Town, Huanjiang County, Guangxi Province has 9 sub-villages. During evaluation of needs in the PRCDP project, difficult access to transportation and insufficient or unclean drinking water were the common needs of villagers in all the sub-villages. While preparing to implement the EATS Project, due to limited funds available, the villagers' reps of all the sub-villages agreed to take potable water was the major difficulty to be resolved. After planning by the technician from the water conservancy department and the villagers, it was initially decided to get 5 sub-villages involved in the potable water project, and the other 4 sub-villages, such as Lower Baidan, since they have basically solved the problem of access to potable water, they were not included in the range of pilot project. Thereafter, since it was hoped to explore experiences for participatory implementation for different types of project through the EATS Project, i.e., diversity of projects, small-scale road building projects were implemented in two poor sub-villages. Therefore, there were 7 sub-villages involved in the project experiment. On the other hand, according to local development conditions and plans of county government, \*\* sub-villages of which was listed as sub-villages to be resettled, and there was no need implement projects locally. Therefore, eventually, only Lower Baidan Sub-village did not get supports from ITAD for implementing EATS Project. Even though potable project was jointly decided by villagers from all the sub-villages, plus the comprehensive results of road construction and government resettlement plan, the villagers of Lower Baidan Sub-village were unhappy about such results.

下平屯是EATS项目的试点之一，技术人员根据农户要求和实地勘测，设计出从塘头水源架设自流管道到下平的方案，同时，由于管道经过上白丹屯，而上白丹屯原有的饮水系统已经报废，所以，从塘头水源到下平屯的饮水管道在上白丹屯留有岔口，同时解决上白丹屯饮水问题。该方案经过协调员、技术员、下平村民和上白丹屯村民协商后，开始购买材料和实施工程。

Xiaping Sub-village was one of the pilot spots in the EATS Project. The technicians, according to farmers' requests and field survey, designed the plan for installing pipes to

let water flow by gravity from the pond, the source of water, to Xiaping Sub-village. In addition, since the water pipe pass through Upper Baidan Sub-village, whose original potable water system had been scrapped, there was an outlet left on the potable water pipe from the water pond to Xiaping Sub-village, so as to give Upper Baidan Sub-village access to potable water at the same time. The plan was discussed and decided by the facilitators, technicians, villagers from Xiaping Sub-village and Upper Baidan Sub-village. Thereafter, they started to procure materials and implement the project.

该工程在实施开始起，就遭到下白丹村民的反对和阻挠，他们提出的理由是塘头水源是他们的灌溉水源，引水会导致他们在旱季不能保证灌溉。“他们要吃水、我们也要吃饭”是下白丹村民提出的反对修饮水管道的理由。而事实上，即使在旱季，塘头水源的出水量也可以供一尺口径的管道，而下平饮水管的直径为32MM，即取走的饮水不到总水量的1%，对灌溉影响很小，而下平村民也提出，旱季可以将饮水管道关闭，保证下白丹村民的灌溉水，该方案也被下白丹村民认为不可行，总之，就是不同意架设到上白丹和下平的饮水管道。

Since the very beginning of implementation, the project was opposed and obstructed by villagers from Lower Baidan Sub-village. Their reason was that the water pond was their source of irrigating water, and drawing water will result in insufficient irrigation for them during the dry season. Their justifiable reason for opposing installation of potable water pipe was that "They need potable water, but we also need food, too". In fact, even if in the dry season, the out flowing water was still enough for a 1/3 meter diameter water pipe. However, the diameter of the Xiaping Potable Water Pipe was only 32mm. That is to say, the water intake was not quite 1% of the total water volume available, and there would not be much impact on irrigation. The villagers of Lower Baidan Sub-village also proposed to close the potable water pipe during the dry season, so as to secure villagers of Lower Baidan Sub-village with irrigation water. That plan was also considered by the villagers of Lower Baidan Sub-village as being infeasible. Anyway, they just disagreed to install the potable water pipe from the Upper Baidan Sub-village to Xiaping Sub-village.

为解决这一矛盾，川山镇协调员、主管项目的副镇长以及党委书记都到过下平做工作，希望下白丹村民能顾大局，作出让步，使饮水管道能顺利架设好。在做工作的同时，就开始了管道架设工程，工程7月初完工，但由于下平村民的工作没有真正做通，通水2天后，水管就遭到下白丹村民的破坏，多次修复都被破坏，投资4万多元的饮水工程无法引水。

In order to solve this conflict, facilitator of Chuanshan Town, vice mayor in charge of the project and party secretary all came to Xiaping Sub-village as lobbyists. They all hoped the villagers of Lower Baidan Sub-village could bear the overall situation in mind, compromise and let the potable water pipe be smoothly installed. While doing the lobby, they were installing the pipe. The project was completed in early July. However, since the lobby of the Xiaping villagers was not successful, the water pipe was damaged by the villagers from the Lower Baidan Sub-village only two days after transporting water. It was repeatedly fixed and damaged, and the potable water project with over 40,000 RMB of investments could not work.

冲突发生后，县协调员和计划局局长也多次到下白丹协调矛盾，甚至提出将来项目上给他们一些照顾，但村民还是有很大情绪，不愿意妥协。

After the conflict happened, the county facilitator and the director of the County Planning Bureau came to Lower Baidan many times, to mediate the conflicts. They even proposed to give them some preference in future project. However, the villagers were still very emotional, and were unwilling to compromise.

进一步调查后知道，引水影响灌溉只是一个理由，实际上是过去村民矛盾冲突的延续。塘头水源属于2个屯共有，水源流出约2里后，有一个自然形成的人字型岔口，左边的水流到下白丹，右边的水流到上白丹，灌溉和饮水水源都是在分岔口后，各自用水。过去，为使水多流入本屯而改变人字型岔口，上、下白丹多次发生冲突，甚至发生过打斗，虽然找到平衡点，但下白丹屯村民认为自己是吃亏的，心里还是有气。

It was found after further survey that, drawing water for irrigation was only an excuse. It was actually continuation of conflicts between villagers of the two sub-villages in the past. The water pond was jointly owned by both sub-villages. After the water flow out of the pond for about 1 km, there was a naturally formed herringbone fork, which flew to Lower Baidan Sub-village on the left and to Upper Baidan Sub-village on the right. They use their own irrigating water and potable water after the herringbone fork. In the past, the villagers of both sub-villages tried to change the herringbone fork, so as to divert more water into their own sub-village. They ended up having many conflicts, even fights. Even though they eventually reached equilibrium, the villagers from Lower Baidan Sub-village still believed they were screwed, and they were still upset about it.

下白丹屯村民反对下平、上白丹饮水管道的架设，主要原因有几点：第一是白丹的其它屯都有EATS项目，只有他们屯没有；第二是事先没有与他们商议，也不听他们的反对，就开展工程；第三是取水点在人字型岔口以上，是上、下白丹公共的部分，上白丹又多占了水源，他们不能再吃亏了；第四是不相信以后有项目或会优先考虑他们。

The villagers of Lower Baidan Sub-village opposed erection of Xiaping - Upper Baidan Potable Water Pipe for the following reasons: Firstly, all the other sub-villages of Baidan Village had EATS Project, but they did not. Secondly, they were not consulted beforehand, and their objections were not honoured before the project was implemented. Thirdly, the water intake was above the herringbone fork, which was jointly owned by both the Upper and Lower Baidan Sub-villages, which also meant the Upper Baidan Sub-village would get more water, and they could not tolerate to be screwed anymore. Fourthly, They did not believe there would be any more projects in future, or would they be given any preference.

这种情况下，他们提出要求：饮水工程的管道在分水岔口以上，管道下来后，应该一分为二，下白丹屯也得到一半的水，或者帮助他们架设一根同样管径的饮水管，解决他们水源污染的困难，实际上，下白丹屯的原取水点在人字型岔口以下，而且靠近村庄，水源受到耕地、及牲畜的污染也是事实。无论怎样，村民认为上、下白丹公平分配水源是最重要的。这个问题不解决，修建的饮水工程将无法发挥作用，而且下白丹与上白丹、下平屯的矛盾还会加深。

Under such a condition, they requested: since the water pipe started from above the herringbone fork, it should be split into two branches after it got to the fork, allowing Lower Baidan Sub-village to get half the water. Or help them erect a potable water pipe

of the same diameter, so as to help them get rid of the water pollution problem. In fact, the original water intake of Lower Baidan Sub-village was below the herringbone fork, and was close the sub-village It was true that the water source was polluted by the farmland and animals. Anyway, the villagers believed that the most important point was to fairly allocate water between the Upper and Lower Baidan Sub-villages. Without this problem being solved, the potable water project already built will never be functional. In addition, the conflicts between the Lower Baidan Sub-village, Upper Baidan Sub-village and Xiaping Sub-village.

根据实际情况，县、乡项目人员分析后认为，目前的关键问题是如何通过项目减少社区之间的矛盾，而不是增加这种矛盾。因此，通过计划局、乡政府领导和协调员共同协商后，提出了如下处理办法：

Based on the actual situation, the county and township project staffs analyzed and believed the key was on how to settle the conflicts between the communities by the project, instead of making it worse. Therefore, after consulting the leaders of the County Planning Bureau, Township Government and the facilitators, the following solution was proposed:

由计划局补充提供部分项目资金，帮助下白丹解决饮水问题，同时解决了上，下白丹水源分配的问题。经过与相关村屯农户协商，大家都接受这个方案。饮水工程得以顺利实施。

The Planning Bureau would supplement some project funds, help the Lower Baidan Sub-village solve the problem of access to clean drinking water, and solve the problem of water allocation between the Upper and Lower Baidan Sub-villages. After consulting with the farmers in the relevant sub-villages, everybody accepted the plan. The potable water project was successfully implemented.

*Write-Up: Song Haokun*

撰写：宋浩昆



## case 26: Developing a Learning System on Participation in Guangxi;

### 案例4: 广西项目系统建立参与式学习体系初显成效

During the preparation phase of PRCDP, Guangxi focused on the development of participation skills within the project management and, and has effectively promoted project preparation through organizing and establishing a participatory learning system. 广西在PRCDP项目前期准备过程中，将项目系统和社区的参与式技能开发作为重要内容，并通过组织和建立参与式方法学习体系，发挥对项目前期准备工作的有效促进作用。

#### I. Process of Developing a Participatory Learning System

##### 组织和建立参与式方法学习体系过程

##### **"Participatory Learning and Working Plan for Preliminary Preparation of PRCDP in Guangxi"**

Based on the starting stage implementation plan on development of participatory skills developed by British ITAD Company, and according to the requirements for preliminary preparation of the project, Guangxi project system worked out the "Participatory Learning and Working Plan for Preliminary Preparation of PRCDP in Guangxi." It mainly clarified the objectives for participatory work at the preliminary preparation stage, working procedures for applying the participatory approach in feasibility study, training program, working range and contents for application of participatory approach, major outputs, working expenses budget, etc.

##### **制定广西PRCDP前期准备参与式学习和工作计划。**

在英国ITAD公司参与式技能开发起步阶段实施计划的基础上，广西项目系统根据项目前期准备要求，制定了前期准备参与式方法学习和工作计划，主要明确前期准备阶段参与式工作的目标要求、参与式方法应用可行性研究的工作程序、参与式方法应用的培训计划和 work 范围和内容、主要产出和工作费用预算方案等。

##### **Training and piloting on participatory planning at two villages in a county**

At early 2003, Guangxi PMO and ITAD selected two poverty-stricken communities in Huanjiang Maonan People's Autonomous County (Baidan Village and Xiatang Village), and started the training and piloting on PP there. Each of the 6 project counties sent at least 2 project facilitators to attend the training on participatory approach by piloting, which served as an example for the 6 project counties to conduct participatory planning and training.

##### **开展一县两村参与式规划的培训和试点。**

2003年初，广西项目办与ITAD公司选择广西环江毛南族自治县的两个贫困社区（白丹村和下塘村）开始参与式规划的培训和试点工作，6个项目县都选派2人以上项目协调员参加参与式方法试点培训，并作为6个项目县参与式规划和培训工作的示范。

##### **Training of PP facilitators**

In the second half of 2003, the training course for PP facilitators from the 6 project counties was conducted. According to the planned arrangement, each project selected three communities (villages) for participatory approach, and conducted training by 2

phases: Firstly, conducted PP county and town (township) facilitators training course, and selected workers from the county and township PMOs who would participate in village PP to attend the training (6 people from each county). Secondly, conducted PP farmer facilitator training course, and trained the village cadres and farmers' representatives from the project communities that were the first batch of communities to conduct village-level PP (4 people from each village). Also, the entire project staff from the provincial (autonomous region) PMOs attended the training, and the trainee network at the four levels of province, county, township and village took shape.

参与式规划协调员的培训。2003年下半年，举办项目区6县参与式规划协调员培训班，根据计划安排，每个项目县选择三个社区（村）作为参与式工作的范围，分2期开展培训：一是参与式规划县乡协调员培训班，选择县乡项目系统参加村参与式规划的工作人员（每县6人）培训；二是参与式规划农民协调员培训班，将项目社区第一批开展参与式村级规划的村干和农户代表（每村4人）进行培训。同时，省（区）项目办所有参与项目人员都参加培训，形成省、县、乡、村四级参与培训的人员网络。

#### **PPA and PP at 18 villages in 6 project counties**

According to degree of poverty, ethnic minority and pilot demonstration requirements, each of the 6 project counties selected 3 poor villages, and had the project facilitators to organize the communities and farmers apply participatory approach to conduct PPA in the community, and completed 18 PPA reports. On this basis, the project facilitators and technicians from relevant departments organized the communities and farmers to analyze the natural resources available in the community, discuss solutions for the poverty problem, analyze the project conditions and resources available in the community, propose project plans and work out project plan of the community.

#### **开展6个项目县18个村的参与式贫困分析（PPA）和参与式村级项目规划（PP）。**

6个项目县按照贫困程度、少数民族、试点示范要求各选择3个贫困村，由项目协调员组织社区和农户运用参与式方法，开展社区的参与式贫困分析，完成了18份参与式贫困分析报告；并在此基础上，项目协调员和相关部门技术人员组织社区和农户开展社区的自然资源分析、讨论解决贫困问题的办法、分析社区项目的条件和项目资源、提出项目方案和制定社区的项目规划。

#### **Participatory analysis of needs for education and public health in the community**

According to the social content requirements of PRCDP, under the guidance of the experts from the education and public health department, the 6 project counties conducted needs assessment for education and public health projects. Using the participatory approach, 10% of project villages were selected, and the status quo of education and public health needs were investigated and discussed in the community, and they finished the needs analysis reports of education and public health projects.

#### **社区教育和卫生的参与式需求分析。**

针对PRCDP项目社会性内容要求，在教育、卫生部门专家的指导下，项目区6县专项开展教育卫生项目的需求分析。应用参与式方法，选择10%项目村的范围，对社区的教育和卫生现状进行需求调查和社区讨论，并完成教育卫生项目的需求分析报告。

#### **Exchange and discussions, and completed county level project plans**

During the course of conducting PPA and PP in pilot villages, the project counties kept reinforcing the exchanges and discussions between the counties and villages, between different departments, and between different counties. During this period, the Guangxi Project System organized 3 workshops, provided the pilot villages of all the project counties with a platform to exchange PPA and PP, and paid attention to summary and recommendation. All the project counties, based on completing PPA and PP in three project villages with the participatory approach, link with county and village ten-year poverty alleviation development plan and project requirements of World Bank and / ITAD, promulgated the project plans of the project counties after adequate discussions between different departments.

**开展交流和研讨，完成县级项目规划。**

项目县在试点村开展PPA和PP工作过程中，不断地加强县村之间、部门之间以及县和县之间的交流和讨论。广西项目系统在此期间就组织了3次研讨会议，给各项目县的试点村提供了交流PPA和PP的平台，并注意总结和推荐。各项目县应用参与式方法完成了3个项目村的PPA和PP的基础上，结合县村十年扶贫开发规划和世界银行/英国国际发展部的项目要求，经部门之间的充分讨论，制定了项目县的项目规划。

**Summarize pilot experiences, and write up participatory work case and training materials.**

In March 2003, based on continuous improvement of PPA and PP for piloted villages in project counties, Guangxi Project System organized the participatory project facilitators to summarize the successful experiences of the pilots, to come up with means and methods for rolling up, wrote training manual and cases.

**总结试点经验，编写参与式工作案例和培训教材。**

2004年3月，在项目县试点村不断完善PPA和PP的基础上，广西项目系统组织参与式项目协调员总结试点成功的经验，形成可供推广的方式方法，编写培训手册和案例。

**Counties and township rolled out training, and implemented PP in an overall manner.**

After printing localized participatory cases and PP training manual, since August 2004, the 6 project counties carried out county and township participatory work training, and depended on the county and township facilitators to organize conduction of PPA and PP in 89 poor communities, and finished 30% of project village PP working requirements.

**县乡推广培训，全面推行参与式项目规划。**

在印制本土的参与式工作案例与规划培训手册后，2004年8月开始，6个项目县开展县乡参与式方法工作培训，并依靠县乡协调员组织89个贫困社区开展贫困分析和项目规划工作，完成30%的项目村参与式规划工作要求。

**II. Outcomes of the Learning System on Participation**

**参与式方法的学习工作体系的初步成效**

**Basically met the working requirements for preliminary preparation of PRCDP Project.**

During the course of identifying projects, project proposal, discussing plans and feasibility study, certain degree of community participation in empowerment and direct participation of poor people was secured, and reflected the poverty alleviation purpose of decision-making and planning during the course of preliminary project preparation.

#### **基本满足PRCDP项目前期准备的工作要求。**

在项目识别、项目建议、规划讨论和可行性研究中，保证一定程度的社区参与赋权和贫困者的直接参与，集中体现了项目前期准备中决策与规划的扶贫宗旨。

#### **Learning and working network by participatory approach preliminary took shape.**

Through training of participatory project facilitators in the levels of province (autonomous region), county, township and village and practices of "piloting - summary - rolling out" learning and working mode, Guangxi Project System formed a learning and working network by participatory approach, and gradually developed a system of experiences and methods for application of participatory approach in the project areas, and generated a bunch of people familiar with the application of the participatory approach.

#### **初步形成参与式方法学习工作网络。**

通过省（区）、县、乡、村四级参与式项目协调员培训和“试点——总结——

推广”学习工作模式的实践，广西项目系统形成参与方法学习与工作的网络，逐步形成项目区参与式方法应用的经验、方法体系和产生一批熟悉参与式方法应用的人员。

#### **Promoted participatory capacity building of the Guangxi Project System**

Over the last year, by training on participatory approach and learning by participatory work practices, the Guangxi Project System enabled the top-down team of project facilitators to start from being unfamiliar with the application of participatory approach to being familiar, and from caring little about it to attaching importance to it. In addition, a group of "indigenous experts" who respect and understand participatory principles came into being, who have play an important role in promoting the communities to actively participate, guarantee interests of the poor people, and in effectively coordinate the departmental works.

#### **促进广西项目系统的参与能力建设。**

一年来，广西项目系统通过参与式方法的培训和参与式工作实践学习，使从上而下的项目协调员队伍对参与式方法应用从不熟悉到熟悉、从不太重视到重视，并形成一批尊重和理解参与式原则的“土专家”，在促进社区的积极参与，保证贫困者利益以及在有效协调部门工作上发挥作用。

#### **Laid a solid foundation for implementation of participatory poverty alleviation project**

Application of the participatory approach is one of the basic requirements for implementation of PRCDP Project. At the preliminary preparation stage of the project, Guangxi Project System, by establishing a participatory learning and working system, continuously summarized the system of participatory approach, improved project coordinators and participatory capacity of the communities, and laid a solid foundation for active exploration into effective participatory poverty alleviation mode in the PRCDP Project.

**为项目参与式扶贫实施的打下良好基础。**

参与式方法应用是PRCDP项目实施的基本要求之一，在项目前期准备阶段，广西项目系统通过建立参与式方法学习与工作体系，逐步推广社区参与式规划，不断总结参与式方法体系，提高项目协调员和社区参与能力，为PRCDP项目形成有效的参与式扶贫模式的积极探索打下良好基础。

*Write-Up: Guangxi Foreign Funded Poverty Alleviation Project Management Center*

广西外资扶贫项目管理中心



**Chapter 4: Assessing the  
Participation Process**  
**第4章评估参与式过程**

## 4 Assessing the Participation Process

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## 4.1 Objective of this Chapter 本章的宗旨

The Project Development Objective of PRCDP includes the aim to “achieve sustained participation of the poorest rural people”. This means that PRCDP will fully involve poor people from project villages in the design, implementation, monitoring and impact assessment of the project. The extent to which villagers are involved, i.e. participate, in all aspects of the project is critical. A key performance indicator for the PDO is the “degree of effective participation of communities... throughout the whole project cycle”. This chapter explains what is meant by “effective participation throughout the project cycle” and proposes indicators for monitoring participation in PRCDP.

PRCDP的项目发展目标包括“实现最贫困的农村人的持续参与”的宗旨。这就意味着PRCDP将让项目村的穷人们完全地参与项目的设计、实施、监测和影响评估。村民们参与的程度，即参与项目的所有方面，很关键。项目开发目标的关键绩效指标是“整个项目周期里...社区有效参与的程度”。本章解释了“整个项目周期里社区有效参与的程度”是什么意思，并提出监测PRCDP里参与的指标。

## 4.2 How do we know we're doing participation well?

### 我们怎么知道自己参与得好不好？

In PRCDP the focus of participation is on giving voice and choice to the poor throughout the project cycle and thereby addressing problems of poverty in a more sustainable and effective way.

在PRCDP里，参与的焦点，是在整个项目周期里，给予穷人们发言和选择的权利，并因此而以更可持续、更有效的方式来解决贫困问题。

### 4.2.1 Different Modes of Participation 参与的不同模式

Going back to the definition of different “Modes of Participation” ( see we can distinguish between different “modes” of participation in PRCDP:

回到第一章图表1 (“参与的模式”)，我们可以区别出PRCDP中参与的不同“模式”：

- **Consultation**: communities are asked for their opinions  
咨询：询问社区他们的意见
- **Collaboration**: joint decision-making with communities  
协作：与社区联合决策
- **Empowerment** of local communities: communities take the lead in planning, implementation and monitoring, a process through which their capacities for sustainable development are strengthened.

地方社区的授权：社区牵头计划、实施和监测，通过这个过程，强化他们的可持续发展能力。

The table following on the next page provides examples of what different modes of participation mean during the four stages of participation in PRCDP.

下页中的表格提供了参与PRCDP项目四阶段的不同参与模式的实例。

#### **4.2.2 Minimum standard of participation 参与的最低标准**

PRCDP will adopt a minimum standard (quality) of participation which is required to be met in all project communities. The minimum standards for participation are agreed by WB, DFID and Provincial PMOs and incorporated into the annual planning. They will specify:

PRCDP将在所有的项目社区都采用（要求达到）参与的最低标准（质量）。参与的最低标准经世界银行、DFID和各省项目办同意，而且合并到年度计划中。它们将具体规定：

- The proportions of different poor and marginalized groups' populations who participate or are directly involved in the process (coverage). How many people participate and which groups are participating? (The specific proportion of participation can be proposed by all the project counties based on actual conditions of different project areas, then analyzed and summarized at the project evaluation stage).

不同的贫困及边缘化群体人口参与或者直接“涉足”这个过程（覆盖）的比例：有多少人参与，哪些群体参与？（具体参与的比例可以根据不同项目区域的实际情况由各个项目县提出，并在项目评估阶段分析总结）

- ◆ An agreed criteria on the mode of participation adopted during the four project stages. How do they participate? Are they consulted, involved in decision-making or even “taking the lead”?

四个项目阶段里采用的“参与”模式的约定标准：他们如何参与？他们被咨询，参与决策或甚至“牵头”了吗？

Table 4: Modes of Participation in PRCDP; 表1:PRCDP项目中参与式的模式

	Consultation; 咨询	Joint Decision-Making; 联合决策	Communities take the lead; 社区牵头
<b>PPA</b> <b>参与式贫困评估</b>	e.g. communities fill in questionnaires on household income  例如，社区填写农户收入问卷。	e.g. communities develop criteria of poverty together with project management staff  例如，社区和项目管理人员一起，开发出贫困标准。	e.g. communities develop their criteria for identifying poor groups to be targeted by this project  例如，社区开发他们的标准，来识别将作为本项目目标的穷人。
<b>PP</b> <b>参与式计划</b>	e.g. communities select from a given menu of projects  例如，社区从一份既定的项目清单中挑选。	e.g. communities select and plan projects together with project management staff  例如，社区和项目管理人员一起，挑选并计划项目。	e.g. communities develop options and decide on the projects they want to implement  例如，社区开发选项，并决定他们想要实施的项目。
<b>Implementation</b> <b>实施</b>	e.g. communities are involved in the implementation through provision of labour and other inputs  例如，社区通过提供劳务和其他投入，参与项目实施。	e.g. communities have a clearly defined role in managing projects at the community level  例如，社区在管理社区一级的项目中有明确地界定的角色。	e.g. communities set up their own management and implementation system  例如，社区设立他们自己的管理和实施系统。

	Consultation; 咨询	Joint Decision-Making; 联合决策	Communities take the lead; 社区牵头
<b>Monitoring</b> <b>监测</b>	e.g. provide feedback on projects 例如，提供项目反馈。	e.g. communities develop indicators for monitoring implementation together with project management staff  例如，社区和项目管理人员一起，开发出监测与实施的指标。	e.g. communities monitor the implementation according to their own criteria process and keep documentation  例如，社区根据他们自己的标准、程序，监测项目实施，并坚持形成文件。

### 4.2.3 Pilots on “deeper” participation during the implementation phase; 实施阶段“更深程度”参与的“试点”

During the preparation phase, the three Provinces have developed a clear understanding on what is possible on participation at a time when planning is still open and flexible. Also, they have developed a clearly defined approach to PPA/PP and criteria to monitor the process of participation.

在准备阶段，三个省已经对计划还是开放、灵活的时候，有什么参与的可能，开发出了一个清晰的理解。另外，他们已经开发出了一个清楚地定义的参与式贫困评估、参与式计划方法，以及监测参与过程的标准。

Participation during implementation is expected to develop flexibly within the PRCDP project management structure and also to vary widely between project areas, depending on factors such as:

实施期间的参与预计会在整个PRCDP项目管理结构中灵活地发展，而且根据以下原因，对不同的项目区也各不相同：

- Local management capacities to support participation.  
支持参与的当地管理能力。
- The degree of flexibility adopted by local project managements to allow for more decision-making at the local level.  
当地项目管理层采取的灵活性，允许在地方一级做更多的决策。
- Capacities of project communities to implement inclusive decision-making.  
项目社区实施包容性决策的能力。
- Aspects of communication, information and access to project communities and the level of facilitation given to support participatory processes.  
项目社区的沟通、信息和准入方面，以及给予支持参与式过程的协助水平。
- Procedures and requirements on different types of projects (e.g. on procurement).  
不同项目类型的程序和要求（例如采购）。

It is therefore important to admit that PRCDP will not be able to achieve an even level of participation throughout all project areas. However, improved or “deeper” participation should be trialled wherever possible. Those innovative approaches to participation include:

因此，重要的是承认PRCDP不能在所有的项目区都实现同样程度的参与。不过，应当在任何可能的地方，都试行更高或“更深程度”的参与。那些参与的创造性方法包括：

- Giving more responsibilities for decision-making and implementation to project communities, e.g. on procurement.  
给予项目社区决策和实施的责任，例如采购。

- Piloting innovative approaches to participatory project implementation within the different sectoral projects, aiming at increasing community capacities through collective action

在不同行业的项目中，试行创新的参与式项目实施方法，目的是通过集体行动来增加社区能力。

Chapter 2.3 includes a number of cases and examples of what “deeper participation during implementation” could be.

第2.3章罗列了一些有关项目实施阶段“更深层次”参与的案例。

These pilots need to be monitored separately and serve as learning examples for PRCDP<sup>27</sup>. The Provinces should keep a clear track of records on pilots where they feel they have done better on participation. They should develop their own criteria for monitoring pilots, based on the understanding of different modes of participation described above. The following table provides guidance on what is understood as minimum requirements on participation in PRCDP and on “better” participation which would be trialled in selected project areas.

这些试点需要单独地监测，并作为PRCDP的学习范例。各省应当清晰地跟踪记录那些他们觉得在参与方面做得“更好的”试点。他们应当根据对上述不同参与模式的理解，开发出他们自己的监测试点标准。下表对被理解为PRCDP里参与的最低要求和将在选定的项目区试验的“更好的”参与，提供指导。

Experiences with pilots on “better participation” will be assessed by the annual supervision mission. Aspects to be looked at will include:

“更好的参与”试点经验，将由年度监督代表团评估。要检查的方面将包括：

- Coverage and types of pilots: How many pilots implemented by each province? What kind of projects?

试点的覆盖面和类型：每个省实施几个试点？哪种项目？

- Criteria developed to describe and monitor “better participation”: What is the understanding of participation and how does it develop through the course of implementation? How has “improved” participation been achieved in pilots?

开发出来，描述并监测“更好的参与”的标准：对参与的理解是什么，它是如何通过实施过程发展的？“改善的”参与在试点中已经实现了吗？

- Lessons to be learnt: What is “possible” on participation in PRCDP? How can positive approaches be further strengthened and expanded?

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<sup>27</sup> During the preparation phase, Guangxi has trialled the so-called “EATs” (“Easy Achievable Tasks”) in cooperation with ITAD as cases for learning and capacity building. 在准备阶段，广西已经与ITAD合作，试行了所谓的“EATs”（“容易实现的任务”），作为学习和能力建设的案例。

要吸取的教训：在PRCDP中“可能”有什么样的参与？积极的方法如何能够被进一步强化和延伸？

**Table 5: Minimum Requirements on Participation and “better” Participation in PRCDP; 表2:参与式以及“更好”地参与PRCDP项目的最低要求**

	Minimum 最低	“Better” “更好”
<b>Planning 计划</b>	PPA/PP done in all project villages 所有项目村所做的参与式贫困评估、参与式计划。	Results from PPA/PP incorporated in county plans 参与式贫困评估、参与式计划的结果合并到县计划中。
<b>Budgeting 预算</b>	Projects budgets disclosed to local communities 向当地社区披露项目预算。	Project budgets adjusted based on PPA/PP 根据参与式贫困评估、参与式计划，调整项目预算。
<b>Procurement 采购</b>	Communities consulted on procurement issues 就采购问题向社区咨询。	Community procurement 社区采购。
<b>Construction of Infrastructure 基础设施建设</b>	Communities contribute labour and other inputs 社区贡献劳务和其它投入。	Communities manage and supervise construction process 社区管理并监督建设过程。
<b>Loan Management 贷款管理</b>	Loan records disclosed to communities 向社区披露贷款记录。	Communities actively manage loans (e.g. group loans) 社区积极地管理贷款（例如团体贷款）
<b>Training 培训</b>	Training based on training needs assessment 根据培训需求评估而进行的培训。	Training managed and followed up by communities as part of the overall capacity building approach 培训由社区管理和跟进，作为整体能力建设方法的一部分。
<b>Monitoring 监测</b>	Communities provide feedback on projects (“satisfaction”) 社区提供项目反馈（“满意度”）。	Communities use track of project experiences for improved implementation (“learning”) 社区用项目经验来改善实施（“学习”）

The overall M&E system will guide provinces on optimum ways to improve the way the project is being executed through reflecting on the on-going experiences and pilots. It is very important that where innovation occurs it is documented and other parts (townships, sectors, etc) are informed. This monitoring should also record in what way the participation is 'deeper' than the minimum standard, and what results of this have been.

整个监测与评估系统将指导各省以优化的方式，通过反映连续不断的经验和试点，来改善项目实施的方式。很重要的是，一旦发生创新，就应形成文件，并通知其它部分（各乡、部门等）。这种监测还应当记录哪种参与方式比最低标准“层次更深”，以及有什么结果。

### **4.3 How to develop indicators on participation?** **如何开发参与式指标**

Indicators on participation need to be developed by the PMOs, together with project participants. A minimum set of core indicators needs to be selected by Provincial PMO staff against which they will regularly report, in phase with WB supervision missions. Some indicators for measuring participation of poor and marginal social groups can be selected by communities themselves, in a similar process to the selection of indicators for measuring project outputs (see Chapter 2.4 PM&E). Indicators for monitoring the participation process should be both quantitative and qualitative.

各项目办需要和项目参与者一道，开发出参与的指标来。省级项目办人员需要挑选出一套最低限度的核心指标，据此定期汇报，与世界银行的监督代表团同步（见以下的第5.4款）。项目参与者需要参与监测参与的质量，作为参与式监测与评估的一部分。有些测量贫困及边缘化社会群体参与的指标，可以由社区以挑选测量项目输出的指标相同的过程，自己挑选（见第2.4章：参与式监测与评估）。监测参与过程的指标可以既是定量的，又是定量的。

**Quantitative indicators.** These are the most commonly used indicators and there are some which can be used to to measure participation. In some cases, indicators which are primarily quantitative can act as proxies for qualitative outcomes. But the qualitative dimension of participation should be explicit especially since participation of poor and marginal groups is a primary objective of PRCDP and project success depends on empowering participants to take on greater degrees of responsibility and control.

**定量指标：**这些是最常用的指标，有一些可以用来测量参与。在有些情况下，原本是定量的指标，可以成为定性结果的代表。但参与的定量方面应当清楚，特别是由于贫困和边缘化社区的参与是PRCDP的主要目标，项目的成功取决于授权参与者取得更大程度的责任和控制。



**Box 20: Quantitative Indicators; 框1:定量指标**

Quantitative indicators are for example, the proportion of women represented in a workshop, or proportion of people present at a meeting that are women. This indicator does not tell us about the mode of participation. Women can be present at a meeting or workshop, but still not participate which means taking an active role, having their voices heard, and being empowered to take action. Once a set of indicators has been agreed, the next step is to agree what will equate to the minimum satisfactory quality standard of participation for each indicator. For example, is women being 33% of people at a meeting satisfactory, or should the figure be 50%, or even 75%; should those women's assessment of their involvement in that meeting be satisfactory if the score is 4/10, or should the standard be 6/10?

定量的指标是，比如研讨会上代表妇女的比例，或者与会者中妇女的比例。这项指标并不告诉我们参与的模式。妇女们可能出席了会议或研讨会，但还是没有参与，意思就是说并没有发挥积极的作用，不发言，没有被授权采取行动。一旦约定了一套指标，下一步就是约定每个指标的、等于最低满意质量标准的参与。例如，妇女占与会人员的33%令人满意吗？还是应该用50%，甚至75%这个数字？如果，评估妇女参与的得分是4/10，那么那次次会议令人满意吗？还是应该把标准定为6/10？

**Qualitative indicators** These are descriptive statements about the process and outcomes of participation i.e. descriptions of attributes, traits or characteristics which are not in themselves quantifiable. The appropriateness of such qualitative dimensions of participation is influenced by cultural norms: thus primary stakeholders should be responsible for their definition.

**定性指标**：是参与过程和结果的描述性说明，即对那些本身不能量化的属性、特性或特征。这种参与的定性方面的适当性受文化模范的影响：因此，主要的相关利益群体应负责它们的定义。

**Box 21: Qualitative Indicators; 框2:定性指标**

One way to assess the quality of participation would be to ask women to state their satisfaction with the process. For example, women present at a meeting could be asked if they felt their opinions were heard and they had a role in the final decision making – they could even be asked to give a score to how well they were involved. Thus Quality Assessment of Participation might find that 30% of poor women attended a workshop, that 50% of participants were women, but on average women gave a satisfaction rating for the way in which they were involved in the meeting as only 3/10. Therefore quantitatively, this might appear satisfactory (half of participants were women), but qualitatively it is not, as those women felt they were not well involved in the workshop.

有一种评估参与质量的方法，就是让妇女们说明他们对这个过程的满意度。例如，可以问出席会议的妇女，她们是否觉得自己的意见被听取了，他们在最终决策中是否起了作用

甚至可以让她们对自己参与得有多好打分。因此，参与的质量评估可能会发现30%的贫困妇女出席了研讨会，50%的参与者是妇女，但平均起来，只有3/10的妇女对他们参与会议的方式打了满意分。因此，从定量的角度说，这可能看起来是满意的（有一

半的参与者是妇女)，当从定性的角度说，就不满意了，因为那些妇女觉得自己没有很好地参与研讨会。

#### **4.4 Methods and tools for observing participation** **观察参与式的方法和工具**

Quantitative indicators of participation quality, such as the proportion of women attending a village meeting, can be monitored very simply through the records of village facilitators. These could then be collated into the MIS.

参与质量的定量指标，比如出席一次村民会议的妇女比例，可以很容易地通过村协调员的记录监测。这些内容可以依顺序整理到MIS中去。

Qualitative indicators of participation quality, such as how effectively participatory tools were used, how well people feel they were able to have active involvement in meetings, how well they think their voice and choices are reflected in outcomes, etc need to be observed and cross-checked using a range of methods and tools. These tools are likely to be used as part of a purposive evaluation, or case study approach.

参与质量的定性指标，比如参与式工具被多有效地使用，人们觉得他们可以多好地积极参与会议，他们觉得自己的选择和声音被多好地反映在结果里等，需要通过使用一系列的方法和工具来观察和交叉检查。这些工具可能会被用作一个有目的性的评估，或者案例研究的一部分。

**Box 22: Methods for Participatory Assessment; 框3: 参与式分析的方法**

The specific methods that may be used for qualitative assessment of participation processes include:

可能被用于定性评估参与过程的具体方法包括：

- Sub-village sampling, poverty grouping, household wealth ranking, vulnerability analysis  
按屯取样、贫困分组、家庭财富评级、脆弱性分析
- PRA tools, such as ranking and scoring (see above example), with a focus on visual tools  
参与式工具，例如评级和打分（见以上的例子），重点放在视觉工具上
- Discussion based tools – participant observation and focus-group discussion using a checklist. Checklist based around topics including the inclusiveness, transparency and governance of project processes, information sharing, and empowerment

以讨论为基础的工具 –

参与者观察和焦点群体讨论，使用检查表。检查表的基础，是围绕包括项目过程的包容性、透明度和治理，信息分享和授权的话题；

- Report cards – a form of scoring across multiple indicators. Can be designed to be a community-driven tool using pictorial representations of indicators

报告卡 –

一种经过多种指标的打分方式。可以设计为一种使用图解指标、以社区为动力的工具；

- Narrative tools – case studies of positive and negative cases of participation in the project process, documented as part of lesson learning.

叙述性工具 –

项目过程中参与的正面和负面案例的研究，作为课程学习的一部分，编成文件。

## **4.5 How to participate: Indicators for Assessing the Quality of Participation 怎样参与：分析参与质量的指标**

The previous sections include examples and guidance on what could and should be done in PRCDP to work towards a “better” participation during project implementation. This section summarises the indicators that have already been agreed on and have been included in the PRCDP LogFrame. These indicators describe how communities will be empowered to learn, decide and act in the course of this project. They will be monitored by the project management and supervision (Table 6: Indicators monitoring empowerment of communities in PRCDP

表3：监测PRCDP项目中社区赋权的指标)。

以上各节中，列举了怎样才能在PRCDP项目的实施阶段开展出“更好”的参与式的实例和指导意见。本节将对各方已经同意并已纳入PRCDP逻辑框架的指标进行总结，这些指标描述了如何

赋予社区在项目过程中学习、决策和行动的权利。项目管理和监督小组将对它们进行监测。Table 6: Indicators monitoring empowerment of communities in PRCDP  
表3 : 监测PRCDP项目中社区赋权的指标)

**Table 6: Indicators monitoring empowerment of communities in PRCDP** <sup>28</sup>  
**表3 : 监测PRCDP项目中社区赋权的指标**

Participation process; 参与过程	Indicators defined for each stage of the project cycle; 项目周期每个阶段定义的指标 :
PPA INDICATORS PPA指标	<ul style="list-style-type: none"> <li>▪ PPA reflects views of the poor, especially those of ethnic minorities and marginalised groups (women, weak and small groups within the community)</li> </ul> <p>PPA反映了贫困者，特别是少数民族和被边缘化群体（社区中的妇女、弱势群体）的意见。</p>
PP Indicators 参与式规划指标	<ul style="list-style-type: none"> <li>▪ Transparency of planning process, inclusive decision-making and clarification of mutual roles and responsibilities</li> </ul> <p>计划过程的透明度，包容性决策，以及双方角色与责任的明晰。</p>
PI Indicators 参与式实施指标	<ul style="list-style-type: none"> <li>▪ Project implementation group (PIG) set up and functioning according to set principles</li> </ul> <p>项目实施小组建立起来，并根据设定的原则开展工作。</p>
PM&E 参与式监测与评估	<ul style="list-style-type: none"> <li>▪ Poor households and marginal social groups undertake monitoring themselves at regular interval</li> </ul> <p>贫困户和边缘社会群体积极开展参与式监测与评估，自行定期监测</p> <ul style="list-style-type: none"> <li>▪ Villagers feed back their views, experience and opinions on project implementation and these are recorded by project staff</li> </ul> <p>村民们反馈他们对项目实施的看法、经验和意见，并由项目人员记录</p> <ul style="list-style-type: none"> <li>▪ PIG maintains complete documentation on the implementation process</li> </ul> <p>项目实施小组对实施过程保持完整的文件资料。</p>

<sup>28</sup> More detailed indicators included in Chapter 2更详细的指标见第2章

#### **4.6 Who participates: Indicators for Assessing the scope of participation 参与人群：评估参与式范围的指标**

The previous sections describe what participation means in the context of PRCDP. In addition, it is important to monitor who actually participates at the community level. More specifically this means: Are poor and marginal groups effectively involved in the implementation of PRCDP throughout all project phases?

前几部分说明了参与在PRCDP里是什么意思。此外，重要的是监测在社区这一级，谁实际参与了。更具体地说，意思就是：贫困和边缘群体在所有项目阶段里，都有效地参与了PRCDP的实施了吗？

Indicators for monitoring the scope of participation have been agreed and included into the LogFrame. They will be monitored by the project management and supervision teams. (Table 7: Indicators monitoring the scope of participation in PRCDP; 表5：监测项目过程中贫困和边缘化群体参与的指标)。

监测参与式范围的指标已得到各方同意并已纳入逻辑框架。项目管理和监督小组将对它们进行监测。Table 6: Indicators monitoring empowerment of communities in PRCDP (表3：监测PRCDP项目中社区赋权的指标)

**Table 7: Indicators monitoring the scope of participation in PRCDP; 表5 : 监测项目过程中贫困和边缘化群体参与的指标**

Participation process; 参与过程	Indicators defined for each stage of the project cycle; 项目周期每个阶段定义的指标 :
<p>PPA INDICATORS PPA指标</p>	<ul style="list-style-type: none"> <li>■ Proportion of poor households and marginal social groups directly involved in PPA: 直接参与决策和与项目有关的活动的贫困户和边缘社会群体的比例</li> <li>Women and women's groups 妇女和妇女群体</li> <li>People from different ethnic minorities 少数民族</li> <li>Households from poor and remote villages 边远贫困村的家庭</li> <li>Other socially excluded and disadvantaged groups; 被社会排斥的弱势群体</li> </ul>
<p>PP Indicators 参与式规划指标</p>	<ul style="list-style-type: none"> <li>■ Proportion of poor households and marginal social groups directly involved in decision-making during PP: 直接参与决策和与项目有关的活动的贫困户和边缘社会群体的比例</li> <li>■ Proportion of specific needs of poor households and sub-villages addressed by project activities 得到项目活动处理的贫困户和屯的具体需要的比例。</li> </ul>
<p>PI Indicators 参与式实施指标</p>	<ul style="list-style-type: none"> <li>■ Proportion of poor people directly involved in implementation and maintenance 直接参与实施管理和维护的穷人比例</li> <li>■ Proportion of poor people and women in the Project Implementation Group (PIG) 实施小组中穷人和妇女人数的比例</li> </ul>
<p>PM&amp;E 参与式监测与评估</p>	<ul style="list-style-type: none"> <li>■ Proportion of poor households and marginal social groups actively participating in PM&amp;E 贫困户和边缘社会群体积极地参与参与式监测与评估，自行定期监测</li> </ul>

## 4.7 Assessing the Impact of Participation 对参与式影响的评价

To assess the effectiveness of participation, we need to consider three different levels or dimensions:

要评估参与式的有效性，我们需要考虑三个不同的层次和方面：

- ◆ **Tools and Methods:** Do the tools applied help poor and marginal groups to voice their situations and needs and support group communication and decision-making?

**工具和方法：**所用的工具有助于穷人和边缘群体说出他们的景况和需要，并支持群体沟通和决策吗？

- ◆ **Outputs.** Does participation of poor and marginal groups in decision-making and implementation lead to better achievement of the project objectives, which are improved livelihoods security and sustained participation of the poorest rural people in the development process?

**产出：**穷人和边缘群体参与决策和实施会导致更好地实现项目目标，即改善生计安全和最贫困的农村人持续地参与发展过程吗？

- ◆ **Long-term outcomes:** Does involvement of poor and marginal groups in participatory processes during the project develop their capacities for self-help, for instance through increased community awareness and networking?

**长期结果：**项目期间，贫困和边缘群体如何加入参与式过程，开发出他们自我帮助的能力，比如通过增加社区意识和网络？

The following Table (Table 8: How to assess Impact of Participation) provides some guidance on how to assess the impact of participation.<sup>29</sup>

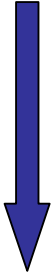
下表（表7：如何对参与式影响进行分析）为如何开展参与式影响分析提供了指导。


<sup>29</sup> WB/DFID will commission an impact study for PRCDP.  
WB/DFID将委托开展一项有关PRCDP项目影响的研究。



Table 8: How to assess Impact of Participation; 表5: 如何对参与式的影响进行分析

Dimension 方面	What it means 是什么意思	Indicators 指标	How to assess these indicators 怎样分析这些指标
 <p><b>Participation tools and methods: Better communication among project stakeholders</b></p> <p><b>参与工具和方法</b></p>	<p>Quality of Participation Tools refers to appropriate choice and effective use of tools and approaches throughout the project cycle<sup>30</sup>.</p> <p>参与工具的质量指在整个项目周期内，适当地选择并有效地使用工具和方法<sup>3</sup>。</p>	<ul style="list-style-type: none"> <li>■ Standard of facilitation tools: were workshops, meetings etc. well facilitated? 协助工具的标准：研讨会、会议等被很好地协助了吗？</li> <li>■ Are participatory meetings facilitated effectively to ensure the voices of poor and marginal people are heard, and their concerns and priorities taken into account and acted upon? 参与式会议被有效地协助，以确保穷人和边缘群体的声音得到倾听，他们的关心和优先事项被考虑并采取行动了吗？</li> </ul>	<p>These may be assessed by beneficiaries themselves using ranking and scoring methods. In addition to participant evaluation of facilitators' use of participation tools, both peer and external review might be used to assess quality.</p> <p>这些东西可以由受益人自己用评级和打分的方法评估。除了参与者对协调员使用参与工具的评估以外，还可以用同等的人和外部审议，来评估质量。</p>

Dimension 方面	What it means 是什么意思	Indicators 指标	How to assess these indicators 怎样分析这些指标
 <p><b>Output of participation: More sustainable projects</b></p> <p><b>参与的输出</b></p>	<p>Output indicators of participation refer to determining whether participation has made a difference to the achievement of the project outputs.</p> <p>参与的输出指确定参与是否已经对实现项目输出带来了变化。“</p>	<ul style="list-style-type: none"> <li>■ Has use of participatory approaches resulted in better achievement of project outputs? Indicators would relate to; 参与式方法的使用导致更好地实现项目输出了吗？ <ul style="list-style-type: none"> <li>□ impacts on livelihood security, 指标应与生计安全的影响</li> <li>□ access to infrastructure 基础设施的准入</li> <li>□ sustainability of natural resource management, 自然资源管理的可持续性</li> <li>□ income and employment opportunities 收入和就业机会有关。</li> </ul> </li> <li>■ Where there is a positive impact in any of these areas, what are the reasons for this? 如果在任何地方有积极的影响，是什么原因？</li> </ul>	<p>'Pilot' villages in which PRCDP is implemented with 'deep' participation, and others where the participation is only 'shallow' provide an opportunity to compare results where there have been two different intensities in the use of participation. Results from these samples may be compared and best judgements used to attribute some of the differences (if any) to use of the participatory approach.</p> <p>试点”村中PRCDP以“深度”参与来实施，另一个村只以“浅度”参与来实施，以便提供一个机会，可以比较使用参与的两种不同强度得到结果。可以比较这些样品的结果，并使用最好的判断，以使用参与式方法来引起一些变化（如果有的话）。</p>

Dimension 方面	What it means 是什么意思	Indicators 指标	How to assess these indicators 怎样分析这些指标
 <p data-bbox="138 889 331 1092"><b>Long term outcomes of participation: Building Community Capacities</b></p> <p data-bbox="138 1138 352 1174">参与的长期结果</p>	<p data-bbox="413 435 846 808">Long-term outcomes of participation refer to community level impact: the willingness and ability of all social groups, particularly the poor and disadvantaged, to engage in group and individual activities beyond the life and scope of the project. In other words, have the poor been empowered to play a more significant role in their own development?</p> <p data-bbox="413 837 842 1182">参与的长期结果指社区一级的影响：所有社会群体,特别是穷人和弱势群体，超越项目寿命和范围从事群体和个人活动的意愿和能力：即穷人们已经得到授权，在他们自己的发展中发挥更重要的作用了吗？</p>	<ul style="list-style-type: none"> <li data-bbox="867 407 1444 711">■ Are villagers' capacities for self-help and developing their own initiatives being strengthened by implementation of project activities? e.g. planning, decision-making, managerial capabilities 通过实施项目活动，村民们自我帮助和发展自己的首创精神的能力得到强化了吗？比如计划、决策、管理能力。</li> <li data-bbox="867 721 1444 1365">■ Numbers of groups or local institutions established (e.g. PIG): 建立的小组或地方机构数量（例如项目实施小组）： <ul style="list-style-type: none"> <li data-bbox="898 889 1157 959">□ their membership 他们的成员资格</li> <li data-bbox="898 976 1293 1045">□ frequency of group meetings 小组会议的频率</li> <li data-bbox="898 1062 1293 1131">□ numbers attending meetings 出席会议的人数</li> </ul> </li> <li data-bbox="867 1141 1415 1365">■ Characteristics of groups and participants 小组和参与者的特征 <ul style="list-style-type: none"> <li data-bbox="898 1230 1373 1284">□ strong involvement of all members in meetings and discussions 所有成员强烈地参与会议和讨论</li> <li data-bbox="898 1336 1434 1365">□ evidence of consensual, timely decision-</li> </ul> </li> </ul>	<p data-bbox="1472 435 1875 841">Scoring techniques can be used to assess empowerment, but narrative approaches lend themselves well to assessing whether villagers feel more empowered. As for quality of outputs (above), comparing long-term outcomes in villages which have used 'normal' participation with outcomes in those where there has been 'deep' participation may be a useful approach here.</p> <p data-bbox="1472 870 1875 1320">可以用打分的技巧来评估授权，但叙述性方法很有助于评估村民们是否觉得自己得到了更多的授权。至于（以上）输出的质量，将那些已经使用了“正常”参与的村子的长期结果与那些已经使用了“深度”参与的村子的长期结果相比较，可以是一种有益的方法。</p>

Dimension 方面	What it means 是什么意思	Indicators 指标	How to assess these indicators 怎样分析这些指标
		<p>making 协调一致、及时决策的证据</p> <ul style="list-style-type: none"> <li>▫ collective identity, mutual support and cooperation 集体身份相互支持与合作</li> <li>■ Are groups achieving self-reliance and control? 所有群体是否实现了自力更生和控制：</li> <li>▫ reduced reliance on project staff, inputs 减少对项目人员、投入的依赖</li> <li>▫ diversity of practices, participants modifications to suit local needs and conditions 做法的多样性，参与者修改以便适应当地的需要和条件</li> <li>▫ independent collective actions to further project purpose 独立的集体行动，以便进一步实施项目宗旨</li> </ul>	

## 4.8 Reporting systems 报告系统

Reporting on the indicators assessing the quality of participation will be defined by the Provinces as part of their M&E system for PRCDP. Documentation on monitoring and evaluation of participation will be an important part of the Provinces' internal M&E system and needs to be made available for WB supervision missions.

各省将在PRCDP的整体监测与评估系统中确定分析参与质量的指标的报告。参与式监测与评估活动的纪律将是各省内部的*监测与评估系统的重要组成部分*，需要提交世界银行监管团。

Implementation of the Participation Approach (including scope and quality of participation) will be monitored by supervision missions. The project management needs to ensure that complete documentation on the participation approach is maintained by the different levels involved.

监管团需要监测参与式方法的实施（包括参与范围和质量）。项目管理人员要保证各级部门保留完整的参与式方法记录。

**Table 9: Documentation needed for M&E of Participation; 表9:参与式监测与评估所需的记录**

What to monitor? 监测什么？	Contents; 内容	Documentation available: where? 有现成的记录吗？ 在哪里？	Used when? 什么时候用的？	Who is in charge? 谁负责？
Project process in the community: 社区里的项目过程 <ul style="list-style-type: none"> <li>▪ PPA; 参与式贫困评估</li> <li>▪ PP; 参与式计划</li> <li>▪ Implementation; 实施 PM&amp;E; 参与式监测与评估</li> </ul>	Documentation of process and outputs for each project stage and for specific projects implemented at the community level  对每个项目阶段的过程和输出，以及社区级实施的具体项目，形成文件资料。	All project communities  所有项目社区	For project management and monitoring during all stages of the project cycle  用于项目周期内所有阶段的项目管理和监测	Village facilitators and project implementation groups (with township facilitators)  村协调员和项目实施小组（与乡协调员）
Process of Participation: Monitoring the Quality of Participation  参与过程：监测参与质量 <ul style="list-style-type: none"> <li>▪ Depth of Participation; 参与的深度</li> <li>▪ Participation of poor and marginal groups; 穷人和边缘群体的参与</li> </ul>	Monitoring of indicators included in the M&E system  指标的监测包括进监测与评估系统中	Project management office  项目管理办公室	For management purposes and annual supervision mission  用于管理用途和年度监督任务	M&E Group within Project Management Office (Province and County)  省、县项目管理办公室内的监测与评估单位
Monitoring the Impact of participation  监测参与式方法的有效性：	Monitoring of indicators included in the M&E system  指标的监测包括进监测与评估系统中	Project management office  项目管理办公室	For management purposes and annual supervision mission  用于管理用途和年度监督任务	M&E Group within Project Management Office (Province and County)  省、县项目管理办公室内的监测与评估单位

What to monitor? 监测什么？	Contents; 内容	Documentation available: where? 有现成的记录吗？ 在哪里？	Used when? 什么时候用的？	Who is in charge? 谁负责？
Pilots on “better” participation: Learning on Participation 对“更好的”参与的试点：参与的学 习	Documentation of cases and lessons 案例和课程的文件编制	Project management office 项目管理办公室	For management and training purposes, reports prepared for annual supervision 用作管理和培训用 途，为年度监督编 写的报告	Project management office (with county and township facilitators) 项目管理办公室（与县、 乡协调员）

**ANNEX:**  
**Some sources for further learning**  
**附件：进一步学习的素材**



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## 5 Annex: Some sources for further learning 附件：进一步学习的素材

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## 5.1 Introduction: Purpose of this Annex

### 介绍：本附件的目的

This annex provides an **Outline for a “Learning System”** in PRCDP. During the preparation phase, initial experiences on participation have been generated which informed the drafting of this Participation Manual. It is important to understand that this manual can only be a starting point for developing the participation approach within PRCDP and that “learning” on participation will be a long-term task that needs to be sustained during project implementation and even beyond. It is also important to note that “learning” on participation is not confined to delivering formal training only, but needs to be understood as part of a wider approach to building awareness and capacities<sup>31</sup>.

本附件中包含一份PRCDP项目“**学习体系**”大纲。在准备阶段，我们已经获得了项目参与式方面初步的经验，这些经验在这本参与式手册的起草过程中发挥了很大的作用。

我们必须认识到，

起草这本手册仅仅只是PRCDP项目中开发参与式方法的一个开始，参与式方面的“学习”是一个长期的任务，需要我们在项目实施过程中乃至今后更长的时间内不断推进。认识到这一点是非常重要的。另外，我们还必须了解，对参与式的“学习”不应局限于开展正式的培训，同时也应当被视作深化认识和进行能力建设<sup>32</sup>的有效途径之一。

The outline of a learning system integrates different components related to managing, implementing and monitoring participatory projects in order to这份学习体系的大纲涵盖了参与式项目管理、实施和监测所涉及到的各种不同内容，以便

- Maintain and maximise use of information and lessons available on participation within the system最大限度的使用体系内部与项目参与式相关的信息和经验教训
- Create and strengthen effective linkages and learning loops between the components建立并强化项目管理、实施和监测之间的有效联系和学习循环
- And through this ultimately building up experienced-based knowledge within PRCDP which will be used for improved project planning and implementation.通过以上举措，最终在PRCDP内部深化通过实践得出的认识，推进项目的规划和实施

**Training on participation** is an integral part of the learning system and an essential base for implementing the participation approach according to the principles and quality criteria described in this Manual. During the

preparation phase, the project has developed an appropriate methodology on participation and has trained a promising cadre of facilitators to carry out pilots on participatory project implementation. The major challenge during the roll-out phase will be to overcome the initial bottleneck of limited staff and experiences and to improve and extend awareness and skills among the wider project staff.

**项目参与式培训**是学习体系的有机组成部分，也是依据本手册中所描述的原则和质量标准实施参与式方法的基础。在准备阶段，我们就已经找到了合适的参与式方案，同时还培训了一批有潜质的骨干协调员，负责参与式试点项目的实施。项目实施阶段主要的困难在于如何突破人手不足和经验欠缺的瓶颈以及如何让更多的项目员工深化认识，提高技能。

Therefore, it will be crucial for the Provinces to design and implement an appropriate training approach which will support a high-level of participation within this project. In this context it is important to note that training on participation has its distinct features and principles which differ from conventional forms of training. The part "Training on Participation in PRCDP" provides further guidance and suggestions on how appropriate training should be planned and implemented.

因此，对于各省来说，关键是要设计和实施合适的培训方法，提高项目的参与式程度。在这种背景之下，我们必须认识到项目参与式方面的培训不同于传统的培训形式，它有其自身的特点和原则。本附件中有一部分内容专门介绍“PRCDP项目参与式培训”，将就如何规划和实施合适的培训提供更多的建议和指导。

The third part of this annex provides some **practical tools for participatory training and PRA.**

本附件的第三部分将提供一些实施**参与式培训和参与式快速评估**的有效手段。

## 5.2 Outline of a Learning System for PRCDP; PRCDP学习体系大纲

### 5.2.1 What is a learning system?什么是学习体系？

A learning system means institutionalising learning processes and sustaining them as part of the organisation development. The idea is to transform PRCDP into a learning system where the continuous testing of experiences will be converted into knowledge that will be accessible to the whole project, and through this support its project goal of participatory project alleviation.

所谓学习体系，是指将学习过程制度化，并将其作为组织发展的组成部分不断推进。提出这个概念的目的在于把PRCDP转化为一种学习体系，不断将经验运用于实践，从而形成一种能够应用于整个项目的认识，并通过这种认识帮助实现项目参与式扶贫的目标。

This annex has distinguished between a training system and a learning system. The following box highlights some of the differences between learning and training:

本附件将培训体系与学习体系加以区分，下表列出了二者之间的一些差别：

Training System 培训体系	Learning System 学习体系
A series of discrete formal training sessions 一系列独立的正式培训	An integrated system to encourage people to develop new knowledge and skills 一个鼓励人们获取新知识和新技能的统一体系
Dominated by the trainer 培训师主导	Empowers the learner 给学习者赋权
Draws on the knowledge of the trainer 依赖培训师的知识	Recognises that the experiences of learners as a valuable learning resource 将学习者的经验作为宝贵的学习资源
Training aims to transfer knowledge from experts to trainees 培训目的是将专家的知识传达给受	Involves training, knowledge sharing, practice, and reflection 包括培训，知识共享，实践和经验总结

训人员	
Training ends with the last session 最后一期培训完成后整个项目即告结束	Encourages continual and sustained learning 鼓励不断学习
	Requires behavioural change in the way individuals approach their work – being reflective 要求个人着手工作时改变行为方式，应当勤于思考
	Requires changes in organisations to create an environment that support and encourages active learning 要求组织内部的改变，以创造良好的环境，支持和鼓励积极的学习
	Can include a training system 可包含培训体系

### 5.2.2 Purpose of the learning system 学习体系的目的

The purpose of the learning system is to build experience-based knowledge and capacities within PRCDP which will enable and improve the innovative approach to participatory poverty alleviation. Therefore the learning system aims to:

学习体系是要PRCDP内部通过实践获得认识并进行能力建设，以实现不断的创新，推动开展参与式扶贫。因此，学习体系的目的在于：

Build **institutional capacities** on participation within the project through进行同项目内部参与式相关的**机构能力**建设，途径是

- Change of roles and responsibilities 改变任务和职责
- Change of management and organisation 改变管理和组织方法
- Change of ideas and guiding principles 改变理念和指导原则

Strengthen **individual capabilities** among facilitators and project staff through introducing new:

提高协调者和项目员工的**个人能力**，主要通过引入新的：

- Skills and capabilities技巧和能力
- Attitudes and beliefs态度和信念
- Awareness and sensibilities认识和识别能力

Increase **knowledge** on participation within the organisations which can be used for roll-out and improving ongoing projects and possibly even beyond that project's lifetime, especially on

增加组织内部对参与式的**认识**，这种认识可用于今后项目的开展和完善，甚至在项目结束之后仍可发挥作用，尤其要加强对下列各项的认识

- Ideas, methods and tools for participation at the community level社区层面参与式的意识，方法和手段
- Methods and tools to train qualified facilitators培训合格协调员的方法和手段
- Ways to increase awareness on and support given to participation within institutions机构内部提高参与式意识、增加参与式援助的途径

To achieve this, the learning system needs to focus at two levels:

要实现上述目标，学习体系必须专注于两个层面：

- The **organisations** implementing PRCDP need to create an work environment that encourages and supports its staff to practice continued reflective learning实施PRCDP的**组织**应当创造良好的环境，鼓励和支持其员工不断进行思考式学习
- **Individual staff** working on PRCDP need to develop the habit of being reflective learners在PRCDP项目下工作的**员工个人**应当培养思考式学习的习惯

### 5.2.3 Learning Principles学习的原则

Learning takes place in cyclical processes which iterate between action and reflection. Learning means to reflect on previous experiences and use them for improved action in the future. PRCDP will need to develop its mechanisms for reflection on existing experiences and feedback into action for an improved project performance based on the following principles.

学习涉及实践和经验总结之间交替循环的过程。所谓学习，就是对以前的经验进行总结，并运用这些经验来指导今后的行动，使之更加有效。PRCDP需要建立相应的机制，总结现有的经验，并将其用于指导今后的行动，从而在符合下列原则的基础之上提高项目的绩效。

### **Emphasis on action and practice**

#### **强调行动和实践**

Practical application and field-based experience is at the heart of learning on participation. Practice of methods and tools during training and exchange of experiences among practitioners will help the project to develop its understanding and learning of how participation could work and how it could contribute to better projects. Training manuals and theoretical literature on participation can only provide some generic ideas and guidance as a starting point; facilitators and project staff need to apply in practice what they have read and learnt in the classroom to understand the dynamics and implications of participatory communication practices and processes, to get a feeling of how different stakeholders think, act and work in a project, to practically test and experience methods of facilitating stakeholder communication and decision-making and to develop their own role in support of such processes accordingly.

实践应用和实地经验是项目参与式学习的核心。培训过程中方法和手段的实际应用以及工作人员之间经验的交流能够帮助我们认识和理解如何实施项目参与式、如何通过项目参与式提高项目的绩效。项目参与式方面的培训手册和理论著述只能提供一些一般性的见解和指导，仅仅是一个起点而已；协调员和项目员工应当把课堂上学到的知识在实践中加以运用，以了解参与式沟通行为和过程的特点和内涵，感受同一项目中利益相关方的思维、行动和工作方式，在实践中验证和亲身体会协调利益相关方进行沟通和决策的方法，并且发挥自身的作用，为这一过程提供支持。

Lessons from the field are also a powerful means to convince management staff and decision-makers. To make its practical experiences available for a wider audience, PRCDP will need to maintain a comprehensive documentation of field-based materials. The documentation should not only include formal project reports, but also first-hand documents, like visual material (pictures, videos), cases and stories from facilitators and villagers. There should be an emphasis on documenting project processes – how things are done.

实地经验教训是说服管理层和决策者的有力武器。为了让更多的人受益于PRCDP的实践经验，应当全面记录该项目实地工作的相关材料，不仅要记录正式的项目报告，还要记录第一手的资料，比如视觉材料（图片和录像）、案例以及与协调员和村民相关的报道。重点应当是记录项目的开展过程，即工作是如何完成的。

Finally, emphasis on action and practice means that the knowledge and experiences of practitioners and communities is valued as an asset for PRCDP on which future thinking and action needs to build on. The Participation Manual (Chapter 2.5.) describes the approach to participatory monitoring and evaluation, and it will be essential for the project to gain regular feedback from local facilitators and communities to understand their views on the project.

最后，强调行动和实践是指相关工作人员和社区的知识和经验应被视为PRCDP的宝贵资源，在今后的思考和行动中可加以借鉴。参与式手册（第二章第五节）描述了参与式监测和评估的方法，获取来自协调员和社区的反馈从而了解他们对项目的看法对于项目而言非常重要。

### ***Ongoing reflection and sharing on practical experiences***

#### ***不断总结和分享实践经验***

Ongoing reflection is important to deepen the existing knowledge, to draw conclusions from practice and to share working experiences. Reflection means to look into assumptions and pattern of behaviour, to analyse failures and successes and from that to abstract further insights and conclusions. Reflection can be done best in like-minded groups that share a common background.

对实践经验不断进行总结可以帮助深化现有认识，通过实践得出结论，实现工作经验共享。所谓总结就是审查前提假设和行为模式，分析失败和成功的原因，并据此抽象出更为深刻的理解，得出结论。这种总结最好在有共同背景、有类似想法的团队之间进行。

Ongoing reflection can and should be something that individuals do. The target is to develop staff to become reflective participation practitioners, who have the habit of reflecting on the participatory aspects of what they are doing in their work while they are actually doing that work. This thoughtful approach to work is an individual attribute that PRCDP should encourage in its staff. This continual learning develops individuals knowledge.

个人能够也应该不断进行总结，这样做的目的在于将员工培养成富于思考的参与式专家，使他们养成习惯，在工作的同时能够对项目的参与式情况进行思考和总结。这种细致的工作方法是PRCDP应当在内部员工中提倡的。这种持续的学习过程也能丰富个人的知识。

In addition to personal reflection there is a need for staff to come together to reflect and learn in groups. PRCDP needs to create platforms and



forums that create systems and opportunities for reflection and sharing among facilitators and management staff, so that they can come together to analyse achievements and shortcomings of the participatory approach. Regular workshops, meetings and networked communication among practitioners will help them to deepen their knowledge and improve their skills on participation. In addition, strategic reflection and sharing events involving senior project staff and decision maker will help to disseminate the message of participation and change mindsets on how projects should be done.

除个人总结之外，员工还应当以小组为单位进行总结和学习。PRCDP应该创建相应的平台和论坛，提供必要的体系和机会进行总结，并推动协调员和管理层之间的共享，这样一来协调员和管理层人士就能够聚在一起，分析参与式方法所取得的成绩和不足之处。相关工作人员之间应当定期开展研讨会、见面会和网络化交流，这些活动能够帮助他们深化对项目参与式的认识，提高项目参与式的技能。另外，进行战略性总结，推进项目高层员工和决策者之间的共享也有助于参与式信息的传播，改变项目实施方面的传统思维。

Although the project has gained some experience on how to use reflection and sharing workshops for building capacities among its staff, it will remain a challenge to transform the habits of a conventional meeting into a fruitful event where participants are enabled and empowered to develop their reflective thinking and embark on a joint process of productive communication and cooperation. Tools for participatory workshop facilitation, like small group discussions, visualisations, presentations and brainstorming are further explained in Chapter 4 of this Annex.

现在，我们已经获得了一些经验，知道如何运用总结经验和召开信息共享研讨会来提高员工的能力，然而，如何才能将这些传统的集会形式转化为富有成果的活动，使得参与式者能够并且有权培养思考型思维方式，进行卓有成效的交流与合作呢？这仍是今后函待解决的问题。参与式研讨会中交流的手段包括小组讨论，视觉材料展示，与会代表发言以及自由讨论，这些将在本附件的第四章中作进一步阐述。

### ***Draw lessons for the future and incorporate them into further planning***

#### ***吸取经验教训，并将其纳入未来的规划之中***

Based on the reflection and sharing, lessons for the future can be drawn. It will be important to establish mechanisms for using field-based experiences and reflective learning for planning and further action both ways:

以上述总结和共享为基础，可以得出经验教训，指导今后的工作。尤为重要的是要建立相应机制，双管齐下，运用实地工作经验和思考型学习方式，指导未来的规划和行动，以

- to take care that practical experiences are sufficiently documented, shared and communicated and 确保实践经验充分备案、共享和交流，以及
- to ensure that project planning and implementation is soundly based on the continuous feedback, insights and reflections of those who already have gained experiences. 确保项目规划和实施完全是以经验人士的持续反馈、深刻理解和不断总结为基础

It is important for PRCDP that it is not possible to design a “perfect” methodology for participation in the beginning and to provide facilitators with a complete set of knowledge in one-off training before the project commences. Thus the actual lessons from implementation will be crucial for further developing and refining the participatory approach. Thus if PRCDP can become a ‘learning project’ it is likely to develop an adaptive and thus highly appropriate participatory methodology, and also a more sustainable approach to developing and transferring knowledge. This also means that planning of the roll-out of participation, capacity building and field-level projects needs to be adjusted in a continuous way to incorporate the lessons gained during the previous phase.

对于PRCDP来说，重要的一点是要认识到，要想在一开始就设计出一种“完美的”方案来鼓励项目参与式是不可能的，试图在项目开始之前通过一次培训就一劳永逸的将所有知识都传达给协调员也是不切实际的。因此工程实施过程中获得的实际经验教训对于今后参与式方法的发展和完善将是至关重要的。正因为如此，若PRCDP能够成为一个“学习型项目”，就很有可能找到非常合适的参与式方案，设计出更为长久的方法，拓展和传递知识。这同时也意味着在项目参与式的开展、能力建设和实地工程项目等方面的规划过程中，应当充分利用前一阶段获得的经验教训，不断对该规划进行调整。

### ***Implement further action***

#### ***采取进一步行动***

What the previous sections explain is that learning is not a single cycle of train – do – reflect. There needs to be a series of learning loops – after reflection, lessons should be taken forward into further action. Implementation of the participation approach is supposed to improve after each learning loop: after the project has assessed previous shortcomings

and bottlenecks and it takes actions to address them in an appropriate way. 前几节主要阐述了学习并不是培训——行动——

总结的单一循环，应当有一系列的学习循环——

在总结之后，应该得出经验教训，用以指导今后的行动。参与式方法的实施过程应该在每一次学习循环之后得到改善：在对项目前一阶段的不足和瓶颈进行分析之后，采取合适的行动加以解决。

#### **5.2.4 Components of the Learning System 学习体系的构成**

A learning system utilises lessons drawn from a number of project activities. The main element are:

学习体系就是要运用从一系列的项目活动中总结出来的经验教训，其主要构成包括

##### **The M&E system 监测&评估体系**

Part of the overall M&E system for PRCDP is M&E of participation. This means ongoing review of practical experiences with participation and feedback of these experiences through different tiers of project management and implementation.

项目参与式监测&评估是PRCDP总体监测&评估体系的一部分，是指通过不同层次的项目管理和项目实施，不断审查项目参与式方面的实践经验以及对这些经验的反馈。

- PM&E: Feedback from Project Communities on implementation process, used by project management to improve planning and implementation. PM&E also includes self-monitoring by communities in relation to their participation in the project processes.参与式监测&评估：从项目所在社区获得项目实施方面的反馈，项目管理层运用这些反馈改进项目规划和实施。参与式监测&评估同时还包括社区对自身参与式项目过程的自我监测。
- (Internal) M&E of participation by project management: Monitoring implementation of participation approach, quality control, and reviewing experiences with participation; assessing lessons from pilot projects.项目管理层实施的项目参与式（内部）监测&评估：监测参与式方法的实施情况和质量控制情况；审查项目参与式相关经验；分析试点项目中的经验教训。
- (external) M&E: reviewing by WB and DFID of the participation process and capacity-building on participation, extracting lessons and feeding back recommendations to project management.

(外部) 监测&评估：由世界银行和国际开发部实施，对项目参与式过程和项目参与式能力建设进行审查，总结经验教训，并向项目管理层提供反馈和建议。

### **Internal sharing and networking 内部共享和联网**

Internal sharing and networking will support experience-based learning on participation among actors who share similar roles and perspectives in project implementation (like communities, facilitators and project management staff). The type of activities which should be promoted include:

内部共享和联网将能够促进以实际经验为基础的学习过程，帮助在项目实施过程中起着类似作用、有着类似想法的行为者（比如社区，协调员和项目管理人员）学习如何进行项目参与式。应进一步开展的活动包括：

- Community-wide sharing of experiences on participatory project planning, implementation and monitoring as part of the PM&E exercise 推动参与式项目规划、实施和监测方面的经验在社区内部共享，这应是参与式监测&评估的一部分
- Ongoing exchange of experiences, reflection on methodology for participation among township facilitators (local facilitators network) 鼓励镇级协调员之间（地方协调员网络内部）不断进行经验交流，总结项目参与式方案
- Sharing among project counties on participation 项目所在各县在参与式方面的共享

### **Pilots on participatory poverty alleviation 参与式扶贫试点**

Pilots on participatory poverty alleviation will help project staff to gain new insights and experiences on participation as part of their ongoing learning. The pilots are understood as a strategic vehicle for maintaining innovativeness and learning within PRCDP.

参与式扶贫试点有助于项目员工获得项目参与式方面新的认识和经验，可作为员工不断学习的组成部分。试点是PRCDP内部推动创新和学习过程的战略性手段。

- Pilot projects on participatory project implementation: small (pre-) projects to generate experiences and to prepare communities for project implementation. Pilots are useful for developing experience

and understanding of new areas of participation, such as participatory implementation and participatory M&E.  
参与式项目实施试点项目：指为获取经验、让社区作好项目实施准备而进行的小型项目。试点在拓展经验以及了解项目参与式新的领域——  
比如参与式实施和参与式监测&评估——等方面能够发挥重要作用。

- Pilots on “deeper” participation where new approaches to implementing sub-projects are tried out, for example community contracting.  
“更深层次”项目参与式试点：在这种试点项目中可试验新的方法，来开展诸如社区合约签订之类的下属项目

### **Formal training 正式培训**

- PRCDP will deliver a wide range of training as part of its capacity-building component. The training will be on technical topics (agriculture etc), on project management and community participation. Chapter 3 of this manual provides ideas and guidance on how training on participation should be designed and delivered in PRCDP, as part of capacity building. The training system for PRCDP is further detailed below.  
PRCDP将开展广泛培训，将其作为加强能力建设的重要手段之一。培训主要涉及技术性主题（比如农业）、项目管理和社区参与式。本手册第三章介绍了相应的思路和指导，阐述了应当如何设计以及如何在PRCDP内部开展项目参与式方面的培训，以加强能力建设。下面将详细介绍PRCDP的培训体系。

### **5.2.5 Indicators on the learning system 衡量学习体系的指标**

The learning system itself will need to be monitored, to assess whether it is achieving its aims, and so that it too can be modified if parts are not succeeding as planned.

学习体系本身也需要监测，需要分析该体系是否实现了其目标，这样一来，如果体系中某些构成部分未能达成预定目标，该体系也能进行调整。

Monitoring and evaluation of the learning system should consider whether the system is succeeding according to a set of input, output and outcome indicators. These indicators set the standards or quality measures that should be achieved by the learning system.

对学习体系的监测和评估过程中，应当考虑一整套的投入、产出和成果指标，并据此衡量该体系是否成功。这些指标规定了学习体系应当达到的标准或质量水平。

#### Input indicators 投入指标

- Project provinces have developed training aids and operation manuals covering all phases of participatory project planning, implementation and monitoring and using gender sensitive and culturally appropriate tools by year 2, and they upgrade and improve them to include experiences from project villages on a regular base subsequently. (indicator is in the PRCDP logframe (LF))

项目所在省份在项目开展第二年之前就应该已经提供了培训援助，制订了操作手册，涵盖参与式项目规划、实施和监测的各个阶段，所采取的方法应兼顾两性平等和文化上的相称。此外，各省份随后还应不断加强培训援助，完善操作手册，定期将各项目所在村的经验纳入该操作手册。（指标含在PRCDP逻辑框架(LF)内）

- Training on participation is provided by facilitators with first-hand experiences on participation in the project area by year 2.

(LF)

协调员进行项目参与式方面的培训，传授项目所在地区项目参与式的第一手经验，这是第二年之前应实现的目标（LF）

- Township and village facilitators exchange experiences and upgrade their skills on participation during annual learning events by year 3. (LF)乡镇协调员在年度学习活动中就项目参与式互相交流经验，提高技能，这应在第三年之前实现（LF）
- All training supported by this project uses participatory methods for training needs assessment, delivery and evaluation and is tailored to different audiences, incl. ethnic minorities and women, by year 3.

(LF)本项目支持的所有培训活动在培训需求分析、培训开展和培训评估时使用参与式方法，并且针对不同的受训群体——包括少数民族和妇女——

采用不同的培训方法，这是第三年之前应实现的目标（LF）

#### Output indicators 产出指标

- Project provinces have trained  $x^{33}$  township and village facilitators by year 2, using experiential training methods.项目所在省份在项目开展第二年之前通过经验培训法培训若干名<sup>2</sup>乡镇协调员。
- Staff and managers have a greater appreciation of participatory ideology and of effective approaches to life long learning项目员工和管理人员更加深入理解项目参与式理念和终身学习的有效途径
- PRCDP organisations adopt a learning system approach PRCDP组织采用学习体系的方式开展活动

- Individual staff develop their own learning plans 员工制定个人学习计划

Outcome indicators 成果指标

- Staff are empowered to become active learners, not passive trainees 项目员工能够成为积极的学习者，而不是被动的受训人员
- Staff have the ability for critical reflection, self awareness and embracing errors, and managers value these attributes 项目员工能够进行批判性总结，有清醒的自我认识，能够坦然接受失误，而管理层也珍视员工的这些特点
- A learning culture is operational and active in PRCDP organisations PRCDP 组织内部存在着浓厚的学习氛围

## 5.3 Training on Participation in PRCDP

### PRCDP项目参与式培训

#### 5.3.1 Important principles of training on participation 项目参与式培训中的重要原则

The training in PRCDP is designed to train staff in PMOs and other agencies involved in PRCDP, plus village level facilitators. The training needs to be tailored to fit the way that this group of people learns new things. Fundamental to this is the need to recognise that adult learning is different from children's education because adults are: PRCDP中的培训对象为PMO和PRCDP其它部门的工作人员以及村级协调员。培训应当同上述人群学习新事物的方式相适应，要确保这一点，最根本的就是要认识到成人学习与儿童教育有所不同，因为成人是：

- problem centred - they need to know why they are learning something 围绕问题学习的 – 他们希望知道为什么要学习
- goal oriented以目标为导向的
- practical and problem-solvers 很实际的，是要解决问题的
- and very importantly for PRCDP, they have accumulated life experiences 已经积累了人生经验的（这一点对于PRCDP来说非常重要）

In practical training terms, this means that *"instruction for adults needs to focus more on the process and less on the content being taught. Strategies such as case studies, role playing, simulations, and self-evaluations are most useful. Instructors adopt a role of facilitator or resource rather than lecturer or grader"*<sup>34</sup>.

用培训界的词汇讲，这就是说“成人教育需要更加关注学习过程而非所教的内容。诸如案例研究、角色扮演、模仿、自我评估等手段是最行之有效的。教员起的是协调员或顾问的作用，而不是讲师或判分人”<sup>3</sup>。

The principles of Adult Learning Theory should be applied in the training carried out in PRCDP, summarised as follows:

在PRCDP培训过程中应当使用“成人教育理论”原则，现总结如下：

- **Maximising participant involvement during training**, through use of participatory training techniques<sup>35</sup>, and participant evaluation of training outcomes.通过参与式培训技术<sup>4</sup>和学员对培训成果的评估，**在培训中尽量加大学员的参与式力度。**
- **Using small learning groups**, to allow all participants to take part in discussions; to promote teamwork and allow participants to play a variety of team roles; to encourage collaboration; and to emphasise the importance of collaboration and learning from peers. Adult



learning concerns exchange of knowledge in an environment where life-experiences are valued; this is distinct from children's education which is more like the transfer of knowledge from expert teachers to inexperienced

pupils. **采用小组学习方式**，让所有学员都参与式讨论；开展大量分组活动，让学员扮演多种角色；鼓励合作；强调合作和向同行学习的重要性。成人学习就是指在一个大家都重视生活经历的环境中进行知识交流，这与儿童教育是有显著差别的——儿童教育更像是一种知识的传递，由老师传授给毫无经验的小学生。

- **Using participants' experience as a resource**, both as a motivator to demonstrate the practicality and relevance of the training event, and as a means of drawing on the learning opportunities that 'real-life' perspectives bring to the training arena. This has already demonstrated to great effect already in the 'pilots' in PRCDP. This needs to be a core part of the training.

**把学员的经验当作资源加以利用，**

这既是展现培训活动的实用性与恰当性的原动力，又是把“现实生活”搬上培训讲坛的学习好方法。这种学习方式在PRCDP的“试点”项目中非常奏效，应当成为培训活动的核心部分。

- **Encouraging and supporting learning**, by cultivating self-direction in participants to build their self-esteem, by challenging learners to acquire new perspectives, and supporting them in their efforts to do so. This principle involves organizations empowering individuals to take control of their own professional development. **鼓励并帮助学习**，培养学员的自主学习能力，使他们建立自尊；激励学员确立新的目标，并帮助他们努力实现。这一原则就要求组织给予个人权力，能够自主决定职业发展的道路

。

### **5.3.2 Defining a suitable training approach 确定合适的培训方法**

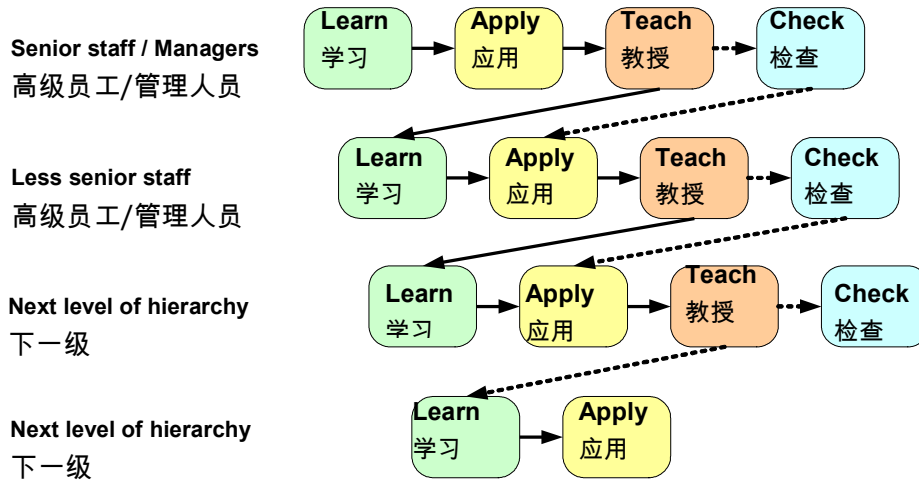
“Cascade Training” is the common approach to training in China. It is a relative cheap way of rolling-out a training program among a big number of participants.

逐级培训是当前中国应用最为广泛的培训方法，在对大量人员进行培训时成本相对较低。

**Box 23: Cascade Training Approach 框1 : 逐级培训法**

“Cascade training” is a pyramid training system whereby a small number of senior staff learn about the subject from acknowledged experts. This training is then cascaded down to their subordinates, who in turn train their juniors, and so on (Figure 1). This diagram illustrates the ideal situation where at each tier the learning is applied and reflected upon before being taught down to the next level. There is also a system of monitoring that the learning is being properly applied. “逐级培训”是一种金字塔式的培训体系，由著名专家向少数高级职员讲授，培训活动随后层层下行，由较高级职员向下一级人员讲授，以此类推（见图1）。这种模式是一种理想状态，每个层次上所学的内容都能得到应用并向下一层转授，在此之前还都能得到反馈。同时还有一个监测体系，确保所学知识能适当运用于实践。

**Figure A2. Ideal model of cascade training 图A1. 理想的逐级培训模式**



Done in this way, cascade training can be a cost effective method of disseminating learning from a small pool of expertise to a wide base of field-level practitioners because of its fast multiplication. It also has the advantage, when done in this way, to be action-based, i.e. the learning is put into practice at each level and then trained down with the benefit of experience. However, its biggest weakness lies the very concept of cascading because at each multiplication level the learning is inevitably diluted, even with the best trainers manuals and guidelines in place. The additional problem with this approach is that the training content is not well tailored to the different levels of staff, and the same training style tends to be perpetuated down the cascade.

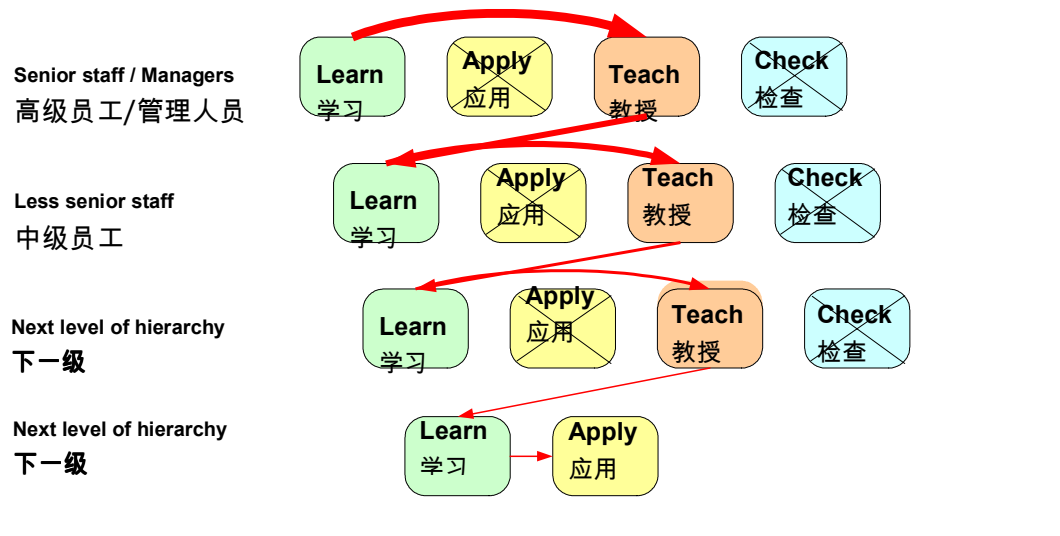
这种模式的逐级培训将学习内容从一小组专家那里快速扩散到广大基层工作人员中，因而是一种经济高效的方法。另外这种模式还有一个好处，那就是它是以行动为基础，也就是说所学内容在每一级都应用于实践，然后再将所得经验纳入培训之中。然而，这种培训最大的缺点也在于此，因为在每一个成倍增加的层次上，即便拥有最好的辅导员手册和指南，所学的内容都难免有所损失。此外还有一个问题，那就是培训内容并非为不同层次的员工量身定做，而且在整个过程中培训风格也往往一成不变。

Also, often the cascade skips the “application” stage, because of time and cost constraints. This means at each layer the trainers are just giving the theory to the next level down, without the benefit of themselves having tried the ideas out in practice and reflected on that experience. The cascade then becomes entirely devalued, as the system is one of learn-teach, learn-teach down each tier, with only the lowest tier applying the learning, in a very diluted form (Figure 2).

此外，这种逐级培训往往出于时间和成本方面的考虑而将“应用”阶段跳过。这就意味着在每一个级别，培训师仅仅将纯理论传授给下一级，而并没有向下一级讲授他们将理论用于实践后获得的经验以及对这些经验的总结。这种情况下逐级培训的价值就大大降低，因为这种体系是层层学习，逐级教授，只有在最低一级才将所学知识应用于实践，而且此时所运用的知识已有很大的缺失。（见图2）

**Figure A2. The “Bad Way” of doing cascade training**

**图A2. 逐级培训的“错误做法”**



To overcome the common problems of cascade training, the training system should include the following features:

为了克服逐级培训中的常见问题，培训体系应该包括下列特点：

- Training tailored and targeted for each level separately 对不同级别的员工进行不同的培训
- A strong learning-by-doing approach 充分强调通过实践进行学习
- Link of training system to M&E system, so that the training quality is monitored 将培训体系同监测&评估体系联系起来，以随时监测培训的质量

### 5.3.3 Designing a training strategy 培训策略的设计

The purpose of the training strategy is to outline the programme that needs to be put in place in order to develop a cadre of capable participatory practitioners. The training should ensure that knowledge of participatory project cycle management is translated into improved operational practice in RPCDP.

制定培训策略的目的是对应当实施的方案进行规划，培养有能力的、骨干型参与式专家。通过培训应当确保参与式项目周期管理方面的知识能够用以提高PRCDP项目的运作。

The strategy needs the following five main elements:

这种策略应当包含以下五大部分：

- **Training needs assessment** – to identify the training needs that address the needs of RPCDP for staff at different levels with certain knowledge and skills, as well as individual needs. **培训需求分析**——确定培训需求，满足PRCDP整个项目的需要（应当考虑项目员工层次多样、知识技能各不相同）以及个人的需要。
- **Training of trainers** – to ensure that there is a group of trainers with knowledge of participation and modern training skills. **培训师培训**——培养出具有项目参与式知识和现代培训技能的培训师。
- **Planning, design and development of training** – to identify who will be trained, when, where, and how; to identify properly trained trainers; to agree learning objectives, select the training methods to be used for each type of trainee; and to develop effective training materials. **培训的规划、设计和发展**——确定培训对象、时间、地点和方式；确定合适的培训师；商定学习目标，选定不同类型学员的学习方法；开发有效的培训教材。
- **Training delivery** – to specify the style in which the training is given. According to the training principles, this should concentrate on training in small groups, using practical experiences as the key resource; it should avoid training that is essentially classroom teaching to large groups. The trainers are facilitators, not teachers. **培训的开展**——明确培训的风格。根据培训原则，应当以小组培训为重点，培训过程中充分运用实践经验；应避免向大量学员进行课堂讲授。培训师是协调人，而非教师。
- **Evaluation** – to measure training programme performance and impact, and to identify areas for continuing improvement in training design and delivery. **评估**——估量培训计划的绩效和影响，确定培训设计与开展方面需要加强的领域。

### 5.3.4 Developing a training system 培训体系的开发

The following main groups of trainees are identified:

我们确定了以下主要类型的培训对象：

- Leaders 领导
- Trainers 培训师
- Facilitators at township and county levels 镇级和县级协调员
- Facilitators at village level 村级协调员

Each of these groups has different training needs, and the **training content** and **delivery style** should be adapted to the specific groups. This approach to training differs from the common 'cascade training' approach, where the same material is trained to each level of officer in the same way in a cascade (see Box 23:).

每个群体都有不同的培训需求，因此针对特定的群体应当采用合适的**培训内容和培训风格**。这种培训方法与“逐级培训”法有所不同，后者对于各个层次的受训人员都是以同样的教材、以同样的方式进行培训（见框1）。

For each group the training system specifies the type of content in their training, the delivery mechanism and the expected learning outcome from the training. This is presented in a Training Matrix (Table 10.).

培训体系为每个群组详细规定了不同的培训内容、授课机制和预期成果。详见培训矩阵表（见表1）。

At each level, the training content should be structured around five key areas: 在每一个级别，培训的内容都应该围绕以下五个主要领域进行构建：

- Understanding what real participation means 对于什么是真正的项目参与式的理解
- Participatory techniques (how to use them) 参与式技能（以及如何使用这些技能）
- Enabling participation (i.e. providing space, being responsive, inclusive etc) 赋予参与式能力（即提供场地、回应需求、覆盖广泛等）
- Issues in ensuring the quality of the participatory approach 如何保证参与式方法的质量
- Issues of mainstreaming participation throughout PRCDP 在整个PRCDP项目内推广参与式的相关问题

The balance, depth and style of training will be customised at each levels according to need and the most effective delivery for each group. Thus village facilitators need training to build confidence in their ability to engage groups of villagers and facilitate processes with them. A large amount of the training system is directed at the two groups in the facilitation cadre. This is very important, as only through developing a capable body of facilitators can the costs of participation be meaningfully reduced. This level of trainees needs training in both facilitation skills and in participatory techniques.

我们将根据每个群组的需求，并在确保培训开展最为有效的原则指导下来确定培训的协调度、深度和风格。因此针对村级协调员的培训就应当帮助他们树立信心，相信自己有能力鼓励村民的参与式，同村民共同推动项目的开展。培训体系很大一部分都是针对协调干部中的两个群体。这一点非常重要，因为只有建立合格的协调员机构，才能有效降低项目参与式的成本。对于这一层次的受训人员，培训内容既要包括协调技巧，又要涉及参与式技能。

**Table 10. Training matrix**  
**表1. 培训矩阵表**

Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/ 开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参与式的概念和原则	Participatory techniques 参与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量相关问题	Linking Participation to the wider PRCDP 将参与式同整个PRCDP项目联系起来		
<p><b>1. Farmers &amp; villagers 农民和村民</b></p>	<p>Consultation vs empowerment 磋商 VS 赋权</p>	<p>Tools for PPA, PP, PI and PM&amp;E: Establishing groups for project management and monitoring at the community level. 进行参与式贫困分析、PP、PI和参与式检测&amp;评估的途径：成立社区一级的项目管理和检测小组</p>	<p>Confidence and capability to speak out in public meetings and to interact with project staff. The importance of including traditionally excluded e.g. women, elderly, children, minorities 有信心并有能力在公开会议上发言以及同项目员工打交道。鼓励以往被排除在外的群体(比如妇女、老人和儿童)参与式的重要性</p>		<p>Villagers' role in all stages of PRCDP; roles of other actors; realistic expectations; monitoring performance 村民在PRCDP项目开展各个阶段的作用；其他行为者的作用；现实期望；绩效检测</p>	<p>Facilitator led training; exposure and interaction with other villages; video/ (to show the process in other villages); posters/ charts /illustrated materials e.g cartoons. 以协调员为主的培训；同其他村的相互影响和交流；录像/(展示其它村的进展情况)；宣传画/图表/卡通画等</p>	<ul style="list-style-type: none"> <li>Able to engage project officials and technical officers to support their participation in PRCDP 能够吸收项目官员和技术人员加入,以支持农民和村民参与式PRCDP</li> <li>Understand the project cycle and types of involvement required at each stage 了解每一阶段所要求的项目周期和参与式类型</li> </ul>

Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参与式的概念和原则	Participatory techniques 参与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量相关问题	Linking Participation to the wider PRCDP 将参与式同整个PRCDP项目联系起来		
						图片资料	
<b>2. Facilitators 协调员</b>							
Village leaders 村领导	Different types of participation; providing voice & choice: empowerment, exclusion/inclusion 不同的参与式类型: 参与式提供发言权和选择权; 赋权, 排除在外/包括在内	Participatory techniques for use in all stages of the project cycle - participatory needs assessment, planning, poverty analysis, contracting, M&E; Art of asking the right questions not giving the 'right' answers 项目周期内各个阶段采用的参与式技能 - 参与式需求评估、	Leadership training, organisational development, analytical skills, problem solving, negotiation and conflict resolution training and civic education 领导力培训, 组织发展, 分析技巧。解决问题, 谈判与解决争端培训与文明教育	Basic project cycle; design, implementation, M&E; 基本项目周期; 项目设计、实施和检测&评估	Nature and operation of PRCDP; roles & responsibilities; measures of success PRCDP的性质和运作; 任务&职责; 成功举措	Use of visual materials - posters, cartoon books, simple text; guided learning with an emphasis on learning-by-doing; some training led by PADOs and other officials, use of ICTs appropriate to the village context project related research task sheets for self completion between training sessions 可视材料的利用 - 宣传画、卡通书、简易文本; 着重于“实践中学习”的指	Ability to confidently facilitate participatory processes in the village; an understanding of benefits of participation in all stages of project cycle Earned trust and respect of the villagers and township alike 能够在村里自如协调参与式过程; 了解参与式项目所有阶段的好处; 得到村民和镇区居民的信任和尊敬
Village development agents 村级发展代理人							
Township staff 镇级员工							



Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/ 开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参 与式的概念和原则	Participator y techniques 参 与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量 相关问题	Linking Participatio n to the wider PRCDP 将参与 式同整个PRCD P项目联系起来		
Students 学生		规划、贫困分析、 承包、监测&评估 ； 恰当地提问而又不会给出“正确”答案 的艺术	attitudes in the community 在 社区中培养意识 、能力和支持态 度			之间本人填写的任务表	
<b>3. Project Co-ordinators/ Supervisors of Facilitators 项目协助人/协调员督察</b>							

Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/ 开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参与式的概念和原则	Participatory techniques 参与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量相关问题	Linking Participation to the wider PRCDP 将参与式同整个PRCDP项目联系起来		
Township 镇	Different types of participation; participation providing voice & choice; exclusion/inclusion; participation for transparency and accountability 不同的参与式类型；参与式提供发言权和选责权：赋权，排除在外/包括在内；参与式增加透明度和负责态度	Alternative approaches to facilitation (not using external experts); approaches to going to scale with participation ; training of facilitators (as opposed to trainers) 其他提供协助的方法（没有外部专家的帮助）；与参与式发展匹配的方法；协调员的培训（不同于学员培训	Interactions with farmers and upper hierarchy tiers: listening skills, facilitation skills, attitude and behaviour change; understanding of the Village Organisation Law (VOL); understanding of governance – zheng (administration) vs zhi (governing); 与农民和上级人员的互动：聆听技巧、协调技巧、态度和行为的变化；对村民组织法（VOL）的理解；对统治的理解-政（行政）与治（治理）	Detailed understanding of PCM, with appreciation of type of participation appropriate to each stage. A focus on P M&E. 详细分析项目周期管理，了解项目实施各个阶段合适的参与式方法；重视参与式检测&评估	Participation to facilitate horizontal & vertical collaboration between bureaux and tiers; participation and cost effectiveness 参与式促进厅局间和各层次间的横向和纵向的协调；参与式与成本效益	Some teacher led training; mostly distance learning including workbooks with tasks related to the project cycle 一定量的教师为主的培训；主要运用远程培训，包括与项目周期相应的业务手册	<ul style="list-style-type: none"> <li>Appreciation of inclusive and empowering dimensions of participation 正确认识参与式的容纳尺度和赋权范围</li> <li>Understanding of the link between communication/information flows and participation 了解交流和信息流动同参与式的联系</li> <li>Awareness of cost effective approaches to participation 了解经济有效的参与式方法</li> <li>Understanding of the benefit of participation throughout the project cycle, and of the techniques appropriate to these stages. 了解参与式整个项目周期以及在各个阶段应用合适参与式技能的好处</li> </ul>

Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/ 开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参与式的概念和原则	Participatory techniques 参与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量相关问题	Linking Participation to the wider PRCDP 将参与式同整个PRCDP项目联系起来		
County 县		)	Interactions with upper and lower hierarchy tiers: skills as above and understanding VOL. 与高层和低层人员互动：采用上述技巧以及对村民组织法的理解			Some mentoring from TA team, video and illustrated text. 一定量的技术援助小组的指导；录象和图片资料	
Province 省	As above and participation in evaluation and performance assessment Reconciling 360° participation 要求同上，并参与式评估和绩效分析；对参与式进行360度全方位协调		Engagement of lower tiers and villages, encouraging and valuing upward and horizontal information flow-use of ICT to improve co-ordination 下级和乡村的参与式，鼓励和重视信息向上传达和平级沟通——利用信息交流技术以加强协调			Resource team and video material (generated mostly at village level) 咨询组和录象材料（主要来自村级）	

Trainee Group 受训群体	5.3.4.1.1.1 Training Topics 培训主题					Training approach/ delivery methods 培训方式/ 开展方法	Learning outcomes 学习成果
	Concept and Principles of participation 参与式的概念和原则	Participatory techniques 参与式技能	Enabling participation 赋予参与式能力	Quality Issues 质量相关问题	Linking Participation to the wider PRCDP 将参与式同整个PRCDP项目联系起来		
<p><b>4. Policy level 政策层面</b></p>	<p>Different types of participation, costs &amp; benefits of empowering participation 不同的参与式类型；赋权参与式的成本与好处</p>	<p>Awareness of the main techniques in use; understanding of how to overcome problems of scale and cost in using participatory approaches 了解项目采用的主要技能；知道如何解决使用参与式方法的范围和成本的问题</p>	<p>Issues concerned with scaling up; improving VDP; allocation of PRCDP funds to support capacity building; current institutional and policy obstacles to use of participatory approaches 有关扩大范围的问题；完善村际发展规划；划拨PRCDP项目资金支持能力建设；当前不利于运用参与式方法的机构和政策障碍</p>	<p>The World Bank project cycle 世界银行项目周期</p>	<p>Incentive &amp; reward systems for participation; participation and loan funds; participation in performance and impact assessment; affect of participation on poverty alleviation outcomes 参与式激励和奖励制度；参与式和贷款资金；参与式绩效评估和影响评估；参与式对扶贫成果的影响；</p>	<p>Video, workshops, exposure visits, policy briefs 录像、研讨会、考察、政策信息发布</p>	<ul style="list-style-type: none"> <li>Understanding of how participatory approaches can deliver cost effective and sustainable poverty project outcomes 知道如何实施参与式方法，实现成本效益，确保扶贫项目的成果能够持久</li> <li>Understanding of the policy and institutional barriers to achieve these improved outcomes. 了解不利于项目进展的政策和机构障碍</li> </ul>

## 5.4 PRA工具和协助技, PRA Tools and Facilitating Skills

参与式扶贫项目的规划和实施既是一个操作性很强的问题，也是一个处理各种复杂关系的一个过程。操作性很强，一是因为在规划阶段不论通过什么样的复杂或简单的程序、方法，应用何种理论作为指导，最终都需要产生出一个现实的可实施的扶贫规划；二是因为在实施阶段，不论通过什么样的组织方式配置资源和任务，最终都要使项目达到预期的效果，实现公平受益。因而在整个规划与实施的过程中，不可避免地是要处理各种复杂的关系，平衡各种群体的不同利益。可以说村级扶贫项目投资虽小，但是要做到可操作性、适宜性和公平性，对项目规划和实施的管理技术要求就非常高，推动农户直接参与规划和实施是保证村级扶贫项目可操作和公平的重要途径。因此在整个规划和实施的过程中，恰当地应用PRA工具和相关的协助技能推动参与显得尤为重要。

在我们应用PRA工具和相关的协助技能的时候，有两个关键的概念十分重要。

第一个概念是“协助”，意思是说对于外来的人员，包括技术人员和管理人员，相对于村民来说，他们是项目的协调员而不是拥有者，他们的作用是协助村民而不是代替村民，也不是管住村民。村民是村级扶贫的主体，但村民因长期处于信息获取不全的状况，文化程度低，对新技术知晓和掌握滞后，对市场信息掌握不准确等原因，往往出现信心不足，喜欢让外来者代替自己拿主意，特别是当外来者比较虚心，实实在在是在帮助他们时，村民很容易在信任的基础上主动将自己的决策权交给外来者，这种情况下，协调员自己必须很清楚，要协助、建议村民作好决策，而不能代替他们，协助可以使他们长期受益，代替只能使他们此次受益。所以当我们在协助村民时，我们

## 工具二：资源及农户分布图 *Tool Two: Resources and Farmers Distribution Map*

要意识到我们是在归还决策权利于他们，也是在还决策锻炼的机会于他们，是在协助他们最终有效地自主决策。

第二个概念是，工具是为目的服务的。PRA工具本身不是目的，所有的参与式协助工具和技巧都不是为了产生一幅漂亮的图，一个漂亮的表。所有协助技能和协助工具的应用都是为了以下目的

- 保证村民获得完整的信息，构建参与决策的完整的信息基础
- 搭建村民交流平台，促使村民在思考、回顾和分析的基础上，参与决策
- 保证参与决策的机制，使村民参与决策的权利通过一定的程序和方法来实现
- 培养参与的能力，使村民逐渐地在一次又一次的参与决策的锻炼中，提高决策能力

正因为协助技能和PRA工具应用的目标是瞄准村级扶贫项目过程的最终目的，在协助过程中，协助技巧和PRA工具不是固定的，协调员可以创造性地应用不同的材料和方式，就地取材，因陋就简。目的是相对固定的，而工具是灵活可变的。（以上部分由王万英撰写）

本附件所叙述的PRA工具和协助技能按照规划和实施过程各阶段的协助需求和内容编排的。每一种工具主要论述它的使用目的、操作方法以及应用过程中的关键注意事项。

PP and PI in participatory poverty alleviation projects is not only a highly operational issue, but also a process of handling all sorts of complications. It is highly operational, firstly because, whatever procedures and methods you use at the planning stage, either complicated or simply, and whatever theory you use as a guide, you eventually need to output a realistic, implementable poverty alleviation plan. Secondly because at the implementation stage, no matter what organizational means you adopt to allocate resources and tasks, you eventually have to make the project achieve the expected effects, and realize equitable benefits for all. Therefore, during the entire PP and PI, it is inevitable to handle all sorts of complications, and balance different stakes of different groups. We may say that, even though village-level poverty alleviation projects involve small investments, to achieve operability, suitability and equity, it is highly demanding for the managerial and technical skills of PP and PI. It is an important way for guaranteeing operability and equity of village-level poverty-alleviation projects to promote farmers to directly participate in planning and implementation. Therefore, during the entire PP and PI process, it is particularly important to properly adopt PRA tools and relevant facilitating skills to promote participation.

When we apply PRA tools and relevant facilitating skills, there are two very important key concepts.

The first concept is "facilitation", which means that the outsiders, including technicians and managers, for the villagers, they are project facilitators instead of owners, and their role is to assist the villagers, but not replace the villagers, or control the villagers. The villagers are the subjects of village-level poverty alleviation. However, due to the long history of incomplete access to information, low education level, the villagers lagged behind in knowledge and command of new technologies, and do not have access to inaccurate information. They are often not confident enough, and prefer to let the outsiders make decisions for them. It is particularly true when the outsiders are modest, and truly helpful to them, the villagers would easily volunteer to hand over their decision-making rights to the outsiders based on trust. Under such a circumstance, the facilitators must be very clear-minded that they should assist and suggest the villagers to make good decisions, but not substitute them. Facilitation will benefit them permanently, and substitution will only benefit this time. Therefore, when we facilitate the villagers, we must be aware that we are not only returning them their decision-making rights, but also returning them the opportunity of decision-making practices, and we are assisting them to eventually make effective decisions by themselves.

## **工具二：资源及农户分布图Tool Two: Resources and Farmers Distribution Map**

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The second concept is, the tools serve the purpose. PRA tools are not the purposes, and none of the participatory facilitation tools or skills are for generating a beautiful diagram, or a pretty table. Application of all the facilitating skills and facilitation tools are for achieving the following purposes:

- Guarantee the villagers with access to complete information, and constitute complete information basis for participation in decision-making.
- Establish communication platforms for the villagers, and enable the villagers to participate in decision-making based on meditation, reflection and analysis.
- Guarantee the mechanism for participation in decision-making, and enable the villagers to realize their rights of participating in decision-making by certain procedures and methods.
- Foster participatory skills, and enable the villagers to improve their decision-making capacities by participation in decision-making practices once and once again.

Since the application of facilitation skills and PRA tools is targeted at the ultimate purposes of the villager-level poverty-alleviation projects, during the course of facilitation, the facilitation skills and PRA tools are not fixed. The facilitators can creatively apply different materials and means, draw on local resources, and make do with whatever is available. The purposes are relatively fixed, but the tools can be very flexible<sup>36</sup>.

The PRA tools and facilitating skills described in this annex are assembled according to the facilitating needs and contents at different stages of PP and PI. Each tool is explained with its purpose of use, operation methods, and key precautions during the course of application.



### **5.4.1 工具一：联合行走 Tool One: Joint Walk**

目的：

- 1、了解土地、森林等自然资源的分布及数量、质量状况；同时，了解道路、水渠等基础设施情况；
- 2、对社区存在的与自然资源和设施状况相关的问题有直观的了解；
- 3、是一个与村民直接沟通的良好方式，边走边谈，实地探讨问题和困难，容易与村民建立良好的沟通关系，为下一步深入调查打下基础。
- 4、观察所见，容易提起相关的讨论内容，有针对性地开展出一些需要深究的访问主题。

操作方法和步骤：

- 1、选择村组干部或村里比较知情的人员，向他们说明需要到实地踏看，了解自然资源状况及存在的问题和困难；
- 2、与村民共同选择行走线路，线路尽可能以穿剖面的形式，穿过村里的各种不同的土地类型，如水田、旱地、林地、草地、水面等，也包括未利用的土地，了解存在的问题和开发的潜力；
- 3、除剖面行走进行综合了解外，可以对村民关注的重点地段进行实地调查，如水源地、宜林土地等；
- 4、行走完毕，可以将途中经过的各种地类在大纸上画出示意图，并标注上各种地类的用途和存在问题。

注意事项和问题处理：

- 1、邀请一同行走的当地村干部或村民，人数在3 - 5人为比较恰当。人数少，

## **工具二：资源及农户分布图Tool Two: Resources and Farmers Distribution Map**

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可能只看到和听到个别人特别关注的地方和问题，而人数太多则不利于交流；

- 2、尽可能选择能看到不同资源、地类的剖面行走，以便全面了解情况；
- 3、行走时注意观察各类指示物。例如，作物品种是否有改良、推广新品种的可能性；河流的颜色与森林覆盖的关系等；
- 4、在行走的过程中，尽可能就地讨论问题，如走到林地时，讨论森林利用和管理的特点和存在问题；
- 5、行走和与村民讨论的过程中，注意听取较少发言的人的意见，并鼓励他们参与讨论；
- 6、联合行走的剖面图和讨论的要点标注在大纸中，可以作为进行半结构访谈的开始，容易找到与村民交流的话题和深入讨论。

### **Tool One: Joint Walk**

#### **Purposes:**

1. Inquire about the distribution, quantity and quality of such natural resources as land and forests. In addition, inquire about such infrastructures as roads and water ditches.
2. Have an objective understanding about the problems relevant to natural resources and status of infrastructure in the community.
3. It is a good way to communicate with the villagers, talking while walking, and discuss about the problems and difficulties on site, which is easy to establish good communication relationship with the villagers, and lay a solid foundation for further deeper investigations in future.
4. By observing what you have seen, it is easy to bring relevant information into discussion, and purposely develop some subjects that need to be probed into seriously.

#### **Operational methods and steps:**

1. Select the village cadres and the key informants from the village, and explain to them that you need to inquire about the status of natural resources, problems and difficulties;
2. Select the walking route together with the villagers, trying to walking through the cross section, seeing different types of lands, such as irrigated fields, non-irrigated lands, grasslands, water surfaces, etc, including unutilized lands, and inquire about the problems and development potentials;
3. Except walking through cross section to have comprehensive inquiry, it is also okay to conduct field survey to key sections of great concern for the villagers, such as headwaters land, and aforestable land.
4. After walking, you may draw a sketch map to show all the types of lands you walked through, and mark the purposes of the land types, and the problems.

#### **Precautions and problems to be handled:**

1. While inviting the local village cadres or villagers to take a walk together, the number of 3 - 5 people would be appropriate. With fewer people around, you may only be able to see and hear some places and problems of special concern to some particular individuals. With too many people around, it would be unfavorable for communication;
2. Try your best to select a cross section that you can see different types of resources lands, so as to understand the conditions in an overall manner;
3. While walking, you should pay attention to observe all sorts of indicator articles. For example, whether the varieties of crops are improved, the possibility of rolling out new varieties, the color of rivers and the relationship with forest coverage, etc.
4. During the course of walking, try your best to discuss the problems on site.

## **工具二：资源及农户分布图Tool Two: Resources and Farmers Distribution Map**

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For example, when you walk to a woodland, discuss about the characteristics and problems in utilization and management of forests;

5. During the course of walking and discussing with the villagers, you should hear the opinions of the less talkative people, and encourage them to participate in discussion;
6. The cross section map and key points of discussion during the course of joint walking should be marked on a large piece of paper, which can be the start of semi-structured interviews, and it would be easy to find topics to have in-depth discussion with the villagers.

#### 5.4.2 工具二：资源及农户分布图

##### Tool Two: Resources and Farmers Distribution Map

目的：

- 1、宏观了解社区资源分布情况或某种重要资源的分布情况；
- 2、借助资源图的讨论，与村民共同分析资源利用中的困难、问题和可能的解决办法；
- 3、标注各家各户在整个村的分布状况，作为划分贫困农户的工具和工作底图；
- 4、标注社区机构的位置分布，以及河流、道路、灌渠等网络状况，作为下一步规划的基础。例如，在图上可以讨论如何布局饮水管道和水池位置，才能使更多的贫困户受益。

操作方法和步骤：

- 1、选择几个对全村情况比较熟悉的人共同讨论，制作人员可以是村干部，也可以是村民；
- 2、讲清楚请他们将全村的基本情况绘在大纸上。绘制应该从他们最熟悉的地方开始，先绘制大家都熟悉和容易定位的东西，例如：河流、道路、水井等，之后逐渐补充完善，绘上土地、森林等自然资源，再绘上农户房屋、学校、村公所等建筑；
- 3、基本绘制完成后再标上当地认可的图标和图的方向；
- 4、协调员在村民绘制的过程中，
- 5、围绕资源图进行相关问题的讨论。

注意事项和问题处理：

- 1、如果村民开始不习惯在纸上绘图，可以先在地上随意画图，之后再将地上画的内容转绘到大纸上；也可以由项目协调员先根据村民的发言，将少量信息画在纸上，起示范作用，然后将笔交给村民继续画；
- 2、应该向村民解释清楚“资源”的概念，简单地讲就是所有村里对农户“有用的东西”都是“资源”，请他们将所有有用的东西绘在图上；
- 3、如果资源情况和社会设施情况复杂，可以分开绘制不同的图，例如：土地利用分布图，只将有关土地分布的内容绘制在图上，并标注相关信息，如哪些土地主要种什么作物等。而在另一幅图上绘制各种建筑物的分布，并标注上相关的信息，例如，哪些农户是贫困户等；
- 4、图上所使用的图例或标注符号尽可能让农户自己绘制，以便于他们理解和讨论，但需要注明每种符号代表的东西是什么。同时注意，绘图前，不要事先确定方向，而是让农户绘完图后，再标注上相应的方向。如果事先确定方向，很可能农户脑子里的方位与我们习惯的“上北下南”方位不一致，造成绘图方向的混乱。

### **Tool Two: Resources and Farmers Distribution Map**

#### **Purposes:**

1. Inquire about the macro distribution of community resources or certain important resources;
2. By discussing the resources map, jointly analyze with the villagers the difficulties, problems and possible solutions in utilizing the resources;
3. Mark how each household is located in the entire village, and serve as the tool and working base map for classifying the poor households;
4. Mark the location of the community organizations, and such networks as rivers, roads, and irrigation ditches, to serve as basis for the plan in the next step. For example, you can discuss how to lay out the potable water pipes and water ponds on the map, so that more poverty households can benefit.

#### **Operating methods and steps:**

1. Select a few people who are familiar with the situation of entire village for discussion together, and the makers can be village cadres or villagers;
2. Tell them clearly that they should map the basics of the entire village on a large piece of paper. The mapping should start from the places that they are most familiar with, and first map the things familiar to everybody and easy to position, such as rivers, roads, wells, etc., and gradually supplement with such natural resources as land and forests, and then such buildings as farmers' houses, schools, and Village Office;
3. After the mapping is basically complete, mark the locally established legends and direction of the map;
4. While the villagers are mapping, the facilitator will focus discussion on issues related to the resources map.

#### **Precautions and problems to be handled:**

1. If the villagers are not accustomed to mapping on the paper in the beginning, you may ask them to willfully map on the floor, and transfer what they mapped on the floor to the large piece of paper. Or the project facilitator may, according to the speeches of the villagers, map a few information on the paper as an example, and then hand over the pen to the villager, and let him (her) continue mapping;
2. You should explain the concept of "resources" clearly to the villagers. To put it simply, everything "useful" to the farmers in the village are "resources", and ask them to map all the useful things on the paper;
3. If the conditions of resources and social facilities are complicated, you may draw them on different maps. For example, on the land utilization distribution map, you only draw the contents relevant to distribution of land,

## **工具二：资源及农户分布图Tool Two: Resources and Farmers Distribution Map**

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and mark with such relevant information as what lands are mainly planted with what crops, etc. On another map, you may draw all kinds of buildings, and mark with such information as which household is poor household, etc.:

4. You should try your best to let the farmers draw the legends or marks on the map, so that it will be easier for them to understand and discuss, however, it is necessary to note what each symbol represent. In addition, you should be careful that, before mapping, do not finalize the direction in advance. Instead, you should allow the farmers to finish drawing the map, and then mark the direction accordingly. If you finalize the direction beforehand, it is quite possible that the directions in the minds of the farmers are different from our customary direction of "upper north, down south", which may cause confusion in directions on the map.



### 5.4.3 工具三：半结构访谈 Tool Three: Semi-structured Interview

目的：

- 1、补充完善统计资料无法获取的信息；
- 2、深入了解协调员和农户共同感兴趣的问题。

操作方法和步骤：

- 1、半结构访谈是一种直接从被访者之间获取信息的方式，可用于个体访谈，也可用于群体访谈；
- 2、根据不同的目的，选择不同的访谈对象，例如，希望了解整个村共同的普遍情况，访问对象是村干部和一些关键信息人；希望了解贫困的原因，访谈对象则选取贫困户；希望了解可能的脱贫途径，则访谈对象选择相对高学历的农户；
- 3、根据调查的目的，确定相应的访谈主题。例如，调查目的是希望了解农户对生产技术的掌握情况，并寻找相应的提高农户生产技术的方法，则将“农户生产技能掌握情况”作为访谈主题；
- 4、根据访谈主题和相关因素，形成次级主题。例如，在上述主题下，可以形成以下次级主题（见案例1）。

案例1 半结构访谈主题、次级主题和主要问题

主题：“农户生产技能掌握情况”

次级主题：1、种植业方面的生产技能；

2、畜牧业方面的生产技能；

3、林、果业方面的生产技能；

4、加工业方面的生产技能；

5、其他方面的生产技能。

围绕次级主题，可以利用几个助手，广泛提出问题，深入了解全面情况。例如，本村农户比较关注营养袋育苗技术，可以提出以下问题：

- 1、为什么希望掌握营养袋育苗技术 ( why ) ；
  - 2、哪些土地适合营养袋种植 ( where ) ；
  - 3、村里哪些人掌握这项技术 ( who ) ；
  - 4、他们从什么途径学到的技术 ( which ) ；
  - 5、谁来推广传授这项技术 ( who ) ；
  - 6、他们是如何培训或传授该技术的；
  - 7、家中谁去参与培训 ( whom ) ；
  - 8、实际种植过程中，家中谁做这项工作？如果有分工，谁负责做什么？
  - 9、遇到技术上的困难，你们会去找谁问；
  - 10、为什么你们没有采用营养袋育苗；
- 等等。

注意事项和问题处理：

- 1、访谈过程是一个了解农户、向农户学习的过程，而不是一个“指导”教育农户的过程，你希望了解的是农户怎么想，而不是农户应该怎么想。因此，协调员对农户的行为态度应该是真诚的理解和挖掘，要用类似学生对老师的行为态度去请教问题，而不是以家长管教孩子的态度教育农户；
- 2、访谈时间、地点的选择应注意方便农户，而不是方便访问者；
- 3、访谈之前，应该向农户说明访问的目的和打算。这既是对农户的尊重，也可以激发他们与你交谈的兴趣，同时也避免农户抱有不切实际的期望或猜测；
- 4、访谈过程中，农户回答问题容易受他自己对你访谈目的的猜测和理解的影响，因而容易按照自己的理解迎合你，避免“出错”，危及自己或本村的利益。所以在农户回答问题出现犹豫不决，含糊不清或避而不答时，要注意出现此现象的原因，必要时重复访谈目的和将来可能涉及的各种情况，消除农户的顾虑，同时不应该许诺将给农户什么好处，避免农户的回答是围绕得到好处，而不是问

题的客观事实本身；

- 5、从农户易接受的、简单的话题开始，如今年的天气和收成情况等；
- 6、访谈过程应该有一定的系统性，找到切入问题以后，要按照逻辑顺序一个一个地访问，前面遗漏的问题待访谈主题或次级主题告一段落以后在补充，避免问题东一个西一个，跳要性太大，农户思路被不停地打断，难于回答问题；如果几个人同时去访问，相互之间也不应随意打断别人的访谈，破坏访谈整体性和逻辑性，有需要补充的问题先记在笔记本上，做一个明显的标记，访谈告一段落后补充。主问的人在自己访谈完毕以后一定要问同伴有没有其他要补充的，也要问农户有没有要问访问者的；
- 7、找农户家中知情者访问，而不一定是访问户主。例如，有关养猪方面的过程和方法，访问妇女可能比访问男的更有效。因为，养猪一般家庭是妇女做这项工作；
- 8、鼓励农户积极回答，应避免指责和批评农户的行为，即使他们不愿意回答或不真实地回答，也应该采取其他调查来验证农户回答的真实性，而不是直接进行批评；
- 9、所提的问题应简单，可以将复杂的问题分为几个简单的问题来提问。例如，不应该问“杂交猪和本地猪在养殖方面各有什么优缺点”，而应该把问题简化为：饲养杂交猪有什么优点、有什么缺点，饲养本地猪有什么优点、有什么缺点；
- 10、访谈中不应该使用诱导性问题。所谓诱导性问题是指你将问题的答案给出，农户不得不同意你的答案，例如，“你家种烤烟是因为烤烟效益高，是吗”。因为你已经判断种烤烟效益高，农户即使有认为效益低，也不能不同意你的看法，不愿意扫你的面子。这种诱导性问题可能农户为迎合你而回答“是”，而

实际上农户种烤烟可能是因为上级的规定，也可能真的是因为效率高；

- 11、 访谈中也不应该使用封闭性问题。所谓封闭性问题是指问题已给出几个有限的答案，农户只用选择其一，例如，“你家的化肥是乡上买的还是到县城买的？”而实际上可能是化肥供应商送货上门。因此，正确的提问应该是“你家的化肥是在哪里买的？”当选择范围已包括所有可能性时，也可以使用封闭性问题，例如，“参加培训是男的去得多，还是女的去得多？”
- 12、 半结构访谈可以用于群体访问，例如，社区层面上大家都关注的问题，如某村集体林地的管理等；也可以用于农户个别的访谈，例如，针对对同一主题访问不同农户，可以找出农户生产、生活中的共性和差异等；
- 13、 当进行农户访问时，特别是访问贫困户时，有人会代替贫困户回答问题，遇到这种情况，可以采取以下办法：与插话者交待，希望听到贫困户自己的想法，请他不要帮助回答或解释。如果提醒后，他仍然不停地帮助回答或解释插话，可以请一个人专门访问他，同时，另外的人到其他地方访问贫困户。
- 14、 对一些含糊的回答，或回答过程中讨论的时间比较长，访问者要对自己抓住的要点进行复述，确认没有误解或要点都在了。

**Tool Three: Semi-structured Interview**

**Purposes:**

1. Make up and improve the information that cannot possibly be obtained from statistics;
2. Inquire in depth the issues of common interests to the facilitator and the farmers.

**Operating methods and steps:**

1. Semi-structured interview is a way to get information from interviewees directly, which can either be used in individual interviews, or group interviews;
2. According to different purposes, select different interviewees. For example, if you want to know the common, general conditions of the entire village, your interviewees should be the village cadres and some key informants. If you want to know the causes of poverty, you should pick poor households as the interviewees. If you want to know the possible ways to shake off poverty, you should pick relatively better educated farmers as the interviewees;
3. Based on the purpose of investigation, determine the subject for interview accordingly. For example, if the purpose of investigation is to know how well the farmers command the production technologies, and find out ways to improve the farmers' production technologies accordingly, then you should take "command of production skills by the farmers" as the subject of interviews;
4. According to interview subjects and relevant factors, come up with secondary subjects. For example, under the aforementioned subject, you may come up with the following secondary subjects (refer to Case 1).

**Case 1: Subjects, Secondary Subjects and Major Questions for Semi-structured Interviews**

**Subject:** Command of Production Skills by the Farmers

**Secondary subject:**

1. Production skills in plantation;
2. Production skills in animal husbandry;
3. Production skills in forestry and fruits;
4. Production skills in processing industry;
5. Other production skills.

Centering on secondary subjects, you may use several assistants to extensively

ask questions, and profoundly inquire into the complete situation. For example, if the farmers of the village are concerned about growing seedlings with nutritive bags, you may ask the following questions:

1. Why they wish to command the technology of growing seedling with nutritive bags (why);
2. Which lands are suitable for planting with nutritive bags (where);
3. Who in the village command this technology (who);
4. From which channel did they learn the technology (which);
5. Who come to extend and teach this technology (who);
6. How did they train or teach that technology;
7. Who in the family participate in the training (whom);
8. During the actual plantation, who in the family did this job? If there is division of labor, who is responsible for what?
9. If you have technical difficult, whom are you going to ask?
10. Why didn't you use nutritive bags to grow seedlings?

Etc.

**Precautions and problems to be handled:**

1. The interview process is a process to understand the farmers, and learn from the farmers, but not a process of "guiding" and educating the farmers. What you wish to know is how the farmers think, but not how the farmers should think. Therefore, the attitudes and behaviors of facilitator to the farmers should be earnestly understand and excavate, and ask questions like a student asking the teachers, but not lecturing the farmers like parents disciplining children;
2. The selection of time and venue for interviews should be convenient for the farmers, but not the interviewers;
3. Before the interview, you should explain to the farmers the purposes and intentions of the interview. This is not only respect to the farmers, but also can inspire their interests to talk with you. It will also prevent the farmers from having unrealistic expectations or guesses;
4. During the course of interviews, when the farmers are answering the questions, they are very likely influenced by their own guesses and understandings about the purposes of your interviews, and easily please you based on their own understanding, trying to avoid "mistakes", which might jeopardize the interests of themselves or the village. Therefore, when the farmers hesitate in answering the questions, being vague or avoid answers, you should be careful of why is it, and repeat the purpose of the interview, and all the conditions that may be possibly involved in future when necessary. Your should try to eliminate their worries, and do not promise the farmers

with any benefits, as the focus of farmers who avoid answering questions are on gains, instead of the objective facts of the question;

5. Start from simple topics acceptable to the farmers, such as the weather and yields of this year, etc.;
6. The interview process should be somehow systematic, and once you find the starting question, you should interview one by one, following logic sequence. The omitted questions should be made up after the interview subjects or secondary subjects come to the end of a stage. You should avoid beating about the bush, and leap from this question to that, or the farmers' train of thoughts may be repeatedly interrupted, and can hardly answer your questions. If several interviewers conducted the interviews together, you should not willfully interrupt other people's interview, which may destroy the integrity and logic of the interview. If you have any supplementary questions, first take notes on your notebook, and make a visible mark, and supplement the question when it come to the end of a stage. When the person asking the questions is done with the interview, he (she should ask the partners if they have any more questions to ask, and also ask if the farmers have any questions for the interviewers;
7. When you interview informant in a household, it does not necessarily has to be the head of the household. For example, if you want to know the process and method of raising pigs, it may be more fruitful to interview the wife than the husband. This is because it is normally the job of the women to raise pigs in a family;
8. You should encourage the farmers to actively answer the questions, but avoid scolding or criticizing the behaviors of the farmers. Even if they are unwilling to answer or do not give the true answers, you should also make other investigations to prove the genuineness of the farmers' answers, instead of criticizing them directly;
9. The questions you ask should be simple, and you may divide a complicated question into several simple, small questions. For example, instead of asking "what are the advantages and disadvantages of hybrid pigs and local pigs", you should ask, "What are the advantages of raising hybrid pigs? What are the disadvantages? What are the advantages of raising local pigs? What are the4 disadvantages?"
10. You should not ask inductive questions. An inductive question means that you give the answer to the question, and the farmers have to agree to your answer. For example, "Your household grows flue-cured tobacco, because it brings high economic returns, right? Since you have already made a judgment that growing flue-cured tobacco brings high economic returns, even if the farmers believe the returns are low, they have to agree with you, as they do not want to make you lose face. For such inductive questions, the farmers may answer "yes" to please you, but the truth may be that they grow flue-cured tobacco because it was ordered by the higher authorities, or it may be

truly because it brings high economic returns;

11. You should not ask concealed questions. A concealed question refers to a question that has already been given a few limited answers, and the farmers can only select one from them. For example, "Did you buy fertilizers from the township or the county seat", but actually, the fertilizers may be delivered to the door by suppliers. Therefore, the right question to ask should be, "Where did you buy your fertilizers?" When the range of choices have covered all the possibilities, you may also ask concealed questions, such as "Are there more men or more women participated in the training?"
12. Semi-structured interviews may be used in group interviews, for example, issues of concern for everybody at the community level, such as management of collectively owned woodland in a certain village. It may also be used in individual interviews with farmers, for example, you may interview different farmers about the same topic, and find out the generalities and differences in the production and life of the farmers;
13. When you are interviewing a farmer, particularly a poor person, someone may answer the question for the poor. When you encounter such a circumstance, you may take the following method: Tell the interrupter that you wish to hear the own view of the poor, and ask him not to answer or explain instead. If he still kept interrupting with answer or explanation, you may ask a person to specially interview him. In addition, the other people may interview the poverty households at other locations.
14. For some vague answers or if there were lengthy discussion during the course of answer, the interviewer should repeat the key points he grasped, and confirm that there is no misunderstanding, and all the focal points are there.



#### 5.4.4 工具四：讨论会 Tool Four: Discussion Meeting

目的：

- 1、讨论分析贫困户划分标准；
- 2、了解不同群体对不同问题和困难的看法；
- 3、通过分析讨论，找出解决问题的途径和办法，达到共识；
- 4、共同协调在解决问题或实施项目过程中的一些管理办法。

操作方法和步骤：

- 1、讨论会是农户广泛参与的一种形式，但讨论会的目的不一样，参与讨论的人员选择也不一样。例如，确定筛选贫困户的划分标准时，一般以自然村（屯）为单位，所有农户都应该参与；而讨论贫困户最关注的问题、困难时，参与讨论的人员应为贫困户。因此，召开讨论会的第一步是选择合适的参与讨论的人员；
- 2、协调员应该将会议讨论的目的、讨论的主题清楚地向参加讨论的人员作介绍；
- 3、要鼓励参与者就讨论的主题发表各自不同的意见和建议，协调员在讨论过程中起一个引导作用，避免讨论跑题，但要保持“中立”，避免直接支持某一些观点，重要的是推动农户自己达成共识；
- 4、协调员将农户讨论的结果作好记录和整理，并将讨论结果归纳后，及时反馈给农户，验证归纳的东西是否真实地反映了农户的讨论结果。如有异议，需要做补充或调整。
- 5、讨论结果公布后，要留出足够的时间让村民反馈意见。协调员要注意兼收

### 各类群体的意见

注意事项和问题处理：

以下问题是组织讨论会中常遇到的问题：

#### 1、参加的人少。

出现这类问题的原因主要有三个：一是农户不清楚参与开会的目的；二是讨论的主题是与参加讨论的农户关系不大的或者他们没有兴趣的；三是讨论会在时间、地点的安排上对农户不方便。针对上述原因，相应的对策是：第一，在组织讨论会前，就开会讨论的目的和主题向参会农户作明确的宣传，而且讨论主题应具体和清楚。第二，在参会人员选择上，应选择与讨论主题直接相关的人员。例如，某村在讨论某饮水工程实施与农户投劳问题时，召集全村村民代表开会。但该工程受益对象只是涉及到该村的两个屯，其他屯的村民代表认为该会与他们没有关系，就没有参加。第三，召开会议的时间、地点应考虑农户的实际情况，避免在农忙或赶集的日子开讨论会。地点选择上也需要考虑是否方便农户参与，例如，选择在村干部家中或场地比较大的“大户”家中开会通常是通常的做法，但如果是召开贫困户讨论会，在这种场所开会容易使他们有心理压力，他们往往不参与；

#### 2、参会人员不发言，或讨论难以深入。

由于农户性格、社会地位、经济状况、参与公共事务的机会不同，及传统文化的影响，一部分村民不愿意在公共场合发表意见，特别是妇女和贫困户，发生这种情况很普遍，而他（她）们的意见对扶贫规划及实施很重要。因此，就需要协调员鼓励她们参与和发表意见。首先，创造适当的沟通气氛，打消她们紧张、拘束的心理，放松自己，才有可能参与发表意见。其次，讨论难以深入往往是讨论主题比较复杂，农户很难一下子找到切入点。实际上，农村的讨论过程是一个

循序渐进的过程，需要将讨论主题分解为一系列的小问题，逐步深入讨论。例如，如果直接讨论“如何组织实施饮水工程项目及持久性管理”这一主题，农户就很难讨论，或者东一句、西一句，无法形成比较完整的东西。协调员需要将这一主题分解为几方面的问题来协助讨论，这些问题包括：

- (1) 实施饮水工程，村里哪些人来组织管理？是否需要选举？
- (2) 管理人员主要负责哪些工程？
- (3) 实施过程中农户负责哪些工作？
- (4) 投工投劳按什么方式分配？
- (5) 谁去购买物资和材料？
- (6) 谁负责财务开支管理，谁管钱？谁管帐？
- (7) 实施过程中质量把关谁负责？
- (8) 投劳情况和开支情况如何向农户公布？谁负责公布？
- (9) 工程完工后，谁负责今后的日常维护管理？
- (10) 管理人员的报酬从哪里来？
- (11) 水费按什么标准收取？
- (12) 今后维修的经费如何筹集，水费收取余款能支付将来的维修费吗？不够怎么办？等等。

这样，从一个个具体问题入手，才能将需要讨论的主题逐步深入。

### 3、能人主导讨论，别人无法发言。

讨论会时，往往有的人控制了会场的发言权。这类人一般在村里是能说会道，有能力，而且在村里也有一定的号召力。一方面，他们是社区发展潜在的组织者或核心人员。但有时他们的声音太强，以致于其他农户在开会时不能够充分发

表自己的意见。这对于扶贫项目是否准确回应贫困户的需求有一定影响。因此，当讨论会中，如果某些人物声音太强，主导了整个讨论方向，使其他农户无法表达自己的看法时，协调员需要进行适当的干预，保证讨论会中不同的意见都能自由表达。可以有以下措施和对策应对能人主导讨论会的情况：

方法1：希望讨论会每个人都发言，并且发言时间有限，如3分钟，依次发言，保证每个人的意见能表达；

方法2：分别召开不同群体的讨论会或分组讨论，然后汇报汇总，例如，村组干部讨论会、贫困户讨论会、妇女讨论会，能人最多只能主导某些会议，而其他群体在各自的讨论会中可以自由发言，必要时，谢绝某些能人参与其他群体的讨论会；

方法3：对某些容易控制讨论方向，但出于公心的热心人，协调员可私下提醒这类人注意听取不同人群的意见，不要以个人的观点代替大家的想法，这样才有利于大家达到共识，下一步实施工作也才能得到大家支持。但说服这类人时，要给他们面子，不要伤害他们为集体出谋划策的积极性。

#### 4、农户提出难以满足的要求。

讨论会中，农户提出各种不同的要求是好事，说明农户开始积极参与到扶贫准备工作中。但农户的许多要求往往不是整体推进扶贫项目能解决的问题，但如果对不能解决的问题置之不理，就会挫伤农户参与的积极性，使他们被动等待“上面”安排。因此，对农户提出的难以满足的要求也应该积极回应。难以满足的要求有以下几种常见情况：

(1) 个别家庭的具体要求。例如，家中有病人，花费了大量医疗费，希望能得到补助。遇到这样的情况，需要向当事人耐心解释扶贫项目的回应范围，同时，可以帮助他就这样的具体困难向有关部门反映，如申请民政救济等；

(2) 提出比较高的要求。例如，希望将每个自然村都修通四级路。遇到这种要求，要向农户解释“村级扶贫项目是一项阶段性的脱贫工作，是解决稳定脱贫的问题”。因此，项目的目标不可能定得很高，结合世界银行项目扶贫目标，向农户解释在这个范围内的要求才有可能得到支持，超过的一般不会支持；

(3) 提出太多的要求。农户提出的每一项要求似乎都属于扶贫项目回应的范围，但所有要求加在一起，远远超出村级规划可能提供的支持范围，这种情况非常普遍。遇到这种情况，协调员不能简单回应哪些要求更合理可行，哪些不可以实施，而是应该协助农户归纳他们提出的所有要求，首先排除一部分重复的要求。其次，请农户自己反思一下，如果不能都满足，哪些属于不太重要的要求，可以放弃。第三，他们认为都重要的要求也不可以全部满足，需要将这些要求整理出来，通过排序打分的方法，排出项目重要项目首选次序，第四，如果排序打分以后，重要的必须解决的需求仍然很多，超过可能的资金预算，请农户考虑分类投资的可能，看看农户能够集资多少，如果农户超过农户承受能力，就要再次请农户筛选，忍痛割爱。

### **Tool Four: Discussion Meeting**

#### **Purposes:**

1. Discuss and analyze the criteria for division of poverty households;
2. Inquire about the views of different stakeholders about different problems and difficulties;
3. By analysis and discussion, find out solutions and methods, and reach common grounds;
4. Jointly coordinate for solving problems or some management methods during the course of implementing the project.

#### **Operating methods and steps:**

1. Discussion meeting is a way for the farmers to extensively participate, however, the purposes of the discussion meeting are different, and the participants selected for the discussion are also different. For example, while finalizing the criteria for division of poverty households, people normally take natural villages (sub-villages) as the unit, and all the farmers should participate. However, while discussing about the problems and difficulties of greatest concern for the poverty households, the discussion participants should be the poverty households. Therefore, the first step of convening a discussion meeting should be selecting the right people to participate in discussion;
2. The facilitator should clearly explain to the discussion participants the purposes and subjects of discussion for the meeting;
3. The facilitator should encourage the participants to launch their own opinions and suggestions on the topics under discussion. The facilitator should play a guiding role in the course of discussion, and avoid diversion from the topic. However, he should also be "impartial", and avoid directly supporting certain viewpoints. The key is to promote the farmers to reach common grounds;
4. The facilitator should take note of the farmers' discussion results, edit them, summarize the discussion results, promptly feed back to the farmers, and prove if the summary truly reflected the discussion results of the farmers. If there are any disagreements, it is necessary to make up or make adjustments.
5. Once the discussion results are published, enough time should be spared for the villagers to feed back the opinions. The facilitators should absorb opinions of different stakeholders.

#### **Precautions and problems to be handled:**

The following problems are the often encountered in the discussion meetings organized:

**1. Few people participated.**

There are mainly three reasons for such a problem: Firstly, the farmers are not clear about the purpose of attending the meeting; Secondly, the subject being discussed does not have much to do with the farmers participating in the discussion, or they are not interested; Thirdly, the discussion meeting is inconvenient for the farmers in the arrangement of time and venue. Accordingly, the solutions are: Firstly, before organizing the discussion meeting, make a clear publicity to the farmers about the purposes and subjects to be discussed on the meeting. Secondly, while selecting meeting attendants, you should select the people directly related to the subjects to be discussed. For example, when a certain village is discussing implementation of potable water project and labor input of farmers, you should call all the villagers in the entire village to attend the meeting. However, the beneficiaries of the said project only involve two sub-villages of the said village, the villagers' representatives from other sub-villages may believe that the meeting has nothing to do with them, and do not attend the meeting. Thirdly, the time and venue of the meeting should consider the actual situations of the farmers, and avoid holding discussion meetings on busy farming time or street market days. While selecting venues, you should also consider whether it is convenient for the farmers to attend. For example, it is a general practice to hold the meeting in the homes of village cadres or "well-to-do families" with larger houses. However, if you call the poverty households for a discussion meeting, such places would easily impose psychological pressure on them, and they often choose not to attend such meetings.

**2. The meeting attendants do not talk, or discussion can hardly go in depth.**

Due to different characters, social status, economic status, and opportunities to participate in public affairs, as well as influences of traditional culture, some villagers are unwilling to launch opinions in public. This is especially true for women and poverty households, which is very universal, but their opinions are very important for PP and PI. Therefore, the facilitator needs to encourage them to participate and express their opinions. Firstly, you should create appropriate air for communication, ease their tense and uncomfortable minds, and feel relaxed, so that they can possibly participate in launching opinions. Secondly, it is often complicated for discussions cannot go in depth, and the farmers can hardly find the right point right off hand. Actually, it is a progressive process for the farmers to discuss about something, and it is necessary to segregate the discussion subject into a series of minor questions, and gradually go deeper into discussion. For example, if we directly discuss the subject of "how to organize implementation of potable water project and

sustainable management”, it would be very hard for the farmers to discuss, or they may beat about the bush, and can hardly come up with anything complete. The farmers need to divide this subject into several questions, to facilitate the discussion. These questions include:

- (1) While implementing the potable water project, who in the village will come to organize the management? It is necessary to elect?
- (2) Which projects are the managerial people mainly responsible for?
- (3) During the course of implementation, what are the jobs of the farmers?
- (4) How is labor inputs distributed?
- (5) Who purchase the materials?
- (6) Who is responsible for management of financial expenses? Who is in charge of money? Who is in charge of accounts?
- (7) Who is responsible for quality control in the implementation process?
- (8) How is labor inputs and expenditures published to the farmers? By whom?
- (9) Once the project is complete, who will be responsible for daily routine maintenance and management?
- (10) Where will the pays for the managerial staff come from?
- (11) What will the rate of water bill be?
- (12) How will the maintenance costs be raised in future? Will the balance of water bills be enough to pay for future maintenance? What if it is not enough? So on.

In this way, only by starting from particular questions one by one, can you gradually go in depth the subjects under discussion.

### **3. Elites dominated the discussions, and nobody else can talk.**

On the discussion meetings, some people often dominated the right of speech on the meeting. Such people are often talkative, capable, and somehow influential in the village. On one hand, they are the potential organizers or kernel people for community development. However, sometimes, their voices can be so strong that the other farmers cannot fully express their own opinions on the meetings. This is somehow influential to whether the poverty alleviation project can accurately answer the needs of the poverty households. Therefore, on the discussion meetings, if the voices of some figures are too strong, and dominated the entire direction of discussion, making it impossible for the other farmers to express their opinions, the facilitator need to make proper intervention, so as to guarantee that different opinions can be freely expressed on the discussion meeting. You may take the following measures and solutions to handle the situation of elites dominating the discussion meeting:



**Method 1:** You wish everybody can speak on the discussion meeting, but give them a time limit, such as 3 minutes. They should talk one by one, and guarantee everybody can express their opinions.

**Method 2:** Call different groups for discussion meetings separately, or have discussions by different groups. For example, village group cadres discussion meetings, poverty households discussion meetings, women's discussion meetings, on which the elites can only dominate certain meetings. The other groups can freely give speeches, and when necessary, decline some elites with thanks to attend the discussion meetings of other groups.

**Method 3:** For some warm-hearted people who would easily control the direction of discussion, the facilitator can privately remind them to hear opinions of different groups, and never substitute everybody's ideas with their personal views, so that it will be good for everybody to reach common grounds, and get everybody's support in the subsequent implementation. However, while persuading such people, you should give them face, and do not hurt their initiatives of actively give counsels to the collectives.

#### **4. The farmers proposed demanding requirements**

It is a good thing for the farmers to propose all sorts of different requirements on the discussion meetings, which mean that the farmers have started to actively participate in the preparation of poverty alleviation. However, many requirements of the farmers cannot possibly be solved by entirely promoting the poverty alleviation project. However, if we disregard the unsolvable problems, it will frustrate the initiatives of the farmers to participate, making them passively wait for arrangements "from higher authorities". Therefore, you should also actively answer to the demanding requirements. The following are several kinds of common demanding requirements:

- (1) Specific requirements of individual families. For example, they have a sick person at home, and spend a lot of money on medical service, wishing to get subsidy. When you encounter such a circumstance, you need to explain to the related people the range of poverty project. In addition, you may tell them that you will report such specific difficulties to relevant departments, such as applying for civil remedies, etc.;
- (2) They propose demanding requirements. For example, they wish to build Grade IV roads for every natural village. Under such circumstances, you need to explain to the farmers that "village-level poverty alleviation project is a staged poverty alleviation undertaking, which is aimed at solving the problem of stable poverty alleviation." Therefore, the objectives of the project can not be set too high, and explain to the farmers that, according to the poverty relief objectives of World Bank

Project, only requirements within this range can be supported, but not anything beyond;

- (3) They proposed too many requirements. It seems every requirement the farmers made fall into the range of the poverty alleviation project. However, if you add all the requirements up, they may go far beyond the resources available in the village-level planning, which is a very common case. Under such circumstances, the facilitators cannot simply answer which requirements are more reasonable and practical, and which are not. Instead, you should facilitate the farmers to sum up all the requirements, and firstly eliminate some repeated requirements. Secondly, ask the farmers to think about it, if not all the requirements can be satisfied, which ones are not that important, and can be abandoned. Thirdly, if it is also impossible to satisfy all the requirements they considered as important, it will be necessary to sort out such requirements, and prioritize them by giving grades. Once priorities by grades is complete, if there are still too many requirements that must be solved, you should ask the farmers the possibility of investments by different categories, and see how much money the farmers can raise, and if it go beyond the affordability of the farmers, ask the farmers to screen the requirements again.

### 5.4.5 工具五：打分排序 Tool Five: Scoring and Ranking

目的：

- 1、筛选扶贫项目目标群体，即筛选贫困户；
- 2、了解人们对某一事物的偏好程度，并分析影响人们偏好的因素；
- 3、了解农户对不同贫困问题的关注程度，找出大多数人最认同的贫困原因；
- 4、在资源有限的情况下，让农户自主决定项目实施的先后次序，使扶贫资金回应农户最关注的项目。

操作方法和步骤：

打分排序的方法有多种。结合世界银行参与式村级规划项目，介绍以下二种方法

：

#### 5.1 矩阵打分

操作方法和步骤：

- 1、地上或大白纸上画出矩阵，用恰当的计量单位和地方术语，列出要分析判断的问题；
- 2、向参与的村民讲解排序打分的目的和需要判断的问题及具体的评价事物的标准；
- 3、逐一请参与农户把自己对某一事物的观点和评判用文字、数字、符号或实物（如玉米籽、石子等）填入矩阵内。
- 4、统计排序打分结果，整理出所讨论事物的优先顺序

参见案例2

案例2 \*\*村存在问题排序表

关心的问题	非常严重 **** ( a )	严重 *** ( b )	一般 **	不是 问题 *	a+b 合计
水土流失	15	6	1	2	21
缺柴烧*	6	7	6	5	13
建房木料不够	7	13	4	0	20
水田灌溉困难	18	3	3	0	21
交通不方便，山货 卖不出去	14	5	3	2	19
庄稼遭森林里的动 物破坏	5	4	7	8	9
盗砍木料出售	5	6	10	3	11
在集体林开荒种地	4	5	8	7	9
上山打猎没人管	7	8	6	3	15

通过24 ( 18男6女 ) 位农户代表对该村存在问题一一进行讨论，每人将一颗包谷籽放入每行相应的一个方格中，然后计数，按非常严重和严重的合计数排序。( \*在妇女为主的讨论会上，被认为是重要问题 )

注意事项和问题处理：

- 1、矩阵中列入的需求分析判断的问题，应该来自于协调员在半结构访谈中发现和归纳出的问题，而不是外来者认为的问题，在开始打分前，邀请农户再次看看有没有需要补充的问题；
- 2、打分方法和判断标准需要耐心地向农户解释，包括细节问题。例如，对每一个问题只能选择一种答案；
- 3、如果评价和判断的问题不会引起矛盾冲突，可以以一种公开的方式进行，农户在打分的过程中可以相互讨论；

- 4、列出的问题除了用文字说明外，也可以在问题旁绘上图或用实物代替，便于不识字的农户判断；
- 5、男女农户对问题的关注程度往往不一样，而男女一同进行打分时，女性会受到男性的主导或干扰，因此，最好男、女分开打分。

## 5.2限制性投票

操作方法和步骤：

- 1、在协调员的帮助下，首先就需要选择或决策的内容列入一个清单，例如，农户提出的希望扶持的项目清单；
- 2、协调员详细解释和介绍投票方式和限制条件。例如，每个参与投票的农户只能从列入的项目清单中选择自己认为最重要的三项；
- 3、根据当地情况，对参加选择的人员发放选票，一般为实物选票。例如：玉米粒、大豆或土豆等；
- 4、参加人员自主选择投票；
- 5、参加人员推选出计票人，统计选择结果，并当地公布清单中每项的得票数；
- 6、根据得票多少，排列优先项目。

注意事项和问题处理：

- 1、清单上的项目尽可能列全，如有遗漏，可以在投票前现场补充；
- 2、清单上的内容尽量表示清楚，并向农户逐一解释。同时，也用实物或图画表示不同的内容，便于不识字的农户理解；
- 3、这种投票可能会有潜在的利益冲突。例如，有些人想上这几个项目，而另一些人想上另外的项目，因此，为了保证参与投票的人在不受干扰的情况下作出自

己的判断，协调员应协助创造一个单独投票的环境，保证当一个人投票时，其他利益相关者不在场。但需要有1~2个局外人帮助说明如何投票，例如，每一个项目中只能放入一粒包谷，每一个项目代表什么意思；

- 4、为保证投票人表达自己的意愿，每个人在投票时，不应看到前面的人的投票结果，避免“从众心理”，别人投什么的多，我也就投什么。一种办法是用小碗盖在大碗上，作为每一个项目的票箱，投票时，将选票放上小碗底，一个人的选票投完后，由工作人员将选票放入下面的大碗中，这样，大碗中是所有前面投票人的总计结果，而下一个人在投票时，就无法看到前面人的投票情况，而能根据自己的判断做出选择；
- 5、投票时，男、女选民所用的选票应不同，如男的用豆子，女的用玉米粒，这样，非常方便地得到不同性别的排序结果和总的结果。如果男、女排序有很大的差异，可以组织讨论，以便男、女相互理解，达到共识。

**Tool Five: Scoring and Ranking**

**Purpose:**

1. Screen out the target groups of poverty alleviation project, i.e., screening poverty households;
2. Understand people's preference about certain things, and analyze influential factors of people's preferences;
3. Understand the farmers' degree of concern about different poverty problems, and find out the most recognized poverty causes for most people;
4. With limited resources available, let the farmers autonomously decide the sequence of project implementation, allowing the poverty alleviation funds to answer the most concerned projects of the farmers.

**Operating methods and steps:**

There are many kinds of priority by grades. With regard to WB Participatory Village Level Planning Project, we introduce the following two methods:

5.1 Matrix grading

Operating methods and steps:

1. Draw a matrix on the ground or on a large piece of white paper, and list the questions to be analyzed and judged in proper measurement and local terminologies;
2. Explain to the participating villagers the purposes of priority by grades, and questions need to be judged, and the specific criteria for commenting things;
3. Ask the farmer participants to fill their own views and comments on certain things in the matrix in words, numbers, symbols or with articles (such as corn or stones, etc.) one by one;
4. Count the result of priority by grades, and sort out the priority of the things being discussed.

Refer to Case 2.

Case 2: Priority Table of Problems in \*\* Village

Problem of Concern	Very Serious **** ( a )	Serious *** ( b )	Fair **	No Problem *	Total of a+b
Soil erosion	15	6	1	2	21
Shortage of firewood*	6	7	6	5	13

### 工具五：打分排序 Tool Five: Scoring and Ranking

Shortage of timber for building houses	7	13	4	0	20
Difficulty in irrigating rice field	18	3	3	0	21
Poor access to transportation, and mountain products cannot be sold out	14	5	3	2	19
Crops being damaged by animals in forests	5	4	7	8	9
Stealthily cutting timbers for selling	5	6	10	3	11
Open up land in collectively owned woodland	4	5	8	7	9
Nobody was responsible for stopping hunting in the hills.	7	8	6	3	15

The 24 farmers' representatives (18 men and 6 women) discussed the problems in the villages one by one, and everybody put a corn in a square accordingly in each row, and then count the numbers, and prioritize by the total number of very serious and serious. (On the discussion meetings dominated by women, \* considered as important problems).

#### Precautions and problems to be handled:

1. The questions listed in the matrix to conduct needs analysis should be the problems that the facilitator found and summarized from semi-structured interviews, instead of the questions believed by the outsiders. Before giving grades, you should invite the farmers to see if they still have any more questions to supplement;
2. It is necessary to patiently explain to the farmers the method of giving grades and judging criteria, including the details. For example, for each question, only one answer can be selected;
3. If the question of evaluation and judgment will not cause any conflict, it can be conducted in an open manner, and the farmers can discuss with each other during the course of giving grades;
4. For the listed questions, except explanations in words, you may also draw pictures beside the questions, or substitute with articles, so that the illiterate farmers can make judgment;
5. Since the men and the women have different degrees of concern over the questions, if they give grades together, the women are often guided or interfered by the men. Therefore, it would be best to let the men and the



women give grades separately.

## 5.2 Restrictive ballots

### Operating methods and steps:

1. With the help of the facilitators, you first need to select or decide the contents to be put in a list, for example, the list of projects that the farmers proposed, and hoped to be supported;
2. The facilitator should explain in details, introduce the ways to cast ballots and the restrictive conditions. For example, each farmer participating in the votes can only select three items from the list of projects he/she consider as the most important;
3. According to local conditions, the votes released to the voters should normally be in kind, such as corn, soy bean or potato, etc;
4. The participants should have autonomy in the choice of votes;
5. The participants elect a vote counter, who will sum up the election results, and publish on site the number of votes each project in the list got;
6. Based on the number of votes, prioritize the projects.

### Precautions and problems to be handled:

1. The projects on the list should be as complete as possible. If there is any omission, it can be supplemented on site before casting votes;
2. The contents on the list should be as clear as possible, and be explained to the farmers one by one. In addition, the different contents should also be expressed in kind or pictures, so that illiterate farmers can understand;
3. There might be potential conflict of interests in such votes. For example, some people want to make certain projects happen, while some other people may want to make other projects happen. Therefore, in order to guarantee that the voters can make their own judgment without interference, the facilitators should facilitate in creating an independent environment for casting votes, and guarantee that when someone is casting votes, the other stakeholders are not on site. However, there should be 1 - 2 outsiders there to help explain how to cast votes, for example, each project can only be put in but one corn, and each project represent what;
4. In order to guarantee the voters can express their own wills, when each person is casting votes, he/she should not see the results of votes by people before him/her, so as to avoid "following populace", whatever the majority votes, I will vote. One way is to cover the big bowl with a small bowl, to serve as a vote box for each project. While casting votes, the voter should put the votes on the bottom of the small bowl. When the voter is done with votes, the workers will put the votes into the big bowl underneath. In this way, what's inside the big bowl is the total result of the voters before, when the next voter come to vote, he/she cannot see what the people before him/her

voted for, and can make a choice based on their own judgment;

5. While casting votes, the votes for male and female voters should be different. For example, the male use soy beans, while the female use corn. In this way, it will be very easy to get the results of priority and total results by different sexes. If there is great difference in the priorities between the men and the women, you may organize them for discussions, so that the men and the women can understand each other, and reach common grounds.

#### 5.4.6 工具六: 问题树 Tool Six: Problem Tree

目的：

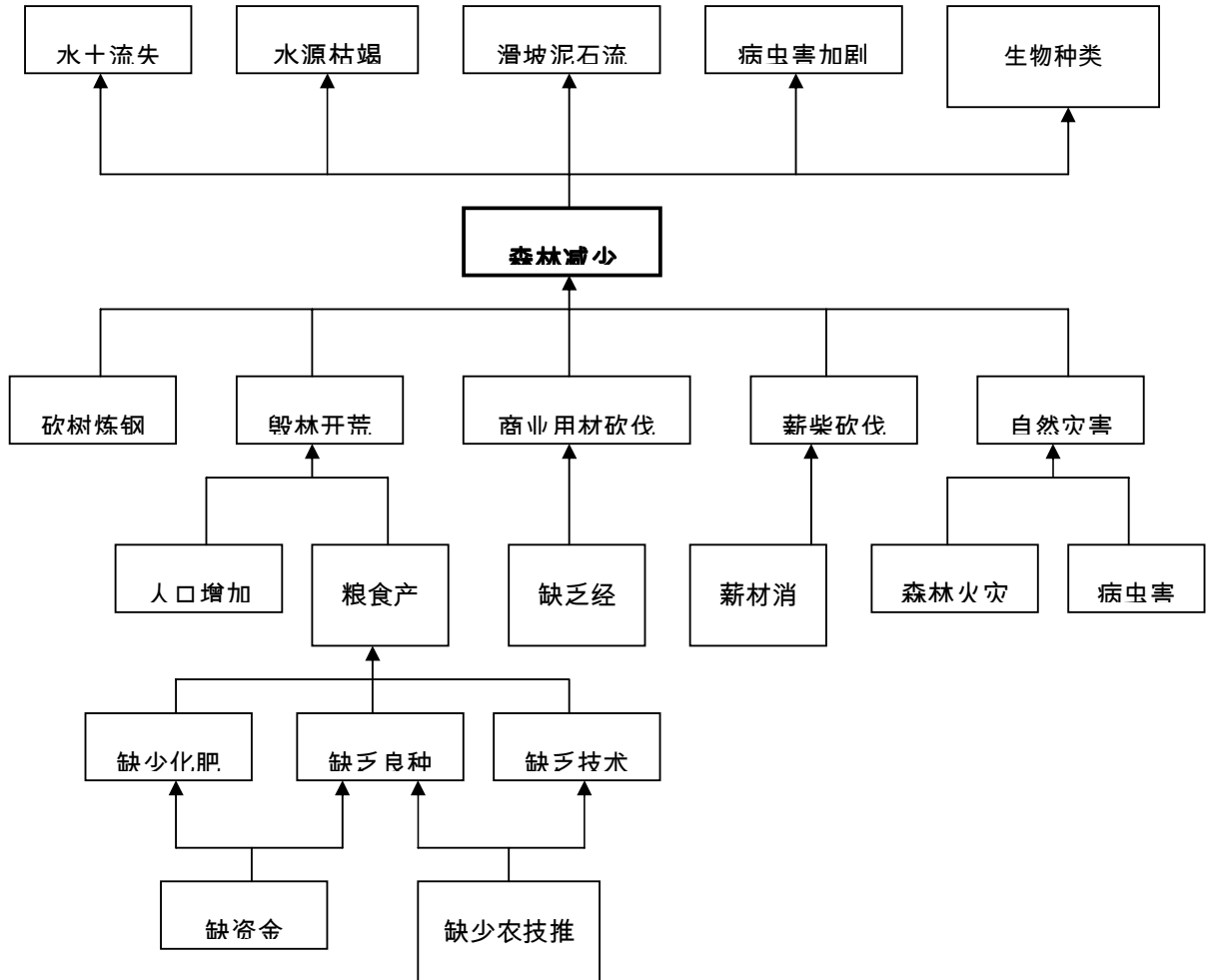
- 1、对农户提出的问题和困难进行整理、归类和分析，找出其内在的关系和可能导致的结果。
- 2、结合项目可能提供的支持条件，寻找可能的项目切入点，使实施的项目能够有效地回应导致农户困难的原因而不是现象
- 3、帮助项目协调员理清思路，使项目建议书的撰写更有逻辑性和针对性。

操作方法和步骤

- 1、通过对农户半结构访谈分析和小组讨论，确定农户所关心的核心问题
- 2、列出该核心问题可能带来的影响，即如果该问题不解决，可能会带来的后果，这种后果可以是现实已经发生的，也可能是潜在发生的。
- 3、与农户分析讨论，列出造成该问题的直接原因，
- 4、进一步分析讨论原因背后的原因，逐层挖掘产生问题的根源。
- 5、共同分析从哪些原因和哪一个层次的原因入手，是解决问题的好的切入点。

参见案例 3

案例3 森林减少问题树举例



**注意事项和问题处理**

- 1、问题树分析是一种逻辑性推理的工具，正确应用需要注意两个条件。一是问题的正确定位，这是逻辑分析的前提条件，二是符合逻辑的推理过程。
- 2、从问题的定位上，我们首先需要界定清楚的是“这是不是问题？”，一些东西，例如，“粮食产量低”可能是问题，也可能只是一种现象，如果当地以高收入的经济作物为主

，完全能够支付购买粮食的费用，那么，“粮食产量低”就不构成问题。所谓问题是指“要研究讨论并加以解决的矛盾、疑难、差距，具体到社区来说，就是村民的需求与现状之间的差异”，因此，在分析确定问题的时候，不仅要看到现状，也需要看到需求。这就牵涉问题定位的另一面，“谁的问题？”，简单讲就是不能以外来项目人员的视角和需求，与村里的现状对比，找到需要解决的问题，而应该协助村民自己分析需求和现状，找出他们最需要解决的问题。

3、社区内的问题无处不在，而进行问题树分析主要是针对影响社区发展的关键性问题，即对社区内外人们的生产、生活造成很大影响的问题。因此，需要将问题的影响尽可能列出，才便于从中分析问题影响的深度和广度。相反，如果是影响不大的问题，可能需要放弃，集中精力抓重要问题。4、在进行问题分析，寻找原因的过程中，需要尽可能将产生问题的原因全部列出，避免遗漏重要原因，全部列出后，再筛选哪些是需要进一步分析的原因。

5、问题或原因的表述需要清楚具体，不同人看到不会有不同的理解。例如，“某某社区缺水”就不够清楚具体，可以理解为缺乏饮用水，也可以理解为缺乏灌溉用水。清楚具体的表达是准确找到关键性原因的基础。

6、下一层次与上一层次必须是直接的因果关系。这包含两层意思，第一是有逻辑关系，下一个层次是上一个层次的原因，第二是因果关系要直接，否则不容易理解。简单的检验方法是用以下层为‘因为’、上层为‘所以’造句，如果联成的是符合逻辑的句子，则因果逻辑关系层次分明，否则逻辑关系错位或层次缺失。例如，“因为毁林开荒，所以森林减少”符合逻辑层次分明，“因为毁林开荒，所以森林难管”逻辑关系就不顺，“因为毁林开荒，所以收入减少”，有可能有逻辑关系，中间有缺失，可能的联句是“因为毁林开荒，所以森林减少——因为森林减少，所以导致水土流失——因为水土流失，所以产

量低—因为产量低，所以收入减少”。再如，“因为天气热，所以用电量增加”，之间的逻辑关系不是直接的，而表达为“因为天气热，所以使用空调的家庭增加，因为使用空调的家庭增加，所以用电量增加”，完善各个层次，但使各个层次之间呈现的是直接的因果关系，避免条理不清，争论不休。

#### 工具七 相关群体投入、收获平衡表

目的：

- 1、 找出与该项目或某项工作相关的主要群体，这种群体包括机构、组织或个人；
- 2、 分析主要相关群体在项目整个过程中，付出的投入和得到的回报；
- 3、 最关键的是分析找出相关群体的脆弱点。所谓脆弱点是指某一个或几个主要的相关群体需要在项目中有关键性的投入或很大的投入，但该群体无力提供足够的投入或者由于得不到相应的回报收获，而不愿意投入。通过投入、收获平衡表分析，事先预见到可能的脆弱点，并采取补救措施，能很好地避免项目实施中的失败。

操作方法和步骤：

- 1、 根据项目活动，首先列入项目相关群体。所谓相关群体是指项目影响到的群体和影响项目的群体。例如，修建人畜饮水工程项目中，项目影响到的主要群体包括：
  - 受益农户：他们将得到饮水；
  - 占地农户：修建饮水设施过程中占用他们的土地；
  - 水源所有者：也许是邻村，可以导致他们的用水量减少。

而影响项目的主要群体包括：

- 扶贫机构：决定支持项目的资金，项目的协调组织；
- 技术人员：工程设计和质量监督、验收；
- 村干部：负责组织、协调等；
- 实施小组：负责具体工程实施，影响工程质量和进度；
- 水源所有者：影响到是否提供水源以及水量；
- 乡领导：协调解决土地、水源纠纷等。

当然，相关群体可能还很多，例如，材料供应商、运输人员等，但一般只是分析关键性的相关群体。

2、分析各个主要相关群体的投入和收获，完成平衡表，如下表：

投入	相关群体	收获
少量劳力	农户	解决饮水困难，节约劳力
扶贫资金、组织协调； 人员的时间、技能	扶贫部门	完成职责； 得到农户信任
技术、人才	技术部门	？
水源	邻村	？
.....	.....	.....

2、 分析投入与收获的平衡状况，找出脆弱点。例如，在上述相关群体分析中，技术部门投入时间、技术作设计、监测和质量把关、验收等工作，如果该部门是企业，而项目上又没有预算支付他们的相应费用，那么该技术部门的技术性投入将会发生不到位的情况。又如，水源是邻村的，通过乡政府强制性的要求，邻村允许来接水源，但这一个过程，邻村没有任何收获，将来出现停水的可能性就很大。因此，

该项目中，技术部门和邻村就成为脆弱点，需要事先采取一定措施，比如，在项目预算时，将设计、监理费包括在内，使技术部门得到相应的经济补偿。而对邻村提供水源这种脆弱点，则要求有一定补偿措施，一种办法是推动受益村与水源提供村自己协商，由受益村提供补偿。如果是在协商不成的情况下，则暂时不启动该项目，否则，造成资金浪费和村民纠纷。另一种办法是给水源提供村支持另外的扶贫项目，作为补偿条件，以换得他们的水源。无论从哪一个角度补偿，应使投入与收获基本平衡，同时，这种平衡是建立在相关群体自愿的基础之上的，否则就是表面的平衡，脆弱点仍然容易出问题。再则，象提供水源这类问题，在考虑补偿方法时，应有相应的书面协议，以避免以后出新问题时说不清楚。

注意事项和问题处理：

- 1、任何项目涉及到的相关群体可能很多，但有效的平衡分析只需要针对哪些主要的、关键性的相关群体。是否是关键性的相关群体，可以用两条简单的标准来衡量：一是影响很大的群体，缺了“他们”，项目就不能顺利开展或达不到预期的目的；二是该群体的角色或作用很难被替代。例如，你只能从邻村引水，邻村就成为一个关键性群体，而购买水管等材料则不然，这家不适合可以换另一家，因此，供货商就不是关键性相关群体。
- 2、投入是多方面的，如：资金、物资、劳力、技术、资源、政策。而收获也包括更多的方面，例如：资金、设施、能力提高、信任、友好关系的建立、完成职责、成就感等等，而在扶贫项目过程中，许多相关群体的收获可能是非物质性的，需要注意分析这类收获。否则，会得出不平衡的相关群体很多。同样，不平衡的情况是很普遍的，但需要分析相关群体是否能够接受这种不平衡，真正需要重视的是某些相关群体不能接受和容忍的不平衡。





### **Tool Six: Problem Tree**

#### **Purposes:**

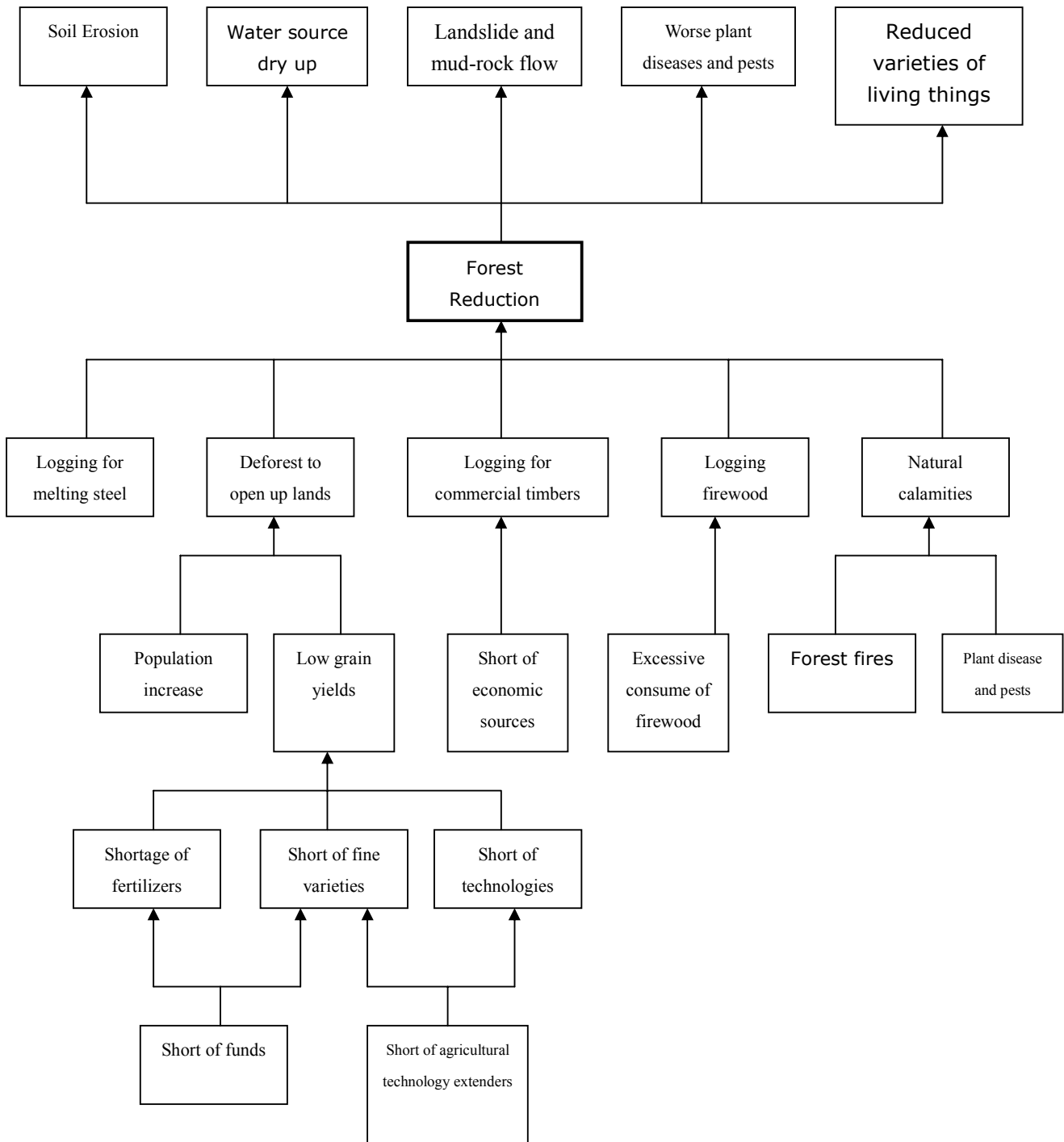
1. Sort out, categorize and analyze the problems and difficulties that the farmers proposed, find out the inherent relationships, and possible results.
2. Connecting the supportive conditions that the project may possibly provide, find out possibly starting point of the project, enabling the projects being implemented can effectively answer the reasons that caused difficulties for the farmers, but not the phenomenon;
3. Help the project coordinator clear his mind, so that the project proposals can be written up in a more logic and oriented manner.

#### **Operating methods and steps:**

1. After analyzing the semi-structured interviews with the farmers and group discussions, finalize the kernel problems of concern to the farmers;
2. Enlist the possible influences that the kernel problems can bring, i.e., if the said problem is not solved, what may be the possible consequences. Such consequence may have already happened in reality, or may possibly happen.
3. Analyze and discuss with the farmers, and enlist the direct reasons that caused the said problem;
4. Further analyze and discuss about the reasons behind the reasons, and dig out the root of the problems that give rise to the problems.
5. Jointly analyze what is a good starting point for solving the problems by analyzing from what reasons and what levels.

Refer to Case 3

Case 3 Example of Problem Tree for Forest Reduction



### **Precautions and Handling of Problems**

1. Problem tree analysis is a logic reasoning tool, and to use it correctly, you need to be careful about two conditions: Firstly, correctly position the questions, which is the prerequisite for logic analysis. Secondly, it should conform to the logic reasoning process.
2. While orienting the problems, we need to first define clearly, "Is this a problem?" Some issues, such as "low grain yields" may be a problem, or it may just be a phenomenon. If the high-return cash crop is the major source of income for the locals, it will be fully affordable to pay for buying grains, then "low grain yields" cannot constitute a problem. The so-called problem refers to "contradictions, complications and differences that need to be studied, discussed and resolved. To be specific to communities, it is the difference between the needs of the villagers and the status quo." Therefore, while analyzing and finalizing the problems, you should not only see the status quo, but also the needs. This will involve another aspect of orienting the problems, "whose problems?" To put it simply, you cannot compare the status quo of the village with the perspectives and needs of external project staffs, and find out the problems that need to be solved. Instead, you should facilitate the villagers to analyze their own needs and status quo, and find out their problems that need to be solved the most urgently.
3. The problems are everywhere in the community. Conduct problem tree analysis is mainly aimed at the key problems affecting community developments, i.e., the problems causing great influences on people's production and life inside and outside the community. Therefore, you need to try your best to enlist all the influences of the problems, so as to analyze the depth and extensiveness of the problems. On the contrary, if the problems are not that influential, you may need to abandon, and concentrate your efforts on key problem.
4. During the course of analyzing the problems, and find out the reasons, you need to enlist all the possible reasons that cause the problems, and avoid omitting any important reason. After enlisting all the reasons, sort out the reasons that need further analysis.
5. The expression of problems or causes should be clear and specific, so that different people will not have different understandings while reading it. For example, "certain community is short of water" is not clear and specific enough. You may understand it as short of potable water, or short of irrigating water. Clear and specific expression is the foundation for finding out the key reasons.
6. There must be direct relation of cause and effect between the next layer and the former layer. There are two layers of meanings: Firstly, there is logic relation, the next layer is the cause of the previous layer. Secondly, the relation of cause and effect should be direct, or it will be uneasy to understand. A simple examination method is to make sentences with the lower layer as

"because", and the upper layer as "therefore". If what comes up is a logic sentence, then the logic relation of cause and effect should have clear graduations, or the logic relations may be displaced or short of certain layers. For example, "Because of deforestation for opening up lands, therefore, forests reduced" conforms to clear graduation of logic layers. "Because of deforestation for opening up lands, therefore, the forests are hard to manage" is not logically smooth. "Because of deforestation for opening up lands, therefore, incomes reduced", there may be logic relations, but there are something missing in-between, and a possible successive sentence may be "because of deforestation for opening up lands, forests reduced - because forests reduced, it caused soil erosion - because of soil erosion, the crop yields are low - because of low yields, incomes reduced." Another example is, "Because it is hot, electric power consumption increased", the logic relation is not direct. However, if it is expressed as "Because it is hot, the number of homes using air conditioners increased, therefore, electricity power consumption increased," which improved all the layers. However, what displayed between different layers are direct relations of cause and effect, and avoid being badly organized, end up with unceasing arguments.

**5.4.7 工具七** **相关群体投入、收获平衡表**  
**Tool** **Seven:** **Stakeholder** **Analysis**

目的：

- 4、找出与该项目或某项工作相关的主要群体，这种群体包括机构、组织或个人；
- 5、分析主要相关群体在项目整个过程中，付出的投入和得到的回报；
- 6、最关键的是分析找出相关群体的脆弱点。所谓脆弱点是指某一个或几个主要的相关群体需要在项目中有关键性的投入或很大的投入，但该群体无力提供足够的投入或者由于得不到相应的回报收获，而不愿意投入。通过投入、收获平衡表分析，事先预见到可能的脆弱点，并采取补救措施，能很好地避免项目实施的失败。

操作方法和步骤：

- 3、根据项目活动，首先列入项目相关群体。所谓相关群体是指项目影响到的群体和影响项目的群体。例如，修建人畜饮水工程项目中，项目影响到的主要群体包括：
  - 受益农户：他们将得到饮水；
  - 占地农户：修建饮水设施过程中占用他们的土地；
  - 水源所有者：也许是邻村，可以导致他们的用水量减少。

而影响项目的主要群体包括：

- 扶贫机构：决定支持项目的资金，项目的协调组织；
- 技术人员：工程设计和质量监督、验收；
- 村干部：负责组织、协调等；
- 实施小组：负责具体工程实施，影响工程质量和进度；
- 水源所有者：影响到是否提供水源以及水量；
- 乡领导：协调解决土地、水源纠纷等。

当然，相关群体可能还很多，例如，材料供应商、运输人员等，但一般只是分析关键性的相关群体。

2、分析各个主要相关群体的投入和收获，完成平衡表，如下表：

投入	相关群体	收获
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少量劳力	农户	解决饮水困难，节约劳力
扶贫资金、组织协调； 人员的时间、技能	扶贫部门	完成职责； 得到农户信任
技术、人才	技术部门	？
水源	邻村	？
.....	.....	.....

4、 分析投入与收获的平衡状况，找出脆弱点。例如，在上述相关群体分析中，技术部门投入时间、技术作设计、监测和质量把关、验收等工作，如果该部门是企业，而项目上又没有预算支付他们的相应费用，那么该技术部门的技术性投入将会发生不到位的情况。又如，水源是邻村的，通过乡政府强制性的要求，邻村允许来接水源，但这一个过程，邻村没有任何收获，将来出现停水的可能性就很大。因此，该项目中，技术部门和邻村就成为脆弱点，需要事先采取一定措施，比如，在项目预算时，将设计、监理费包括在内，使技术部门得到相应的经济补偿。而对邻村提供水源这种脆弱点，则要求有一定补偿措施，一种办法是推动受益村与水源提供村自己协商，由受益村提供补偿。如果是在协商不成的情况下，则暂时不启动该项目，否则，造成资金浪费和村民纠纷。另一种办法是给水源提供村支持另外的扶贫项目，作为补偿条件，以换得他们的水源。无论从哪一个角度补偿，应使投入与收获基本平衡，同时，这种平衡是建立在相关群体自愿的基础之上的，否则就是表面的平衡，脆弱点仍然容易出问题。再则，象提供水源这类问题，在考虑补偿方法时，应有相应的书面协议，以避免以后出新问题时说不清楚。

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2、投入是多方面的，如：资金、物资、劳力、技术、资源、政策。而收获也包括更多的方面，例如：资金、设施、能力提高、信任、友好关系的建立、完成职责、成就感等等，而在扶贫项目过程中，许多相关群体的收获可能是非物质性的，需要注意分析这类收获。否则，会得出不平衡的相关群体很多。同样，不平衡的情况是很普遍的

，但需要分析相关群体是否能够接受这种不平衡，真正需要重视的是某些相关群体不能接受和容忍的不平衡。



## **Tool Seven: Investments of Stakeholders, Balance Sheet of Returns**

### **Purposes:**

1. Find out the major groups related to the said project or certain job, which may include institutions, organizations or individuals;
2. Analyze the investments and returns of major stakeholders during the entire project process;
3. The most important thing is to find out the fragile point of stakeholders. The so-called fragile point refers to certain one or several major stakeholders need to make critical investments or great investments in the project, however, the said group cannot afford to make enough investments, or are unwilling to make investments due to failure of getting returns accordingly. By analyzing the investments and balance sheet of returns, you may foresee the possible fragile points, and take remedial measures, which can effectively avoid failure of project implementation.

### **Operating methods and steps:**

1. According to project activities, first enlist the project stakeholders. The so-called stakeholders refer to the groups being influenced by the project, and the groups influencing the project. For example, while constructing a potable water project for people and animals, the major groups being influenced by the project include:
  - Beneficiary farmers: they will get potable water;
  - Farmers whose lands are occupied: Part of their lands will be occupied during the course of building potable water facilities;
  - Owners of water sources: Maybe the neighboring villages, as it may lead to reduction of their water consumption.

However, the major groups influencing the project include:

- Poverty alleviation bodies: decide on money to support the project, and coordinating organization for the project;
- Technician: engineering design, quality supervision and acceptance;
- Village cadres: Being in charge of organization and coordination, etc.;
- Implementation group: Being in charge of specific implementation of the project, who will influence the construction quality and schedule;
- Owners of water source: It will affect whether to supply water source or not, and the volume of water;
- Township leaders: coordinate solution of disputes over land and water sources, etc.

Of course, there may be many other stakeholders, such as material suppliers and carriers, etc. However, we normally only analyze critical stakeholders.

- Analyze the investments and returns of major stakeholders, and complete the balance sheet, such as the following table:

Inputs	Stakeholders	Achievements
A little labor	Farmers	Solve difficulties in access to potable water, and save labor
Poverty alleviation funds, organizational coordination; Time and skills of the people involved	Poverty alleviation department	Finish performing duties; Win trusts from farmers
Technology and talents	Technical department	?
Water source	Neighboring villages	?
.....	.....	.....

- Analyze the equilibrium between investments and returns, and find out the fragile point. For example, in the aforementioned stakeholder analysis, the technical department is responsible for labor input time, technical design, monitoring and quality control and acceptance. If that department is an enterprise, and the project does not budget money for their expenses accordingly, then the technical investments of the said technical department may not be in place. Another example is, the water source belongs to the neighboring village. Through the mandatory requirements of the township government, the neighboring village permits the water taking. However, the neighboring village does not get anything, and it is quite possible that they may cut off the water supply in future. Therefore, in the said project, the technical department and the neighboring village become the fragile point. It is necessary to take some measure beforehand, for example, while making project budget, include the design and supervision fee, and give the technical department certain economic compensation. For such fragile point as the neighboring village which provides water source, it is necessary to give them certain compensation. One way is to promote the beneficiary village to negotiate with the water source providing village, and let the beneficiary village pay for it. If negotiation failed, you should temporarily suspend the project, otherwise, it may result in waste of money and disputes between the villagers. Another way is to offer the water source providing village with additional poverty alleviation project as compensation, in exchange for their water source. No matter compensating from

whatever perspective, the investments and returns should be basically equilibrium. In addition, such equilibrium should be established on autonomy of the stakeholders. Otherwise, it will just be the superficial equilibrium, and the fragile point will still be troublesome. Furthermore, for such issues as providing water source, while considering compensation method, there should be written agreements accordingly, so that it will not be difficult to explain when new problems come up.

### **Precautions and Handling of Problems**

1. Any project may involve many stakeholders. However, effective equilibrium analysis only needs to be conducted to those major, critical stakeholders. As to whether they are critical stakeholders, you may measure with two simple criteria: Firstly, very influential groups, without "them", the project will not be implemented smoothly, or will not achieve desired objectives. Secondly, the roles or functions of the said group can hardly be replaced. For example, if you have to take water from the neighboring village, then the neighboring village will become a critical group. However, it will be a different story to buy water pipes. If one supplier is not suitable, you may go to another one. Therefore, the suppliers are not critical stakeholders.
2. The investments can be all round, such as money, materials, labor, technology, resources and policy. Returns can also be very inclusive, such as money, facilities, improved capabilities, establishment of trust and friendship, performance of duties, sense of accomplishment, etc. However, during the course of implementing poverty alleviation projects, the returns for many stakeholders may not be material, and you need to carefully analyze such returns. Otherwise, you may end up with many unbalanced stakeholders. Similarly, it is quite normal to see imbalance. However, what need to be analyzed are whether the stakeholders can accept such imbalance or not, and what you truly need to pay attention to are those imbalances unacceptable and unbearable for certain stakeholders.

5.4.8 工具

八

劳力季节分布图

**Tool Eight: Seasonal Distribution of Labor Diagram**

目的：

- 1、了解一年中男、女劳动力随季节的变化情况，为讨论可能实施的项目寻找合适的实施时间和安排项目进展；
- 2、了解在不同季节农事活动中农户常遇见的困难及寻找可能的对策；
- 3、了解不同性别的农户在不同季节从事哪些生产活动，培训项目在时间选择、培训对象选择方面更有针对性。

操作方法和步骤：

- 1、在一张大白纸上绘上当地日历，从1月到12月，注意标明是阳历还是阴历；
- 2、在每一个月旁，分别注明男性主要做什么工作、女性主要做什么工作，每个月主要工作最多写三种；
- 3、用玉米粒或豆子在主要工作旁标注该月份工作繁忙程度，以10粒为最繁忙；
- 4、结合所做的图讨论每个月生产活动中的困难；
- 5、结合所做的图讨论项目时间安排。

参见下表。

案例4 某村男女劳力季节分布图

<b>Tool Eight: Seasonal Distributio n of Labor Diagram Tool Eight: Seasonal Distributio n of Labor Diagram 繁忙程度</b>	女性主要工作	阴历月份	男性主要工作	繁忙程度
****	养牲畜，做饮食	正月	杂事	**
****	养牲畜，做饮食	二月	杂事	**
*****	耕地，养牲畜	三月	耕地，买化肥种子	*****
*****	种玉米	四月	种玉米，灌水	*****

**工具八 劳力季节分布图 Tool Eight: Seasonal Distribution of Labor Diagram**

****	除草，家务	五月	除草，追肥	*****
*****	追化肥，家务	六月	打工	****
*****	除草，家务，养猪	七月	打工	****
*****	收玉米，种豆	八月	收玉米，种豆	***** *
*****	晒粮	九月	晒粮，装仓，打工	*****
*****	养猪，找猪食	十月	打工	*****
****	养猪，家务	十一月（冬月）	打工	*****
*****	收豆，买衣服	十二月（腊月）	打工，杀猪	*****

注意事项和问题处理：

- 1、图上的季节和月份应该清楚是阳历或阴历。如果农户习惯用阴历，最好用阴历表示；
- 2、繁忙程度不要直接用数字1~10表示，而用豆子或玉米粒表示，以便在相互比较之后方便调整；
- 3、类似的季节图可以用于了解农户收入、支出分布情况，作为贷款项目、或需要集资的项目安排时间时作参考；
- 4、冬春季节往往是开展基础设施建设项目的时间，但有些地方该季节男性外出打工的较多，项目实施可能就主要依靠妇女，投劳强度是否超过女性能承受的范围，需要推动两性共同讨论并提出对策。

**Tool Eight: Seasonal Distribution of Labor Diagram**

**Purposes:**

1. Understand about the seasonal changes of male and female labors in a year, and find out proper project implementation time and schedule for discussing the projects possibly implemented;
2. Understand the difficulties that the farmers often encounter in farming activities of different seasons, and find out possible solutions;
3. Understand what production activities do the farmers of both sexes do in different seasons, so that the timing of training projects and selection of trainees can be more oriented.

**Operating methods and steps:**

1. Draw a local calendar on a large piece of blank paper, from January to December, and do mark if it is solar calendar or lunar calendar;
2. Beside each month, you should note what do men mainly do, and what do women mainly do;
3. Put corns or soy beans beside the major jobs to represent the bustling intensity, and 10 seeds represent the busiest.
4. Discuss the difficulties in the production activities of each month with the diagram;
5. Discuss arrangement of project schedule with the diagram.

Refer to the following table.

**Case 4: Table on Seasonal Distribution of Male and Female Labors in a Certain Village**

Bustling Intensity	Major Jobs of Females	Lunar Calendar Month	Major Jobs of Males	Bustling Intensity
****	Raise livestock, cooking	January	Trivial matters	**
****	Raise livestock, cooking	February	Trivial matters	**
*****	Farming, raise livestock	March	Cultivating land, buying fertilizers and seeds	*****
*****	Planting corn	April	Planting corn,	*****

**工具 八 劳力季节分布图 Tool Eight: Seasonal Distribution of Labor Diagram**

			irrigating	
****	Weeding, housekeeping	May	Weeding, top- dressing fertilizers	*****
*****	Top-dressing fertilizers, housekeeping	June	Migrant labor	****
*****	Weeding, housekeeping, raising pigs	July	Migrant labor	****
*****	Harvesting corn, planting soy bean	August	Harvesting corn, planting soy bean	*****
*****	Dry grains in the sun	September	Dry grains in the sun, loading grains into warehouse, migrant labor	*****
*****	Raising pigs, pick pig feed	October	Migrant labor	*****
****	Raising pigs, housekeeping	November	Migrant labor	*****
*****	Harvesting soy beans, and buying clothes	December	Migrant labor, killing pig	*****

**Precautions and Handling of Problems**

4. The season and month on the diagram should clearly indicate whether it is solar calendar or lunar calendar. If the farmers are used to lunar calendar, you'd better use lunar calendar to indicate;
5. Do not directly use number 1 - 10 to express bustling intensity, but use soy bean or corn instead, so as to make it easy for making adjustments after comparison;
6. Similar seasonal diagrams can be used to understand about the distribution of farmers' incomes and expenditures, to serve as references for loan projects, or arranging time for the projects that need to raise money;
7. Winter and spring are often the time to construct infrastructures. However, in some places, many men go out working as migrant labors during these seasons, project implementation may mainly rely on the women. As to whether the intensity of labor inputs exceeded the affordability of the women, it is necessary to promote both sexes to jointly discuss and propose solutions.

**工具 八 劳力季节分布图 Tool Eight: Seasonal Distribution of Labor Diagram**

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