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POLICY ANALYSIS

We do not do research for its own sake. We study specific situations in order to influence changes in the bigger system. We study how people and communities are affected by the rules and norms of institutions, which are probably more influential and powerful than us. The exercise of power has implications on our lives and the lives of poor people.

AFTER DOING RESEARCH, WHAT?

“The point is not (only) to interpret the world but to change it.”
Marx

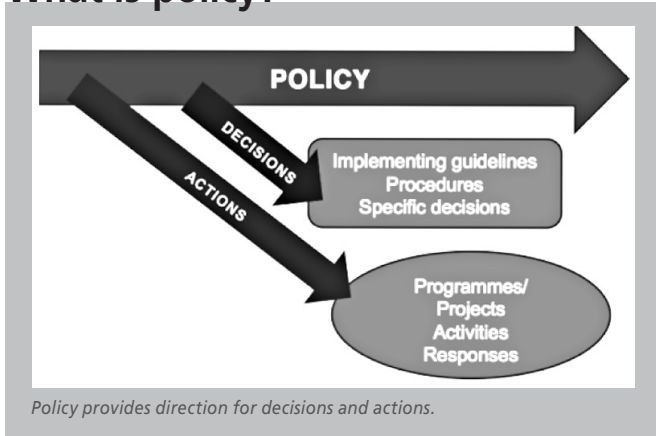
The common problem of NGOs is that after the work is finished, after the deadlines have been met, and after the report is out, we think the work is done. But we have to *communicate* that report.

The common mistake is we do not know *where* to bring our research. When we do research, we try to understand the situation better and try to see things from other perspectives. We try to take the perspective of poor people and try to understand why they act in a certain way.

However, our advocacies may influence our views. For example, we may romanticize the poor—thinking all poor people are honest, even though some of them may be dishonest.

Research is important for NGOs because it should help us examine our own organizations and evaluate whether we are doing the right things the right way. We may be pulled in certain directions because of donor pressures—but our research should tell us whether we are moving in the right direction. We want to influence the bigger picture, multiply the effectiveness of our work, and advocate for more funding and policy. Through research, we can plan to expand the scope and influence of our work, despite our size and limited resources.

What is policy?

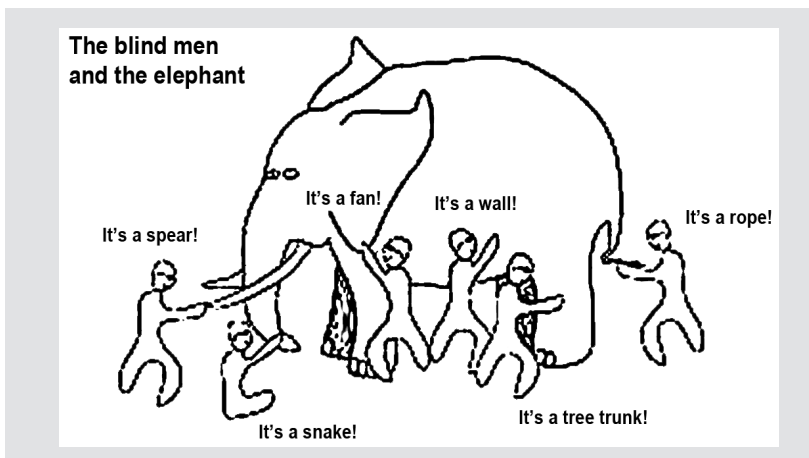


Policy provides the direction for decisions made or actions taken, especially within government (see figure).

However, it can be difficult to determine just what policy is. Policy is not just what is written. Some policies are unwritten—they are more of a “practice” or the way things have been done for a long time. For example, the British constitution, is usually described as “unwritten,” as it is not a single written document, in contrast to that of many other countries.

It is also difficult to determine what policy is because people may say one thing, but then do something else. One definition of policy is that it is what organizations say they will do—but what we are more interested in is what they *actually* do (Pasteur, 2001).

Policy is like, again, the proverbial elephant: you only know it when





POLICY PROCESSES

Policy is not static—it keeps moving and changing. Even how people make decisions may change. The ways people make decisions change. Therefore, when we look at policy, we have to understand policy *processes*.

Policy processes can refer to the processes of making policies and decision-making—processes that shape the way issues are thought and talked about, as well as the way by which issues are put on the agenda.

It can also refer to the processes of defining problems or goals, coming up with policy solutions or choices, and implementing these. That is, policy processes are not just about producing statements or declarations, but also about implementation and review.

GROWING COMPLEXITY IN POLICY PROCESSES TODAY

In today's context, policy processes are growing more complex, with policy processes on land issues being no exception. Let's take a few examples:

▷ **Globalization**

Decisions are increasingly taken by outside forces, and their impacts are increasingly externalized. Capital flows all over the world, but people cannot move in the same way i.e., free flow of goods and capital.

▷ **Rise of institutions that are faceless and more complex**

It is very difficult to pinpoint accountability and responsibility with corporations. Accountability is less direct; there are more layers of decision-making and more complex relationships.

▷ **From landlord-tenant to investment relationships**

In the past, relationships were simple, such as tenant vs. landlord. You could bring the tenant to talk to the landlord. However, today, relationships are more complex in structure, accordingly making policy processes more complex. *What are the implications on policy processes when decisions are increasingly externalized?*

For example, a Thai corporation is investing in Cambodia. Who is the decision maker? Whom do you talk to? How do you access the decision-maker? Land grabbing reflects the same concerns. If you trace the roots of land grabbing, who is responsible? Curiously, many land grabs are financed by hedge funds from developed countries. Hedge funds come from people's retirement funds, among others. If you run after the investors, are you running after these people? It presents a dilemma. Hedge funds come from savings with people's best intentions, but they were used for land acquisition. Who do you run after? Where would the policy be directed at? Policy processes are increasingly confronted with the challenge of establishing accountability.

Nonetheless, new opportunities are provided by:

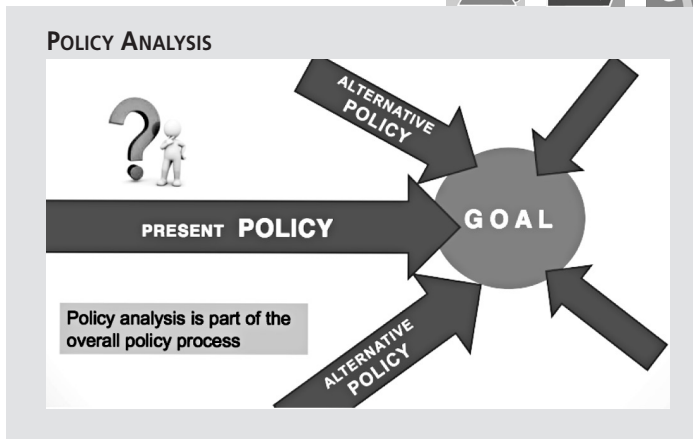
- decentralization in some countries
- new communications technologies
- new norms of citizenship and civil society.

POLICY PROCESSES ARE POLITICAL

Changing or influencing policy is a political process. Policies can include or exclude the interests and perspectives of poor people. For example, reforms in land policy involve changing power relations. Different stakeholders have different agenda for the same policy. Policy processes tend to be controlled or managed by the ruling elites, who are often landed. To enhance the poor's ownership and control of land, NGOs lobby for reforms. The agenda and process of how you engage policy will depend on your position and level of influence.

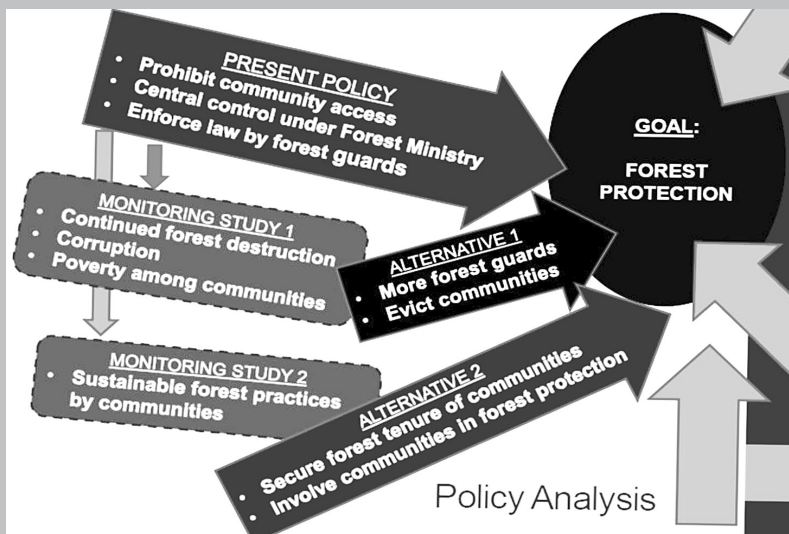
What is important is that while you have an advocacy, you must still present **sound** evidence.





WHAT IS POLICY ANALYSIS?

Policy analysis is “determining which of the various *alternative* policies will most achieve a given set of goals in light of the relations between the policies and the goals”.



Take for instance two studies monitoring a forest policy stipulating the prohibition of community access, central control under the forest ministry and the enforcement of the law by forest guards. What the policy aims to ultimately achieve is forest protection. On one hand, Monitoring Study 1 might look into continued forest destruction and corruption, and may propose more forest guards and the eviction of communities (Alternative 1). On the other hand, Monitoring Study 2 looks at sustainable forest practices by communities and its alternative (Alternative 2) is securing forest tenure of communities and community involvement in forest protection.

TYPES OF POLICY ANALYSIS

Analysis of policy

- ▷ **Example:** Analysis of a proposed National Land Use Act
- ▷ **Nature:** analytical and descriptive
- ▷ **Tools:** impact analysis, feasibility study, gap analysis, cost-benefit analysis, etc

Analysis **of** policy is a policy-focused analysis. You study an existing policy in terms of gaps, guidelines, international instruments, etc.

Analysis for policy

- ▷ **Example:** Using local community-based forest management (CBFM) experiences to influence forest reform
 - ▷ **Nature:** prescriptive, includes “policy reform”; examines potential alternatives
 - ▷ **Tools:** case study reviews, stakeholder analysis, livelihood analysis
- Analysis **for** policy is a people-focused analysis. It is directed towards policy change.

METHODS AND TOOLS FOR ANALYZING POLICY AND POLICY PROCESSES

A range of methods and tools to help analyze policy and policy processes (see table below) is available to us.

METHODS AND TOOLS FOR ANALYZING POLICY AND POLICY PROCESSES

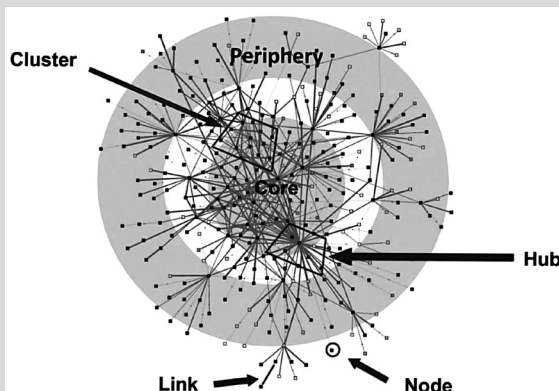
Policy processes and actors	Stakeholder analysis, network mapping (see figure, next page), key informant interviews
Livelihood strategies	Semi-structured interviews, preference rankings, problem tree analysis
Social capital	Power analysis, social maps, institutional analysis
Policy priorities	Visioning, force-field analysis
Policy context	Timeline review (review of how policies have evolved)
Policy statements	Document analysis, gap analysis
Institutions and organizations	Institutional analysis, social maps, power analysis, network mapping

Source: Pasteur (2002), as cited in IFAD SL Workshop “Approaches & Methods for Institutional Analysis”, 2003.





EXAMPLE OF A NETWORK MAP



When you do network mapping, you can identify important clusters or players. You can identify hubs and see the links and nodes.

There are not many network maps that exist globally covering all the institutions working on land. Linking the system in terms of respective roles and responsibilities on the land issue would add value to the work we do on land rights advocacy.

Image from wiser.org (blog.wiser.org/network-mapping) as taken from the Monitor Institute.

THE PURPOSE OF POLICY ANALYSIS FROM A CSO PERSPECTIVE

We CSOs do policy analysis because we are looking for change beyond incremental improvement or “reformist reforms” –we hope to effect more structural and permanent social change. We want to change not only the specific situation, but more importantly, we want to change the rules of the game—a shift from A to B—aided by research and policy analysis.

To illustrate, we want to:

- Stop destructive policies (mining, logging, evictions)
- Introduce protective measures (Free, Prior and Informed Consent [FPIC], impact assessments)
- Introduce new policy for its direct effects
- Reform existing policy (land and resource reforms)
- Transformative reforms (land and resource reforms; governance reforms)
- Ensure implementation of policies
- Scale up local action (community-based resource protection and management)
- Gain legitimacy (entitlements)
- Recognize rights (indigenous peoples’ domains)

When we look at our success in terms of influencing a policy process, and how our research continues to feed into it, there are small levels of success. The following table provides one example.

LEVELS OF ACTIVIST SUCCESS IN A POLICY PROCESS

Levels of success	Indicators of government policy change
1. Access to an institution	Activists testify in a Congressional hearing
2. Agenda setting in an institution	A congress member introduces a bill that includes progressive measures
3. Policy change in an institution	Congress enacts legislation with the progressive measure
4. Desired output from the institution	The legislation is enforced
5. Desired impact achieved	The legislation is enforced enough that it has intended consequences
	People elect a more progressive Congress that is inclined to enact progressive policies
6. Reform of the institution	

Source: Schutt, Randy (2001). *Inciting Democracy: A Practical Proposal for Creating a Good Society*, p140.

Policy work does not end when the policy has been written. Policy analysis entails ensuring its implementation. Hence, monitoring the implementation of policies is critical. Our analyses should be backed up by solid evidence, gathered through rigorous research. The box below provides some questions in designing research that will inform our advocacy. Remember that policy analysis is not a mere “add-on” after research. Again, we do policy analysis in the hope that we can ultimately effect meaningful, structural change.

Designing research for policy: guide questions

- What is the context of the policy under question?
- What is the content or provision of the policy?
- What does the advocacy want? What changes does it expect?
- What is the range of choices or options for the advocates?
- What are the terms of negotiation? What terms are negotiable and what terms are not?
- What strategies are possible and realistic?
- How do strategies connect the advocacy issue at the national and local levels and where applicable, at the international levels?
- What materials (e.g., case studies) are needed to support the argument and the proposal?

Source: Co, Edna (1999). *Beating the Drums: Advocacy for Policy Reform in the Philippines*.





METHODS FOR POLICY ANALYSIS

Tony Quizon

In this section, we present four useful methods and tools for conducting policy analysis: stakeholder analysis, force field analysis, problem tree analysis, and power analysis.

STAKEHOLDER ANALYSIS IN POLICY

Stakeholder analysis is “the process of identifying individuals or groups that are likely to affect or be affected by a proposed action, and sorting them according to their impact on the action and the impact the action will have on them” (Wikipedia, n.d.).

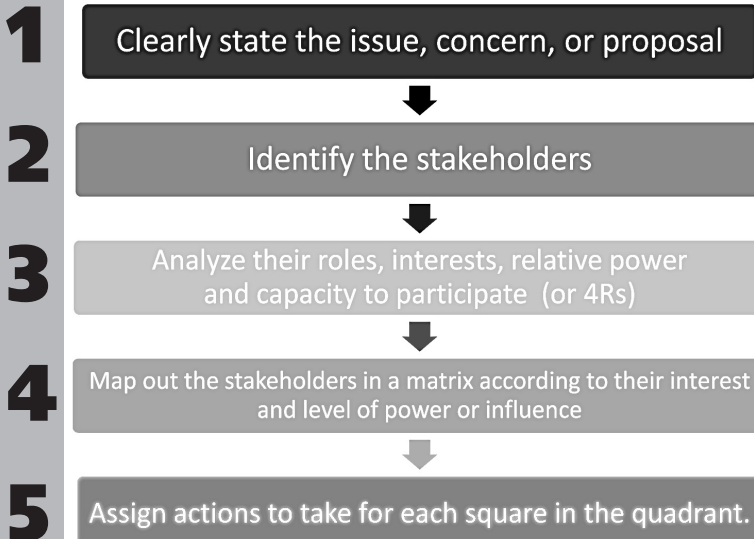
HOW IS IT USED?

“Stakeholder power analysis is a tool which helps understanding of how people affect policies and institutions, and how policies and institutions affect people. It is particularly useful in identifying the winners and losers and in highlighting the challenges that need to be faced to change behavior, develop capabilities and tackle inequalities” (IIED, 2005).

Additionally, stakeholder analysis may also be done as part of policy research, and as part of multi-stakeholder processes—namely dialogue and negotiation.

STEPS

STEPS IN STAKEHOLDER ANALYSIS



1. Stating the issue

Clearly state what the issue, concern, or proposal is. Remember that your stakeholder analysis is contextual, and is likely to change depending on the issue you select. This means that there is no “one size fits all” stakeholder analysis.

2. Identifying stakeholders

Once you have identified the core problem, it is time to identify the stakeholders. Stakeholders are the actors—the individuals, groups, or institutions—that have an interest in the issue. Depending on the degree to which they are affected, they may be classified as primary, secondary, or tertiary (usually institutional stakeholders). They can be the beneficiaries, victims, financiers, or instigators. Stakeholders can also be at the local, district, national, or international levels.

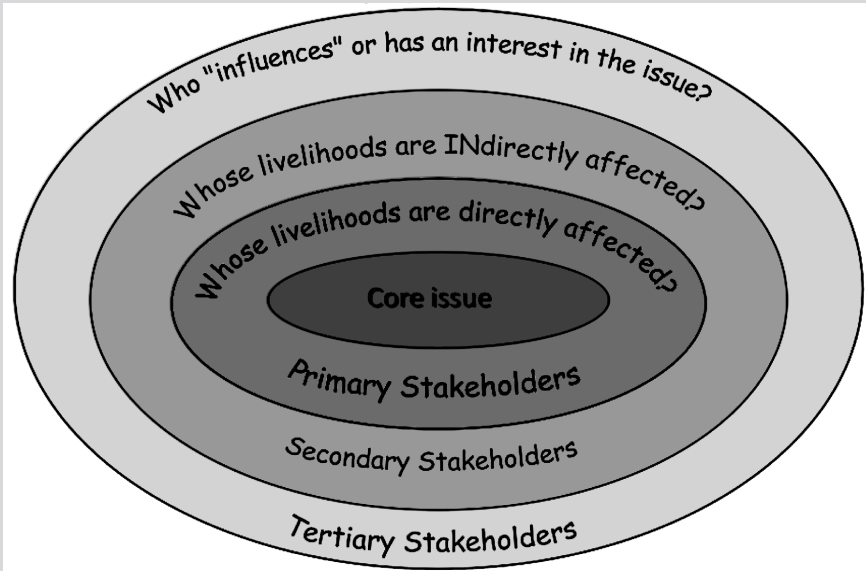
Start identifying stakeholders by asking around—looking into stakeholders in specific land issues. You should describe how you are going to do this in your research design.





The figure below shows guide questions in identifying primary, secondary, and tertiary stakeholders.

Once you have identified the core issue, you can identify the stakeholders by asking whose livelihoods are directly affected (primary stakeholders), those whose livelihoods are indirectly affected (secondary stakeholders), and those who exert influence or have an interest in the core issue (tertiary stakeholders).



Source: International Fund for Agricultural Development. *Approaches and Methods for Institutional Analysis (PPT)*.

3. Analyzing roles, interests, power, and capacity

We recommend using the 4Rs tool in stakeholder analysis (see table below). The 4Rs—namely rights, rewards and benefits, responsibility, and relationships—bring to light important considerations, from recognizing just how stakeholders are affected, to seeing the various *roles* they play.

THE 4 RS IN ANALYZING THE ROLES OF STAKEHOLDERS

Rights	What are their rights?
Rewards and benefits	Who pays? Who benefits?
Responsibility	What is their responsibility or role with regard to the issue?
Relationships	How are they related to the issue? How close or how far?

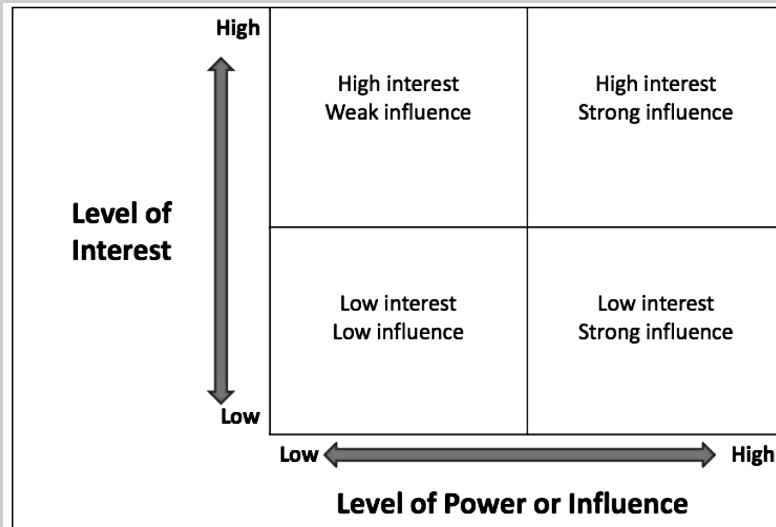
4. Map out stakeholders in a matrix

The next step is to map out stakeholders in a 4 x 4 matrix (4 rows by 4 columns) according to their level of interest (low or high) and their degree of power or influence (weak/low or strong) on the issue. What is the nature of their interests? What are their interests in the proposed change? Do they have a high potential interest from the proposed policy or change? What about their degree of influence? Are they considered as powerful groups? Note that some groups may have very high interest, but no power over an issue.

Stakeholders can be assigned into one of four quadrants. The four quadrants are: high interest–weak influence; low interest–low influence; high interest–strong influence; and low interest–strong influence.

STAKEHOLDER MAPPING MATRIX

The level of interest (y-axis) moves from low to high, while the level of power or influence moves from low to high (x-axis), to create a 4 x 4 matrix of stakeholder interest vis-a-vis their influence. There are four combinations: high interest, weak influence; low interest, low influence; high interest, strong influence; and low interest, strong influence.



Source:
Gardner,
1986



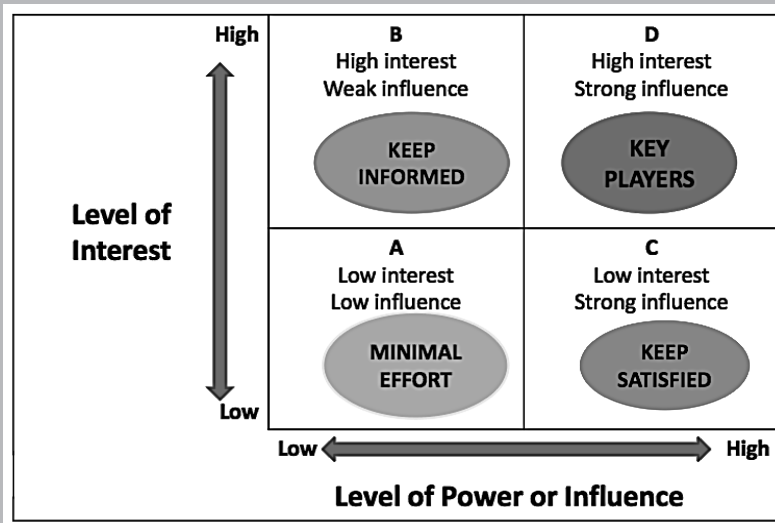


5. Assign actions for each square in the quadrant

Now that you have mapped out stakeholders and assigned them into one of four squares in the 4 x 4 matrix, you can proceed with determining actions or responses for each set of combinations of interest and power or influence. Gardner (1986) prescribes certain corresponding actions for each quadrant, as shown in the following figure.

POWER/INTEREST STAKEHOLDERS MATRIX

Each quadrant has a corresponding response.



Source: Gardner, 1986

Essentially, those in Quadrant D are the **key players** who have both a *strong influence* and *high interest*—you must therefore **focus your efforts and attention on them**. If the *influence is high*, but the *interest remains low* (Quadrant C), then the course of action to take is to **keep these stakeholders satisfied**. If the *interest is high*, but *influence is weak* (Quadrant B), it will serve you well to **keep them informed** (especially if you have a campaign). Lastly, for stakeholders who have a *low interest* as well as *low influence*, it is advisable for you to **keep efforts to a minimum**.

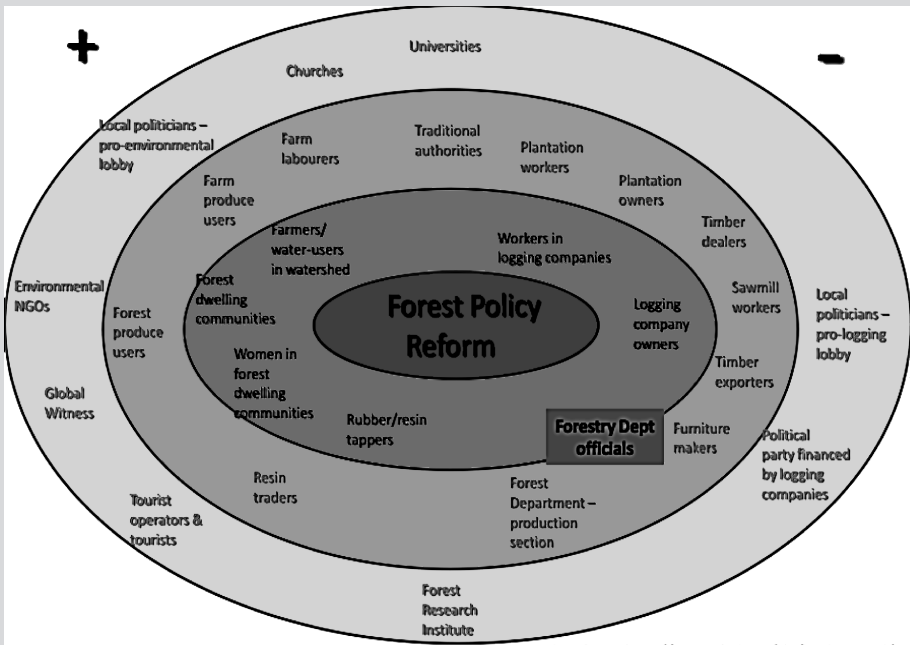
Example 1

STAKEHOLDERS IN FOREST POLICY REFORM

To illustrate stakeholder analysis, the figure below identifies the different stakeholders in forestry policy reform.

STAKEHOLDERS IN FOREST POLICY REFORM

On the left side are stakeholders who are likely to support forest policy reform that gives local communities greater access to forest resources. On the right side are stakeholders who are likely to resist forest policy reform.



Source: International Fund for Agricultural Development. *Approaches and Methods for Institutional Analysis (PPT)*.

Based on this figure, *primary* stakeholders are farmers, water users in the watershed, forest-dwelling communities, women in the forest-dwelling communities, resin and rubber tappers. If there is forest policy reform, which leads to more access, they will be in support of the policy. Workers in the logging and mining companies and logging company owners will constitute primary stakeholders against the policy.





Secondary stakeholders in the forest area include resin traders, forest produce users, farm produce users, farm laborers, traditional authorities, while plantation workers and owners, timber dealers, etc. are secondary stakeholders living outside the forest area.

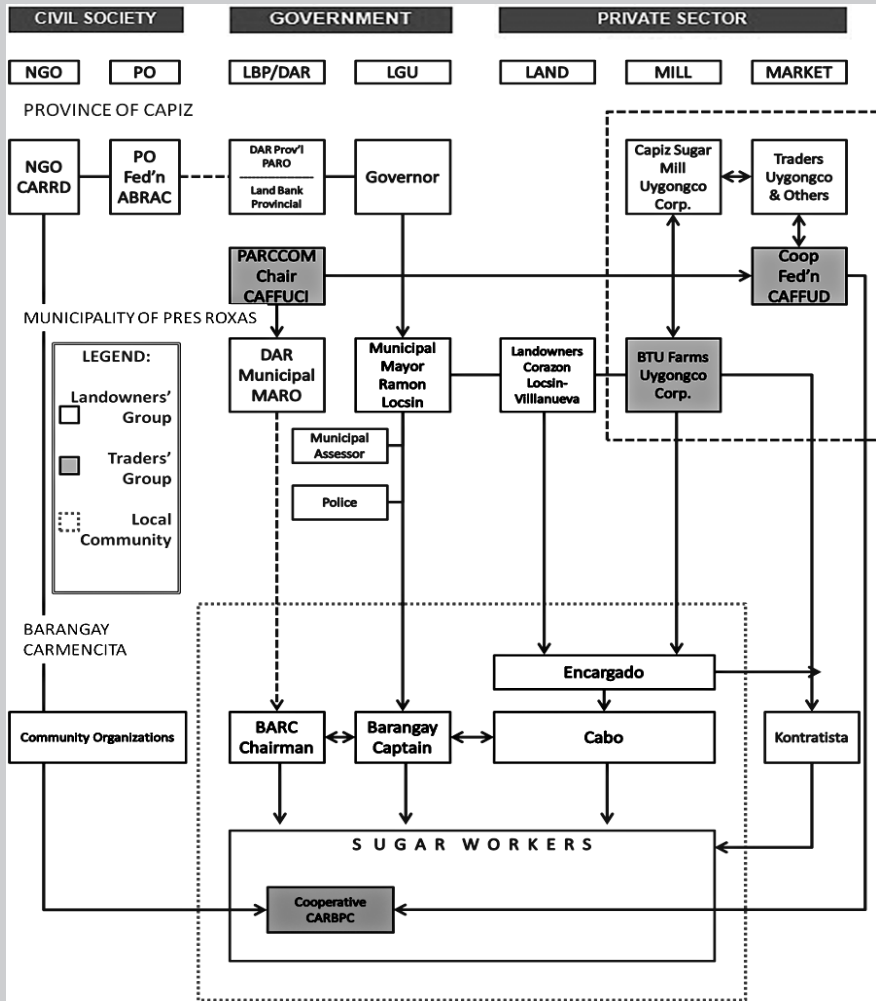
At the *tertiary* level can be found universities, forest research institutes, churches, local politicians and the pro-environmental lobby, environmental NGOs, tourist operators, etc.

The following table contains a stakeholder analysis. As stakeholder maps will vary depending on your needs, note that instead of our simplified 4 x 4 matrix, there are two new columns: potential impact of policy and the importance of group. In addition, it is possible to evaluate the level of interest, or the importance of a group, as “medium” (besides “low” and “high”).

STAKEHOLDER ANALYSIS IN FORESTRY POLICY REFORM

Stakeholder group	Nature of interest in policy decision	Potential impact of policy	Relative importance of interest	Importance of group	Influence (power) of group
PRIMARY					
Women in forest dweller communities	Improved food security	High	High	High	Low
Resin tappers (male)	Sustained income	High	High	High	Low
SECONDARY					
Forestry Department officials	Institutional responsibility + income	High	High	High	High
TERTIARY					
Environmental NGOs	Protection of forest biodiversity + funding from overseas donors	Medium—High	Medium	Medium	Low

SOCIO-POLITICAL STRUCTURES IN LAND REFORM IN CAPIZ, PHILIPPINES



Source: Tony Quizon, CARRD, 2001.

Example 2 STAKEHOLDERS IN LAND REFORM IMPLEMENTATION

Example 2 is borrowed from the Center for Agrarian Reform and Rural Development (CARRD) and its work on land reform policy implementation in the municipality of President Roxas, Capiz, Philippines. The figure above presents the socio-political structures in land reform—

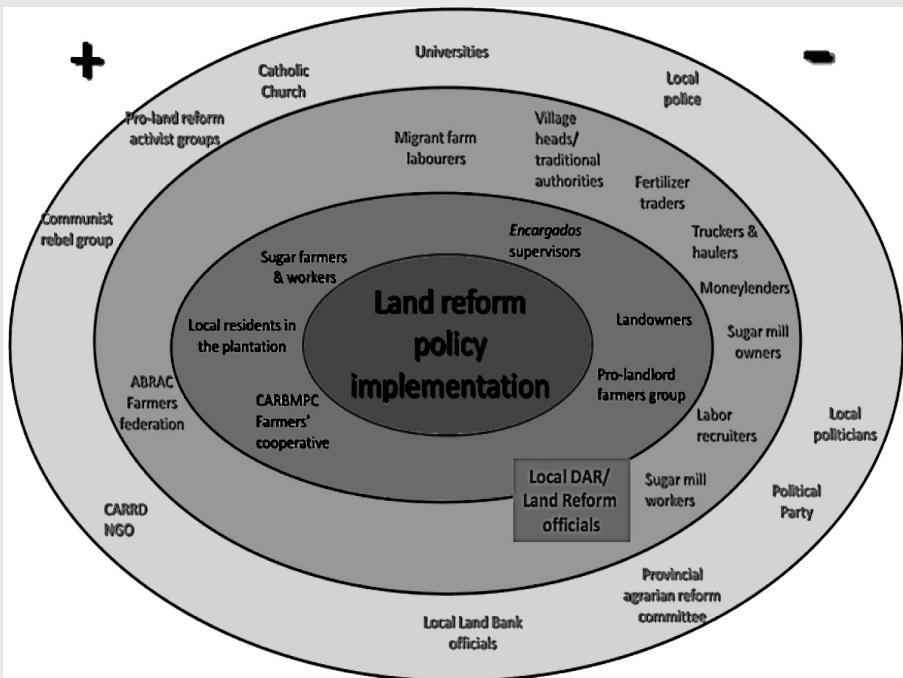




classifying them as civil society (NGO, people's organization), government (local government unit, Department of Agrarian Reform, Land Bank of the Philippines), and private sector (landowners, traders, and local communities). This example of social mapping in one town shows a complex web of power relations. It shows that the local mayor is also the landowner, and controls the leadership of the local farmers' organization. In terms of interest in land reform implementation, the social mapping shows landlords and encargados (supervisors of the plantation who are also farmers). You can also see the split between different farmer groups. The local Department of Agrarian Reform (DAR) is rather on the side of the landlord. Moneylenders, fertilizer traders are all on the side of the landlord. But looking at the bigger picture, in terms of the national policy, you find the NGO CARRD and other agrarian reform supporters.

The figure below shows the primary, secondary, and tertiary stakeholders in land reform implementation.

PRIMARY, SECONDARY, AND TERTIARY STAKEHOLDERS IN LAND REFORM IMPLEMENTATION IN HACIENDA CARMENCITA, CAPIZ, PHILIPPINES (2001)



Source: Tony Quizon, 2012.

After this exercise, CARRD proceeded with analyzing these stakeholders by determining their level of interest (high or low), and the level of power or influence (low or high, weak or strong). To illustrate, the landlords' level of interest is high and the degree of power they exercise is likewise high. In contrast, a local people's organization would have a high interest but weak influence. Sugar farm workers have low-level power, whereas government officials have a high degree of power.

STAKEHOLDER ANALYSIS FOR HACIENDA CARMENCITA, CAPIZ, PHILIPPINES

Stakeholder group	Nature of interest in policy decision	Potential impact of policy	Relative importance of interest	Importance of group	Influence (power) of group
PRIMARY					
Sugarworkers	Food security	High	High	High	Low
Migrant workers	Work & income	High	High	High	Low
SECONDARY					
Local land reform department officials	Institutional responsibility + income	High	High	High	High
TERTIARY					
CARRD NGO		Medium—High	Medium	Medium	Low

EXERCISE

Identify a key issue you face in land reform monitoring. List the stakeholders involved. Analyze their interests.





Sources

International Fund for Agricultural Development (IFAD). Approaches and methods for institutional analysis (PPT). Retrieved from <http://www.ifad.org/sla/background/>

International Institute for Environment and Development. (March 2005). Stakeholder power analysis. Retrieved May 2013 from http://www.policy-powertools.org/Tools/Understanding/docs/stakeholder_power_tool_english.pdf

Quizon, Antonio and Arostique, Anthony (2000). Collective Farming in Hacienda Carmencita, President Roxas, Capiz Province. Quezon City: Center for Agrarian Reform and Rural Development (CARRD).

Stakeholder analysis (n.d.). In Wikipedia. Retrieved May 4, 2013, from http://en.wikipedia.org/wiki/Stakeholder_analysis

Learn more

The International Institute for Environment and Development has an excellent online resource called *Power tools: for policy influence in natural resource management*. Though no longer updated, the site remains and is accessible on:

<http://www.policy-powertools.org/index.html>

You can find articles on stakeholder influence mapping, stakeholder power analysis, and the Four Rs.

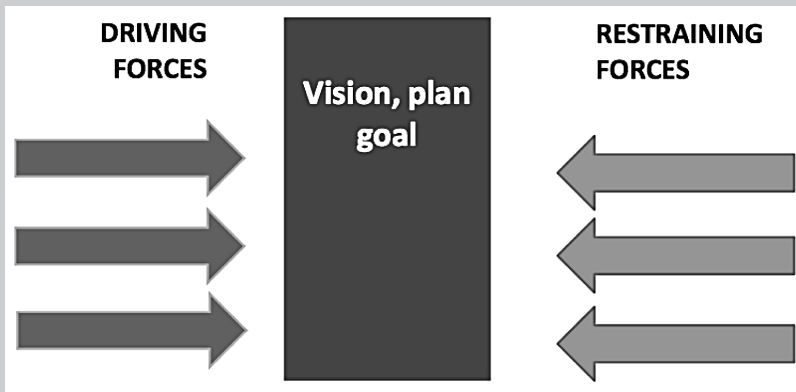
FORCE FIELD ANALYSIS

Force Field Analysis was developed by Kurt Lewin in the 1940s. Lewin originally used the tool in his work as a social psychologist. He did pioneering work in group dynamics. Today, however, Force Field Analysis is also used in business, such as in making and communicating “go/no-go” decisions.

Force field analysis is a **decision-making** tool that helps us analyze the factors—people, resources, attitudes, traditions, regulations, values, needs, desires, etc.—found in complex problems. It also helps us analyze the forces for or against a plan or proposed action.

As a tool, it frames problems in terms of factors or pressures that support the status quo (restraining forces) and those pressures that support change in the desired direction (driving forces). The figure below shows the force field template.

FORCE FIELD TEMPLATE



In the middle, write your vision or plan. Driving forces are the forces that push your vision or plan forward. Restraining forces are obstacles preventing you from reaching your plan or goal. The driving forces must exceed the restraining forces for the desired change to occur.

Moreover, force field analysis is an **action-planning** tool. By identifying factors that need to be addressed and monitored for change to be successful, it serves as a tool for managing change. It also helps





us identify the forces that need to be strengthened or increased, and those that need to be reduced or controlled.

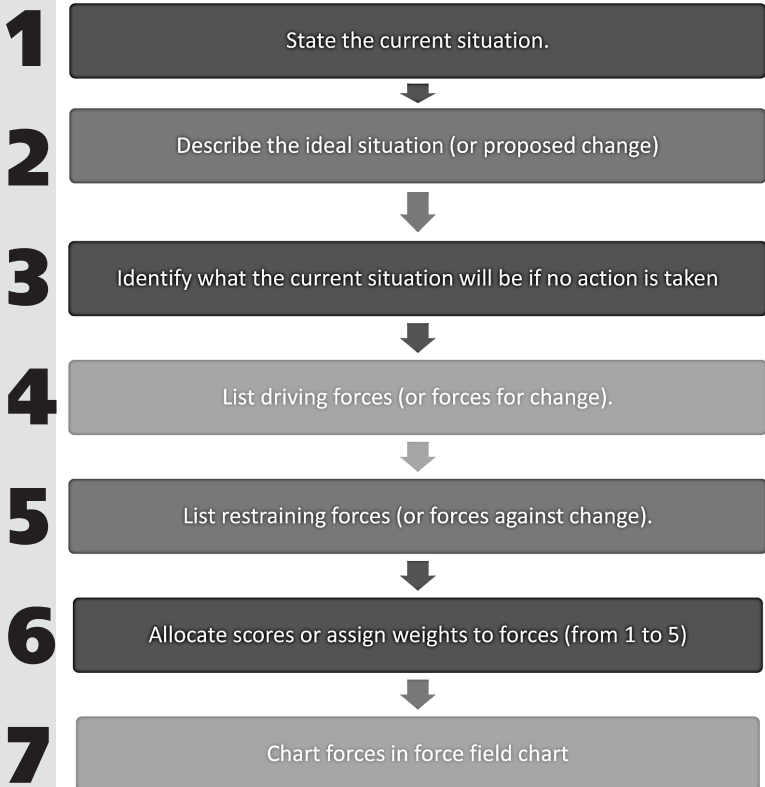
In contrast with stakeholder analysis, force field analysis does not only look at actors, but also at the forces involved.

In the case of land reform, the push or driving forces may be farmers wanting land, whereas the restraining factors may be landlords refusing to yield control over their land. But farmers—owing to fear or a culture

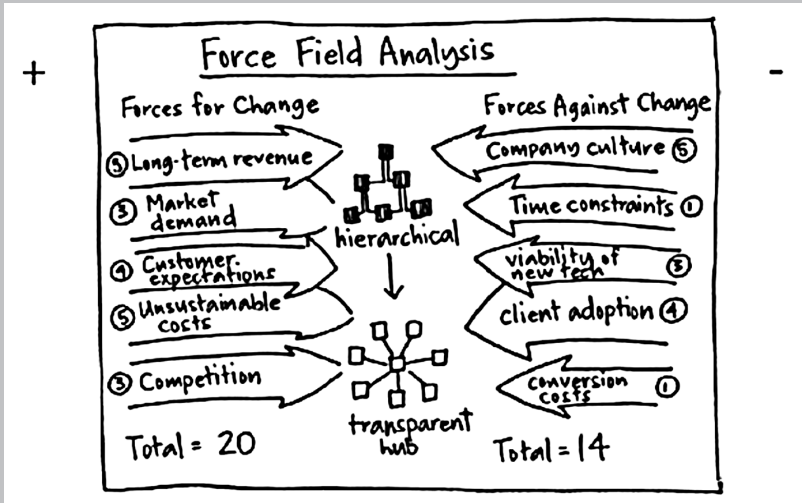
STEPS IN FORCE FIELD ANALYSIS

To undertake a force field analysis, there are a few simple steps to follow (see figure below). The important thing is to identify the forces for change and against change and be able to put a value to these forces.

STEPS IN FORCE FIELD ANALYSIS



The following figure provides an example of force field analysis. The positive and negative forces are given corresponding weights (between 1 to 5). In this example, the forces for change outweigh the forces against change.



This is a force field analysis of a company's proposal to change the structure of its sales force from a hierarchical to a transparent hub system. Positive or driving forces are: long-term revenue, market demand, customer expectations, unsustainable costs, and competition. Negative or restraining forces are: company culture, time constraints, viability of new technology, client adoption, and conversion costs.

Source: Taken from Gray D., Brown S., and Macanuso S. (2010). *Games Torming: A Playbook for Innovators, Rulemakers, and Changemakers*. USA: O' Reilly Media, Inc.

ACTIONS FOR CHANGE

Once you have charted the driving and restraining forces and their corresponding weights, you will have to make a decision on what to do. There are two options for change: either you strengthen the driving forces or you reduce the intensity of restraining forces.

According to Kurt Lewin, the **better choice** is to reduce the intensity of restraining forces. Why? Because increasing the strength of the driving force will only lead to an increase in the intensity of restraining forces. #





GROUP EXERCISE

Situation

You are the national government. There are 50 illegal farmer families in a forest area, who remain in poverty and continue to destroy the forest through slash-and-burn farming. An NGO is working to organize the community. Many local officials complain that NGOs are creating trouble. Government has limited funds.

Plan

Invite the XYZ Company to take over and transform part of the degraded land (200 hectares) into a plantation, so that the families will have regular jobs and better incomes, and forest destruction by farmers will be reduced or stopped.

Proposal

Set up a 200-hectare XYZ Company plantation.

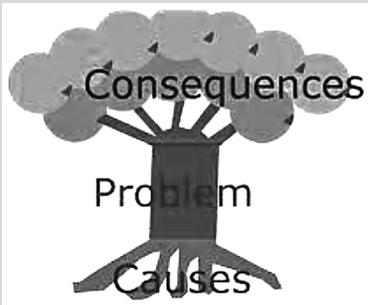
Instruction

Identify the stakeholders and make a force field analysis. Discuss possible courses of action for the government.

PROBLEM TREE ANALYSIS¹

A problem tree is a tool used to identify the main problems and establish cause and effect relationships between problems. The key purpose of a problem tree analysis is to ensure the identification of “root causes” and address them in project planning including design, rather than focusing only on the symptoms of the problem(s).

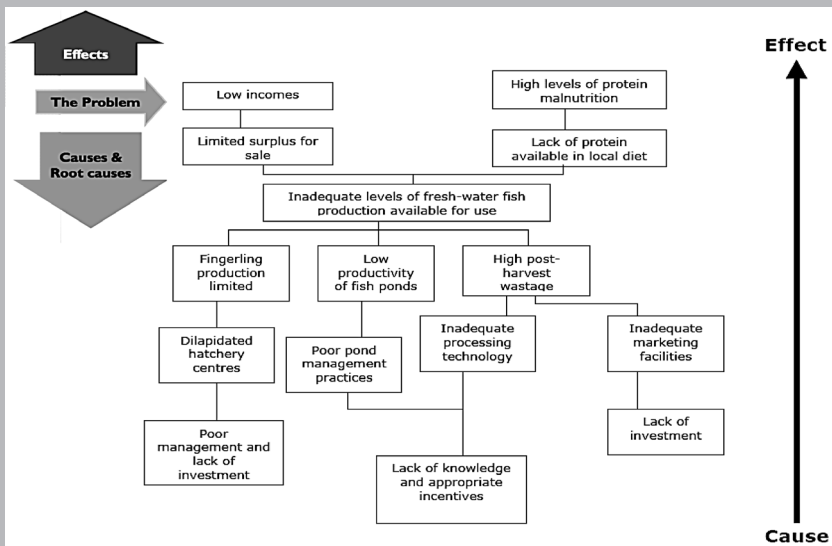
A PROBLEM TREE



A common mistake is thinking that a cause is actually an effect. For example, we say people are poor *because* they have no money. But not having money is not the *cause* of poverty—in fact it is the *effect* of poverty. If you fail to distinguish between cause and effect, your analysis will be flawed.

Problem trees are simplified but fairly accurate representations of reality. In a problem tree, the core problem is in the

A PROBLEM TREE AS APPLIED TO AQUACULTURE



¹ Reference: Almazan, Rainier. PROJECT MANAGEMENT: Logical Framework Approach





middle. In the figure below, the problem tree represents an aquaculture project, whose core issue is inadequate levels of freshwater fish production. What are the root causes of inadequate fish production? This may be because of limited supply of fingerlings, low productivity, and wastage of harvest. But if you dig deeper, you will get at the root causes. Production is limited, for example, because centers for hatchery are dilapidated or broken down. Dig a little deeper, and you will arrive at a root cause, that is, poor management and lack of investment. Exploring why there is low productivity, we reason that this is because of poor pond management practices. If we look deeper into the chain of causation, we will get to the root causes, which are the lack of knowledge and incentives for the workers.

Move up the problem tree, and you will see the effects. For instance, one of the effects of inadequate levels of freshwater fish production is limited surplus.

You also find—if this is the problem—inadequate freshwater fish. You find effects. You have limited surplus, therefore limited incomes. Also nutrition-wise, there's lack of protein, leading to high levels of protein malnutrition.

PREPARATORY STEPS

- **Define scope of investigation.** What are we really trying to solve? Poverty? Injustice? Lack of income? Poor health? The more specific you are—the more specific your actions.
- **Inform yourself further.** Once you have identified a problem, try to learn more about the situation. Why are people landless? Why do people not earn enough income from their land? Is it because they're not using the land? Or perhaps someone else is using it? Maybe someone controls the input, or maybe it's poorly managed. You can find the root causes. The better you identify the problem, the better you identify the causes.
- **Identify relevant stakeholder groups.** Problem tree analysis is best done with a group of 25 participants at the most. You can't just do it alone, sitting in front of a computer. This is part of a stakeholder analysis—the process is as important as the product! **If time permits, use this exercise with**

PREPARATORY STEPS (con't.)

different stakeholders to test differences in perspectives and priorities. If you ask a group of women about a problem and you ask a group of men about the same problem—there's a good chance that when they look at the causes, their perspectives will be similar but still different.

➤ Conduct analysis

GROUP EXERCISE

Identified issue

Many NGO researches are just gathering dust, and are not used.

Instruction

Transform the Problem Tree into an Objective Tree!

OBJECTIVE TREE ANALYSIS

In workshops, people tend to be overloaded with problems—what do we do? Once you have identified your problem tree, how do you transform it into a planning or objective tree?

An objective tree analysis is an analytical tool to formulate appropriate objectives at all levels and define their relationships in terms of means and ends. If the problem tree shows the **cause and effect** relationship between problems, the objective tree shows the **means–end** relationship between objectives.

Before you can make your objective tree analysis, you need to have already made your prerequisite: problem tree and stakeholder analysis.

Initial steps

- In its simplest form, the objective tree uses exactly the same structure as the problem tree, but with **problem statements (negatives) turned into objective statements (positives).**

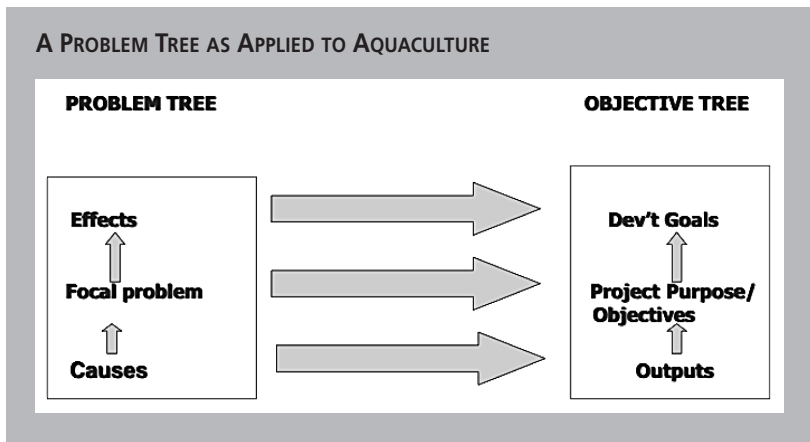




- The results of the stakeholder analysis may help **provide better focus on priority problems** and not all of the original problem statements may therefore need to be translated into objective statements.

What is the relationship between the problem tree and the objective tree?

Effects become development goals. The problem is translated as the project purpose. Causes are transformed into outputs. See the figure below.



Doing an objective tree analysis

Using the example in aquaculture that we used earlier for our problem tree analysis, we will do an objective tree analysis. We will transform the problem of inadequate levels of fresh water fish into an objective.

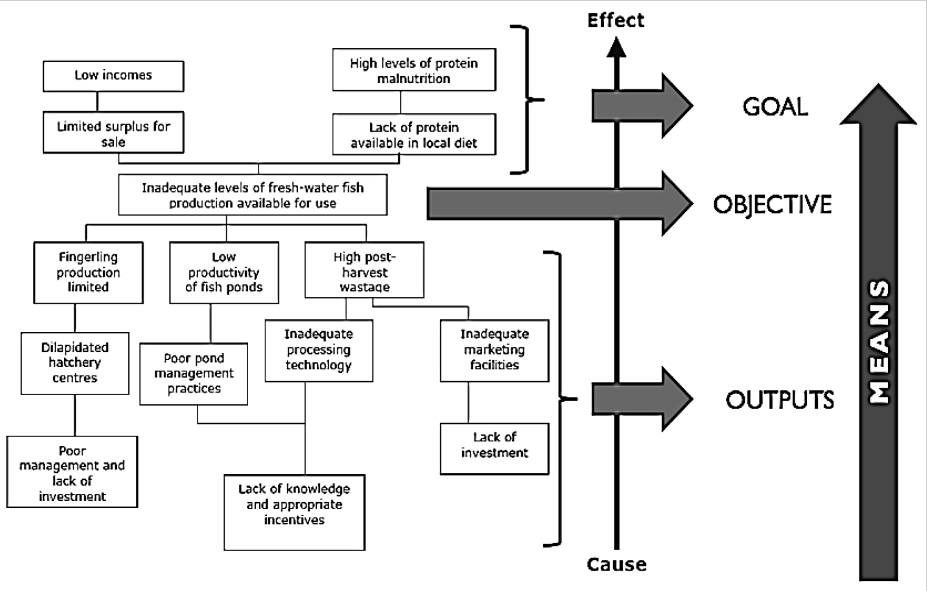
If there are adequate levels of freshwater fish production, what is the objective? You can start with “adequate levels of freshwater fish production” but you will really have to be more specific. What exactly is the adequate level? For example, 50 kg of freshwater fish production available per day is reasonably adequate. That then can become your objective. You simply do not copy the problem and reword it. Instead, you put measurable targets in your objective statement.

All of the effects of this problem become your goals. Why do you want to produce 50 kg per day—to improve incomes by 100 baht per family, for instance. High levels of malnutrition were an effect of this problem—your goal will then be to reduce infant and child malnutrition by x% or increase the weight of children by 30% so it becomes measurable.

Outputs therefore are meant to reach the objective. This is where you look at proper management. What are your specific outputs? If the workers are training in proper management—what kind of skills need to be developed? What are the specific incentives? Increase the pay by x% or improve the working conditions. Hopefully, a correct analysis in determining your outputs will lead to your objective that will contribute to your goals.

Remember you have to be clear in your analysis, because when you plan, it must address the way you analyze. Sometimes we confuse objectives with outputs, with means (with funding, personnel, investments).

TRANSLATING A PROBLEM TREE INTO AN OBJECTIVE TREE



Source: AusAID





Questions to ask while doing an objective tree analysis

- Are the statements clear and unambiguous?
- Are the links between each statement logical and reasonable? (Will the achievement of one help support the attainment of another?)
- Is there a need to add any other positive actions and/or statements? More details may be required.
- Do the risks achieving the objectives and also having sustainable outcomes appear to be manageable?
- Are the positive actions at one level sufficient to lead to the results desired?
- Is the overall structure simple and clear? Simplify if possible or necessary.

Defining Strategic Options

Questions to ask:

- Should all of the identified problems and/or objectives be tackled, or just a selected few?
- What is the combination of interventions that is most likely to bring about the desired results and promote sustainability of benefits?
- What are the likely capital and recurrent cost implications of different possible interventions, and what can be realistically afforded?
- Which strategy will best support gender equality, international labor standards promotion, environment protection?
- Which strategy will most effectively support institutional strengthening objectives?
- How can negative impacts on gender equality, international labor standards or environment be best mitigated?

Common criteria (alternative analysis)

- Benefits to target groups—equity and participation
- Sustainability of benefits
- Compatibility with local culture
- Total cost and recurrent cost implications
- Financial and economic viability
- Technical feasibility
- Contribution to institutional strengthening and management capacity building
- Environmental impact
- Compliance to labor standards
- Gender equity





POWER ANALYSIS

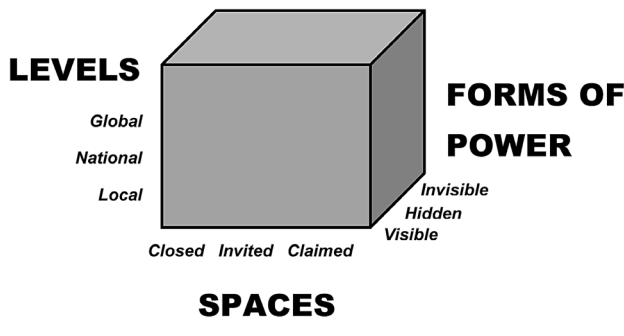
Power analysis is about understanding power relations in order to effect social change. This section introduces readers to the Power Cube, comprising forms, spaces, and levels of power, which many development workers find practical. The information in this section is taken from powercube.net, developed by the Participation, Power, and Social Change team at the Institute of Development Studies, University of Sussex. It is also based on previous work by some activist intellectuals.

WHAT IS POWER ANALYSIS?

Power analysis is about identifying and exploring the multiple power dimensions that affect a given situation, so as to better understand the different factors that interact to reinforce poverty. It is also analysis for change.

FACES OF POWER

THE "POWER CUBE": LAND, SPACES, AND FORMS OF POWER



1. Levels of power

- ➞ household
- ➞ local
- ➞ national
- ➞ global

2. Spaces

Power is acted out in different spaces.

- **Closed:** decisions made by closed groups (e.g. boards, governments, corporations)

Not everyone can just come in. But within those closed spaces there are other closed spaces of power.

- **Invited:** people asked to participate but within set boundaries

You may be invited to a meeting, but you cannot vote. It may be a small victory, yes, but it is not your space.

- **Created:** less powerful actors claim a space where they can set their own agenda

Created space can be exemplified by physical space—such as when people take over the land, or when you can say that a particular space is yours. It can also be a venue for discussion—public hearings, forums on the internet.

3. Forms

Power takes different forms.

- **Visible:** observable decision-making mechanisms

This form of power can refer to the process by which government enacts law, process by which people claim spaces.

- **Hidden:** shaping or influencing the political agenda behind the scenes

The hidden “power of resistance” manifests in various ways. For instance, indigenous peoples have hidden power, because they are able to maintain their way of life despite external pressures. People also exert their power through resistance in ways that may appear to be against the law. Squatting is an everyday form of resistance. Vending on the sidewalk may be illegal but poor people claim that space through their hidden power.

- **Invisible:** norms and beliefs, socialization, ideology

Some invisible forms of power come from within, can be positive or negative, can be religious, etc.





KEY QUESTIONS TO ASK WHILE DOING A POWER ANALYSIS¹

➤ **WHO? Actors, Organizations, Institutions**

Whose voice is trying to be heard? Who is directly helping these voices to be heard? With indirect support from whom? To be heard by whom?

➤ **WHERE? Context, Levels, Spaces**

In what context? At what levels are voices trying to be heard? In what kinds of “spaces” are voices trying to be heard? (e.g. formal/closed, invited, created/claimed from below)

➤ **WHAT? Sectors, Issues, Power**

Which aspects of poverty and marginalization are being addressed? What change are groups and partners trying to affect? Which kinds of power relations are relevant to the right to be heard? (e.g. visible, hidden, invisible/internalized). What are the gender dimensions of these power relations?

➤ **HOW? Strategies, Methods, Models**

What strategic approaches are used to respond to issues? What is the logic behind the choice of partners, allies and actors? What are the models of change and understandings of power relations?

FOUR EXPRESSIONS OF POWER²

There are four expressions of power:

1. Power over: dominance

2. Power with: collaboration

3. Power to: constructive

4. Power within: inner power

¹ Taken from Oxfam’s Quick Guide to Power Analysis, which is available on the PowerCute website. Retrieved from: http://www.powercube.net/wp-content/uploads/2009/11/quick_guide_to_power_analysis_external_final.pdf

² The section on expressions of power is taken from Lisa VeneKlasen and Valeries Miller’s A New Weave of Power (2002, p.55), as cited in [powercube.net](http://www.powercube.net)



When a landlord treats his tenants as if they were puppets, and does not hear their voices, he exerts his power over them.

1. Power over

Typical examples of this expression of power include dominance, repression, force, and coercion. *Power over* involves taking power from someone else, and then using it to dominate and prevent others from gaining it. In politics, those who control resources and decision-making have power over those without.

People tend to repeat the *power over* pattern in their personal relationships, communities and institutions. When marginalized or powerless groups gain power in leadership positions, they may sometimes “imitate the oppressor” and dominate over the others.

We tend to look at power only in its negative form—that is, *power over* or *dominance*. Yet other positive forms of power exist—*power with*, *power to*, and *power within*.

2. Power with

Power with is about finding common ground among different interests and building collective strength. Based on mutual support, solidarity and collaboration, *power with* multiplies individual talents and knowledge.

They say if people march or move together—*power with*—is enough. No. We have to reach the *power to* and the *power within*.



The Philippine community spirit of bayanihan—of helping each other—is an example of power with.

3. Power to

Power to refers to the unique potential of every person to shape his or her life and the world.

4. Power within

Having *power within* means having a sense of self-worth and self-knowledge. *Power within* is the capacity to imagine and hope.





We have lots of power but may not know it! We have the power to reach our dreams and cast our nets wide (not just to catch fish!). We also have the power within to know what we can do and hope for. In fact, many grassroots efforts use individual storytelling and reflection to help people affirm personal worth and recognize their power to and power with.

Reflections from Ekta Parishad's Jansatyagraha 2012 (non-violent foot march)

Poverty is power. Only the poor can walk barefoot on the road. They can sleep with one meal a day. They can turn their weakness around—into power.

Sources

Illustrations are borrowed with permission from the Center for Agrarian Reform and Rural Development (CARRD). 1993. *Sulong Magsasaka! Isang Manual para sa mga Organisador*. Quezon City: CARRD.

Powercube.net is the go-to site for information and tools on power analysis. The following are available on Powercube:

- ➔ Oxfam. Quick Guide to Power Analysis. Retrieved from: http://www.powercube.net/wp-content/uploads/2009/11/quick_guide_to_power_analysis_external_final.pdf
- ➔ VeneKlasen, L. & Miller, V. (2002) *New Weave of Power*, as cited in powercube.net. Retrieved from: <http://www.powercube.net/other-forms-of-power/expressions-of-power/>

Learn more

Pantazidou, M. (2012). What next for power analysis: A review of recent experiences with the powercube and related frameworks. IDS Working Paper, Volume 2012, No 400. Retrieved from: <http://www.ids.ac.uk/files/dmfile/Wp400.pdf>