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Project Management and Participation in Ecuadorean Development

Oliver James Carrick

Submitted to Swansea University in fulfilment of the
requirements for the Degree of Doctor of Philosophy

Swansea University

2012

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Summary

The current Ecuadorean development context displays a prevalence of project and programme management activity, including the interventions of Non-Government Organisations, and local government development activities connected to Ecuador's *Plan Nacional para el Buen Vivir* (National Plan for 'Good Living').

This work has sought to learn from current practice by investigating the project management processes used to implement Ecuadorean development projects, and the nature of the participation of project beneficiaries and local people during the phases of the project life cycle. The original research activities performed for this thesis include the collection of quantitative and qualitative data concerning NGO-led projects, and a case study approach to the investigation of local Ecuadorean development organisations performing project activities.

The results of these investigatory processes show that deficiencies exist in the application of project management in the Ecuadorean context. However, the writer argues that these limitations are connected to the nature of discourse concerning the Project Management Approach in the informing literature.

Moreover, triangulated data from a number of sources shows that Ecuadorean participatory activities and processes are characterised by a narrow focus on systems of participatory democracy and representation. This dominance of participation in the democracy of local government and organisations is conjoined to a stymieing of people's participation 'as an end' of development interventions.

On the basis of this evidence the author concludes that the skills related to the management of the entire project life cycle are a necessary requirement for local autonomous management of development projects. However, the original research data evidences confusion concerning even the most fundamental aspects of the project management. Accordingly, a clearer positioning of the Project Management Approach in global development discourse would assist the implementation of projects in contexts such as the one found in Ecuador.

Declaration and Statements

DECLARATION

This work has not previously been accepted in substance for any degree and is not being concurrently submitted in candidature for any degree.

Signed (candidate)

Date 28 / 08 / 2013

STATEMENT 1

This thesis is the result of my own investigations, except where otherwise stated. Where correction services have been used, the extent and nature of the correction is clearly marked in a footnote(s).

Other sources are acknowledged by footnotes giving explicit references. A bibliography is appended.

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Date 28 / 08 / 2013

STATEMENT 2

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List of Abbreviations

ACRA	<i>Cooperazione Rurale in Africa e America Latina</i> (Rural Cooperation in Africa and Latin America) (Italy)
ALDES	<i>Alternativas para el Desarrollo Social</i> (Alternatives for Social Development) (Ecuador)
ANGROC	Coalition for Agrarian Reform and Rural Development
AOP	Annual Operative Plan
APROLEQ	<i>Asociación de Productores y Comercializadores de leche del Cantón Quero</i> (Association of Milk Producers and Marketers of Canton Quero)
BOM	Bill of Materials
CADERS	<i>Proyecto de Competitividad Agropecuaria y Desarrollo Rural Sostenible</i> (Project of Agricultural and Fishing industry Competitiveness and Sustainable Rural Development) (Ecuador)
CDR	Critical Design Review
CEA	<i>Coordinadora Ecuatoriana de Agroecológica</i> (Ecuadorean Coordinator of Agricultural Ecology)
CEDECOOP	<i>Corporación de Estudios y Desarrollo Cooperativo</i> (Corporation of Studies and Cooperative Development) (Ecuador)
CEPDS	<i>Centro de Estudios de Población y Desarrollo Social</i> (Centre for Studies of Population and Social Development) (Ecuador)
CI	Children International
CIDA	Canadian International Development Agency
CIDES	<i>Comisión Interamericana de Desarrollo Social</i> (Inter-American Commission of Social Development) (Ecuador)
CODESARROLLO	<i>Cooperativa de Ahorro y Credito Desarrollo de los Pueblos</i> (Cooperative of Savings and Development Credit of the Peoples) (Ecuador)
CODEZEQ	<i>Corporación para el Desarrollo de la Zona Equinoccial</i> (Corporation for Development in the Equatorial Zone)
CONAIE	<i>Confederación de Nacionalidades Indígenas de Ecuador</i> (Confederation of Indigenous Nationalities of Ecuador)
COOTAD	<i>Código Orgánico de Organización Territorial, Autonomía y Descentralización</i> (The Organic Code of Territorial Organisation, Autonomy and Decentralisation) (Ecuador)
COPFP	<i>Código Orgánico de Planificación y Finanzas Públicas</i> (The Organic Code of Planning and Public Finances) (Ecuador)
CPA	Critical Path Analysis
CPC	<i>Corporación Participación Ciudadana</i> (Citizen's Participatory Corporation) (Ecuador)
CSO	Civil Society Organisation
CSP	Civil Society Participation
DFID	Department for International Development (UK)
ECUARUNARI	<i>Confederación Kichwa de Ecuador</i> (Confederation Kichwa of Ecuador)

FEPTCE	<i>Federación Plurinacional de Turismo Comunitario del Ecuador</i> (Plurinational Federation of Community Tourism of Ecuador)
FIAAM	<i>Fundación de Investigaciones Andino Amazónicas</i> (Foundation of Andean Amazonian Investigation) (Ecuador)
FLACSO	<i>Facultad Latinoamericana de Ciencias Sociales</i> (Latin American Faculty of Social Sciences)
GAD	<i>Gobierno Autónomo Descentralizado</i> (Autonomous Decentralised Government)
GATS	General Agreement on Trade in Services
GDF	Grassroots Development Framework
GTZ	<i>Gesellschaft für Technische Zusammenarbeit</i> (German Technical Cooperation)
IEE	<i>Instituto de Estudios Ecuatorianos</i> (Institute of Ecuadorean Studies)
IFAD	International Fund for Agricultural Development
IIRR	International Institute for Rural Reconstruction
INEC	<i>Instituto Nacional de Estadísticas y Censos</i> (National Institute of Statistics and Censuses) (Ecuador)
INEDES	<i>Instituto Ecuatoriano para el Desarrollo Social</i> (Ecuadorean Institute for Social Development)
INFA	<i>Instituto de la Niñez y la Familia</i> (Institute of Childhood and the Family) (Ecuador)
INGO	International Non-Government Organisation
KLAI	Kayatuan Ladies' Association Incorporated
LFA	Logical Framework Approach
MAGAP	<i>Ministerio de Agricultura, Ganadería, Acuacultura y Pesca</i> (Ministry of Agriculture, Livestock raising, Aquaculture and Fishing) (Ecuador)
MCDS	<i>Ministerio de Coordinación de Desarrollo Social</i> (Ministry for the Coordination of Social Development) (Ecuador)
MEIS	<i>Ministerio de Inclusión Económica y Social</i> (Ministry of Economic and Social Inclusion) (Ecuador)
MIC	<i>Movimiento Indígena de Cotopaxi</i> (Indigenous Movement of Cotopaxi)
M&E	Monitoring and Evaluation
NGO	Non-Government Organisation
OCDINAPAC	<i>Organización Comunitaria para el Desarrollo Integral de la Niñez y Adolescencia de Pacto</i> (Community Organisation of Pacto for the Integral Development of Childhood and Adolescence)
OGC	Office of Government Commerce (UK)
OMICSE	<i>Organización de Mujeres Indígenas y Campesinas "Sembrando Esperanza"</i> (Organisation of Indigenous and Country Women "Sowing Hope")
OPG	<i>Organización de Primer Grado</i> (First Grade Organisation)
OPIP	<i>Organización de Pueblos Indígenas de Pastaza</i> (Organisation of Indigenous Peoples of Pastaza) (Ecuador)
OSG	<i>Organización de Segundo Grado</i> (Second Grade Organisation)
OTG	<i>Organización de Tercer Grado</i> (Third Grade Organisation)

PAC	<i>Planeamiento Andino Comunitario</i> (Andean Community Planning) (Ecuador)
PB	Participatory Budgeting
PCM	Project Cycle Management
PCP	<i>Planificación Comunitaria Participativa</i> (Participatory Community Planning) (Ecuador)
PDR	Project Definition Report
PERT	Program Evaluation and Review Technique
PID	Project Initiation Document
PLA	Participatory Learning and Action
PM	Project Management
PMEIS	Project Monitoring and Evaluation Information System
PM&E	Participatory Monitoring and Evaluation
PNBV	<i>Plan Nacional para el Buen Vivir</i> (National Plan for 'Good Living') (Ecuador)
PND	<i>Plan Nacional de Desarrollo</i> (National Development Plan) (Ecuador)
PMA	Project Management Approach
PMI	Project Management Institute
PPCH	<i>Presupuesto Participativo de Chimborazo</i> (Participatory Budget of Chimborazo)
PRA	Participatory Rural Appraisal
PRODEPINE	Indigenous and Afro-Ecuadorean Peoples' Development (World Bank project)
PRODES	<i>Fundación Progreso y Desarrollo</i> (Foundation Progress and Development) (Ecuador)
PROLOCAL	Poverty Reduction and Local Rural Development (World Bank project)
RRA	Rapid Rural Appraisal
SENPLADES	<i>Secretaria Nacional de Planificación y Desarrollo</i> (National Secretary of Planning and Development) (Ecuador)
SENRES	<i>Secretario Nacional Técnico de Desarrollo de Recursos Humanos y Remuneraciones del Sector Público</i> (The National Technical Secretary of the Development of Human Resources and Remunerations of the Public Sector) (Ecuador)
SERPAJ	<i>Servicio Paz y Justicia</i> (Peace and Justice Service) (Ecuador)
SGP	Small Grants Program (UNDP)
SIISE	<i>Sistema Integrado de Indicadores Sociales de Ecuador</i> (Integrated System of Social Indicators of Ecuador)
SIMONA	<i>Sistema de Monitoreo y Acompañamiento</i> (System of Monitoring and Accompaniment)
SISDEL	<i>Sistema de Desarrollo Local</i> (System of Local Development) (Ecuador)
SNV	Netherlands Development Organisation
SRP	<i>Sondeo Rural Participativo</i> (Participatory Rural Enquiry) (Ecuador)
SWOT	Strengths Weaknesses Opportunities Threats (analysis)
UNDP	United Nations Development Program

UNOCANC

Unión de Organizaciones rurales en el Norte de Cotopaxi (Union of rural Organisations in the North of Cotopaxi)

USAID

United States Agency for International Development

VVOB

Flemish Association for Cooperation to Development

WBS

Work Breakdown Schedule

Chapter 1

Introduction

Recent development discourse has rejected the management of development initiatives through the Project Management Approach (PMA). While there is no single accepted definition of what constitutes a project, the following definition provided by the Project Management Institute (PMI, 2008: 5) is largely representative of the informing literature:

A project is a temporary endeavour undertaken to create a unique product, service, or result. The temporary nature of projects indicates a definite beginning and end. The end is reached when the project's objectives have been achieved or when the project is terminated because its objectives will not or cannot be met, or when the need for the project no longer exists. Temporary does not necessarily mean short in duration.

A project differs from ongoing work as the latter is a repetitive process executed according to established organisational procedures (PMI, 2008: 5).¹ By contrast, the unique nature of projects means that uncertainties exist during their planning and execution. As such, the PMA can be defined as:

[T]he application of knowledge, skills, tools, and techniques to project activities to meet the project requirements (PMI, 2008: 6).²

Thus, the PMA attempts to manage the uncertainty inherent in projects whilst adhering to budgetary and time restraints (Maylor, 2003: 4). By comparison, process/operational management constitutes the procedures required for the management of repetitive processes (PMI, 2008: 12).

¹ The management of ongoing efforts is here termed 'Process Management', but can also be termed as 'Operational Management'. Process/Operations management is defined by the PMI (2008: 12) as:

[A]n organizational function performing the ongoing execution of activities that produce the same product or provide a repetitive service.

² The PMI (2008: 6) groups the tools and techniques of the PMA into the five process groups of:

- Initiating
- Planning
- Executing
- Monitoring and Controlling
- Closing

Despite the PMI's assertion that temporary does not necessarily mean short in duration, critique of the PMA centres around an alleged short-term focus, which attempts to improve development setting conditions through 'deliberate' or incremental attempts at progress (Thomas, 2000: 42). In contrast, process management is characterised as the long-term improvement of development conditions through continuous (repetitive) work.³ Process management has been allied with the Millennium Development Goals, as well as emerging discourse on rights-based approaches,⁴ leading to articles discussing the demise of the PMA.⁵ Despite this shift in development discourse, the PMA retains a prominent position in development work, both as a required element for international donor funding, and as a strategy of choice for many national and local Non-Government Organisations (NGOs).

The role of participation and participatory methods in development can be paralleled with the discourse concerning the PMA. Widespread use of participatory methods has been followed by an extensive critique of the philosophy, practice and techniques involved in participatory activities (Waddington & Mohan, 2004: 220). In response to this critique, which culminated in participation being labelled as tyrannical (Cooke & Kothari, eds. 2001), the focus of participation has been scaled-up from local participation in 'micro' level projects to 'meso' and 'macro' level activities such as Participatory Budgeting (PB) and policy making (Hickey & Mohan, eds. 2004: 4).

Therefore, just as the PMA has largely been rejected by the informing critique in favour of long-term process work (Franks et al, 2004), the subject of peoples' participation in local development projects has also been left aside in favour of the scaling-up of participatory activities.⁶ However, despite the fact that debate concerning the PMA and local participatory development is somewhat dated, events in Ecuadorean development over the

³ See: Thomas (2000: 42).

⁴ For example the UK's Department for International Development (DFID) has moved from projects to sector and budget support (Heath, 2006: 16, Lightfoot, 2008: 6-7). In support of rights-based approaches, Ball (2005: 289) argues that the 'techno-managerial approach' is flawed as it views poverty as a problem to be solved (the PMA is a 'techno-managerial' approach).

⁵ Such as 'Goodbye to Projects?' by Franks et al (2004).

⁶ For example, 'From Tyranny to Transformation' (Hickey & Mohan, eds. 2004) largely focuses on the up-scaling of participatory activities in light of the critique of participatory project planning methods such as Participatory Rural Appraisal (PRA).

last ten years have caused the present writer to revisit both of these topics. Since 2007, under the banner of President Rafael Correa's so-called 'Citizens' Revolution', emerging laws and guidelines clearly link the decentralisation of government funds and functions with both local participation and the PMA.⁷

Therefore, the use of the PMA alongside programme management is now mandatory for provincial, cantonal and parish governments in Ecuador. Programme management is inextricably linked to the PMA, as a programme is defined as:

[A] group of related projects managed in a coordinated way to obtain benefits and control not available from managing them individually. A project may or may not be part of a program but a program will always have projects (PMI, 2008: 9).

Since citizen participation in the execution of the projects of local government development programmes is advocated by the Ecuadorean government's *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living'), this work will re-examine local participatory project management.⁸ The review of informing literature, provided in Chapter Two, will demonstrate a dearth of information pertaining to participatory project execution.⁹ Similarly, a lack of 'knowledge, skills, tools, and techniques' (PMI, 2008: 6) for the application of project execution/implementation processes will be highlighted by the data gathered during the original research for this thesis.

Furthermore, the original research of this work will show a prevalence of production and tourism micro-projects in local Ecuadorean development. This community and local level activity fits the World Bank's philosophy that rural diversification combined with the

⁷ For example, the revised Ecuadorean constitution of 2008 (*Asamblea Constituyente*, Constitutional Assembly, Article 280) states that the performance of projects and programmes in accordance with the National Development Plan will be obligatory for organisations working in the public sector. Additionally, the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living', SENPLADES, 2009: 137-315) identifies the role of citizens as 'social protagonists' in activities such as Participatory Budgeting (PB) and project execution as a key strategy in the implementation of the PNBV.

⁸ Participatory project management is here defined as the participation of project beneficiaries and/or local people in the management of the processes of the PMA. Those processes, as stipulated by the PMI (2008: 6), are 'Initiating', 'Planning', 'Executing', 'Monitoring and Controlling' and 'Closing'.

⁹ Participatory project execution/implementation is here defined as the participation of project beneficiaries and/or local people in the management of the process of 'Executing' the development project.

entrepreneurship of small scale rural producers can take advantage of the Ecuador's social, cultural, geographic and natural wealth and diversity to achieve economic growth (Fretes-Cibils et al, 2003: 371).

Various authors have identified the prevalence of production projects in Ecuador and the Andean region.¹⁰ According to Manosalvas (2009: 14), such projects are characterised by the provision of technical assistance and capacity building to local communities, and the goal of locally owned and managed development. Similarly, the World Bank argues that sustainable local development in Ecuador will be achieved by increasing participatory planning, strengthening the capacities of local institutions, and addressing weaknesses in local infrastructures (Fretes-Cibils et al, 2003: 374).¹¹

Given the prevalence of production projects and the perceived need to achieve sustainability through the creation of locally owned development, described above, the present writer argues that the issue of beneficiary/local participation in the processes of the PMA becomes important. Since many locally owned development initiatives will be unique and temporary, they can, by definition, be considered to be projects.¹² The review of informing literature will show that participation in the PMA commonly constitutes contributions made by beneficiaries/local people to the activities of diagnostics and evaluation.¹³ However, this work will argue that such participation is insufficient for the achievement of self-management of development projects by beneficiaries/local people.

As such, the present writer will argue that despite the need to balance the PMA with process management work, the role of the PMA in development should be revisited with

¹⁰ See: Manosalvas (2009: 13), Ramírez (ed. 2002: 103), and Eversole (2006: 945).

¹¹ While 'sustainable development' has many different meanings, in this context it means the ability of local people/organisations to independently manage their own development activities without continuing external assistance.

¹² See the definition of a project provided on page 1.

¹³ For example, Chapter Two's discussion of Participatory Rural Appraisal (PRA) will demonstrate that the majority of tools in the PRA 'menu' facilitate participatory diagnostics and evaluation. Conversely, PRA has a dearth of tools for the PMA process of 'Executing' (See Appendices 15 and 16).

consideration given to how local and beneficiary participation can be fostered in all phases of the project life cycle.¹⁴

¹⁴ The project life cycle is defined by the PMI (2008: 15) as the sequence of (sometimes overlapping) phases used to manage the project from beginning to end. While project life cycles differ according to industry and the nature and complexity of the project, most projects fit a structure with the phases of 'Starting the project', 'Organising and preparing', 'Carrying out the project work' and 'Closing the project'.

1.1 Context

With a focus on participatory project management, this work will identify the issues affecting the participation of local people and beneficiaries in the South American country of Ecuador. The original research conducted for this thesis is grounded in the hypothesis that augmented beneficiary participation in projects will eventually lead to the self-management of development projects by local people. Thus, having identified gaps in the informing literature relating to participatory project execution, this work will examine the realities facing participatory development and project management in Ecuador.

1.1.1 Informing Literature and Key Concepts

The informing literature contains a rigorous critique of the use of the PMA in international development, ranging from accusations of an ‘imbalance’ between project and process work, to suggestions that projects should have no place at all in development.¹⁵ However, when this latter critique is examined in conjunction with traditional project management literature, it will be argued that despite moves towards process work, millennium goals and rights-based development, the PMA should continue to be used for the management of unique initiatives, bounded by time and budgetary constraints.

An analysis of the Logical Framework Approach (LFA), a tool for development project identification and planning, will discuss the definition of this method by detractors as a blueprint project management tool. This definition stems from the fact that LFA has been used to systematically plan projects by development agencies that are often remote to the development setting. Although some evidence exists of the use of LFA in a more participatory manner, the balance of the informing literature critiques LFA for being imposed upon project beneficiaries by donors, as well as the approach itself for being alien to many local development contexts.¹⁶ A gap in the informing literature will be identified in relation to the PMA process of executing development projects; while LFA provides

¹⁵ For example see the works of Earle, (2002: 4), Wallace et al (1997: 32) and Wield (2003: 184).

¹⁶ The literary review will discuss the critique provided by Wallace et al (1997: 34), Earle (2002: 4), and Mikkelsen’s (2005: 45) discussion of LFA. Also see Biggs & Smith’s (2003: 1745) and Aune’s (2003: 218) discussion of LFA as a participatory planning model.

mechanisms for the planning and evaluation of projects, it remains silent concerning project execution. Consequently, the author will argue that LFA assumes that the execution of development projects will be performed by project management professionals using traditional project management tools such as the Gantt chart.

Participatory methodologies such as PRA have been viewed as the ‘antidote to *LFA and blueprint methods*’ as they seek to include local people and project beneficiaries in the planning and evaluation of development projects (Wallace et al, 1997: 28). Despite their prevalent use in recent years, a significant and wide-ranging critique is also evident concerning participatory methods, culminating with the tyranny critique of Cooke & Kothari (eds. 2001). The literature review will analyse the gap in literature concerning tools and processes for participatory project execution.

A key aspect in the analysis of participatory methods is Robert Chambers’ insistence that PRA techniques should avoid being manualised and standardised (Chambers, 1994A: 959). The present writer will argue that, although based on the sound theory that participatory methods should be implemented on a bespoke basis according to the individual development context, this factor inhibits the further participation of beneficiaries and local communities in the phase of project execution.

Analysis of LFA and PRA will be juxtaposed with traditional project management discourse, highlighting that the project process of executing is seen by project experts as the most crucial process in the PMA (Maylor, 2003: 271). On this basis, it will be argued that current methods for development project management do not provide local communities and beneficiaries [non-experts in project management] with the necessary tools to achieve an augmented participation leading to self-management during project execution.

1.1.2 Original Research

Following the discussion and examination of the informing discourse, the original research data pertaining to this thesis will be presented and analysed. This will evidence a series of findings related to participation in the management of the processes of the PMA by

Ecuadorean project beneficiaries/local people. The sum of these findings will be to indicate serious deficiencies in the application of the PMA in Ecuadorean development. Placed in the context of Ecuador's current national development plan managed at local level through the participatory execution of programmes and projects, these findings hold considerable significance for Ecuadorean development.

Furthermore, the data sets pertaining to participation in development will show a prevalence of democratic participation in Ecuadorean development. In this context, democratic participation is here defined as the ability of beneficiaries/citizens to have 'voice and vote' in local government and grassroots development organisations. Findings will show that, in this scenario, elected officials, who may be paid or unpaid, assume responsibilities for organising and managing development activities. The dominance of democratic participation will be juxtaposed with the relative lack of 'participation as an end' development activities.¹⁷

On the basis of the evidence presented in later chapters, the present writer will argue that democratic participation fails to foster participatory goals such as empowerment, and falls short of participatory ideals such as 'putting the last first'.¹⁸ Finally, it will be argued that the homogenous form of democratic participation in Ecuadorean development, described above, does not provide participants with the skills and abilities to manage the processes of the PMA. Thus, the participation objectives of Ecuador's new national development plan cannot be achieved solely through democratic participation.

Chapter Three will review the secondary data pertaining to Ecuadorean participatory development and project management, and will highlight a number of pertinent issues. This analysis will show that decentralisation and the role played by NGOs in local development are key themes in the Ecuadorean development context. Evidence will show that Government policies have encouraged decentralisation activities in recent years, and that

¹⁷ Participation 'as an end' occurs when the final result of development activities is an increase in the skills, knowledge or consciousness of participants (White, 1996: 8-9).

¹⁸ As described by Chambers (1997: 106), PRA seeks to empower the 'lowers' in the development setting. The 'uppers' are those people who hold a higher political, economic or power status in the development setting, whereas 'lowers' are the most vulnerable people.

NGOs are moving away from project execution and towards the facilitation and support of local and regional development work. In terms of the PMA, the secondary data will demonstrate that participatory project management methodologies have been standardised through the production of manuals. This is the first of a number of discrepancies between discourse and practice emerging from the data presented in Chapter Three.

The second data set presented in Chapter Three, the results of a survey of NGOs and development organisations working in Ecuador, will highlight the prevalence of project activity in comparison with process management in Ecuadorean development. The results of this survey will also show that the combination of LFA with participatory planning methods for project management is a widespread practice in Ecuador. On the basis of this data it will be argued that prevailing development discourse is largely estranged from the reality of the Ecuadorean context.

This argument will be strengthened by the results of a series of semi-structured interviews with NGO staff and managers, presented in Chapter Four. The interview data will consolidate the results of the email survey by evidencing similar trends in Ecuadorean NGO-led development. For example, the use of programme management for the organisation of development activities in Ecuador stands in contrast to the informing literature's critique of the PMA.

The interview data will demonstrate that, although a wide variety of participatory forms are practised in NGO-led projects the prominent types of participation in Ecuadorean development are participation in consultation and in decision-making.¹⁹ This will be contrasted with trends evident in the informing literature towards types of participation that are empowering and transformative.²⁰

Further examination of NGO practice will highlight a tendency to create projects for the management of process and ongoing activities. On the basis of this data the present writer

¹⁹ As such, participation in Ecuadorean development often means participatory consultation for ideas generation, consensus-building and stakeholder agreement.

²⁰ As identified by Oakley's early work (1991: 8-9).

will argue that a fundamental lack of understanding of the PMA and process management exists in Ecuadorean NGO-led development.

This argument will be bolstered by an analysis of the development and participatory project management systems specific to the Ecuadorean context. The evidence presented will lead this writer to conclude that the lack of project execution tools and processes evident in global approaches such as LFA and participatory methods, is also present in Ecuadorean project management methods. On the basis of this evidence it will be argued that these methods provide an insufficient basis for participatory and autonomous management of PMA processes by beneficiaries/local people.

Chapter Five's analysis of Participatory Budgeting in the province of Chimborazo will show how PB is being combined with the programme approach in order to manage the development activities of an Ecuadorean provincial government. This case study will however evidence a lack of knowledge and expertise in the PMA and programme management in the Chimborazo provincial government's programme implementation team. Despite this, an analysis of current president Rafael Correa's national development plan will show that a programme management approach, similar to the model provided by Chimborazo, is to be implemented in all provinces, cantons and parishes in Ecuador. In this context, the lessons learned in Chimborazo assume a national relevance.

The two case studies analysed in Chapter Six will examine participatory processes in local grassroots organisations *Organización Comunitaria para el Desarrollo Integral de lo Ninez y Adolescencia de Pacto* (OCDINPAC, Community Organisation of Pacto for the Integral Development of Childhood and Adolescence) and *Organización de Mujeres Indígenas y Campesinas "Sembrando Esperanza"* (OMICSE, Organisation of Indigenous and Country Women "Sowing Hope"). The common factors to unite these two case studies are a lack of experience in managing development projects on an autonomous basis, and a dependence on funding and facilitation by national and international NGOs. Also, evidence from both case study locations will show that the use of elected committees to steer development work is used in conjunction with the form of democratic participation through elected representatives discussed earlier. However, the case study evidence alongside further data

pertaining to participation in Ecuadorean local development will show that levels of participation in local development are low. Furthermore, the nature of democratic participation will be critiqued on the basis of findings relating to the case studies in Chapter Six.

The themes discussed in relation to the case studies in Chapters Five and Six will be further evident in Chapter Seven's analysis of economic and tourism projects driven by local organisations *Corporación para el Desarrollo de la Zona Equinoccial* (CODEZEQ, Corporation for Development in the Equatorial Zone) and *Asociación de Productores y Comercializadores de leche del Cantón Quero* (APROLEQ, Association of Milk Producers and Marketers of Canton Quero). The APROLEQ case study will show that this organisation has effectively implemented and managed project activities; conversely, evidence will show that CODEZEQ's tourism programme has suffered as a consequence of ineffective participatory project management coupled with a form of elite capture.²¹ On the basis of the evidence provided in Chapter Seven, the present writer will argue that economic development projects are most effectively managed by local people when they are not complicated by the influence of social development organisations.

Chapter Eight will provide a final discussion of the issues emerging from the original research of this thesis, before concluding that Ecuadorean NGO and participatory project management are compromised by ineffective processes for project management and a failure to understand the nuances of project work. Furthermore, it will be argued that such failings can be directly linked to the lack of guidance provided on participatory project management in the informing literature. In relation to participation in programme and project management, the present writer will conclude that in order to achieve the autonomous self-management of the PMA by beneficiaries/local people, it is necessary to promote participation 'as an end' rather than rely on the form of democratic participation so common in the current Ecuadorean development context.

²¹ Elite capture, as defined by Platteau (2004: 225), occurs when individuals or groups use existing power structures or other inequalities such as land ownership to influence the direction of local collective action.

1.2 Statement of the Problem

An analysis of the informing literature has highlighted the lack of attention paid to the subject of participatory project execution/implementation in development discourse. Substantial bodies of literature address the activities of participatory diagnostics and planning, which correspond to the PMA processes of 'initiating' and 'planning'. Additionally, there is significant attention given to Participatory Monitoring and Evaluation (PM&E), which relates to the PMA processes of 'monitoring and controlling' and 'closing'. However, there is little existing literature addressing the PMA process of 'executing'.²²

A lack of attention to project execution is also evident in the literature concerning LFA, which parallels participatory methodologies such as PRA as an alternative and philosophically opposite methodology (Wallace et al, 1997:28). Considering that LFA has often been associated with blueprint planning on behalf of donor organisations and International NGOs (INGOs) (Wallace et al, 1997: 28/30), the approach's lack of processes for participatory project execution are consistent with such processes being performed by development practitioners and/or NGO staff. Additionally, the logic inherent in LFA suggests that minimal processes for execution will be needed.²³

Thus, one of the main foci of this thesis, that concerning methods for the management of the PMA process of 'executing', centres on a gap in the informing literature. Accordingly, this thesis will provide an analysis of project execution processes that has hitherto been missing from the informing literature. However, while there is little informing literature concerning participatory methodologies for project execution, there are numerous examples of the participation of beneficiaries/local people in the execution process.²⁴ Furthermore,

²² For example, Appendix 15 displays a list of PRA tools enabling participatory learning at different stages of the development project life cycle, and Appendix 16 matches PRA tools to each stage of the project life cycle. Chapter Two's analysis of these diagrams will show that there are comparatively few PRA tools that can be used during project execution/implementation.

²³ The logic inherent in LFA presupposes that the project will run smoothly in concurrence with the relationships between objectives, assumptions and inputs, and the project will therefore be executed according to plan (Smith, 2000: 440).

²⁴ Participation in project execution can be tracked back as far as the project case studies provided by Oakley et al (1991). For example, the People's Participation Project in Ghana (Bortei-Doku, 1991: 74), and People's

Robert Chambers' (1997: 103) assertion that local people are capable of performing any task associated with participatory projects is uncontested in the reviewed literature.

Advocates of PM&E argue that the participation of beneficiaries/local people in those activities builds local ownership of development interventions by putting local people in charge of the Monitoring and Evaluation (M&E) process (Blackburn, Chambers & Gaventa, 1999: 17). The present writer argues that participatory project execution would reap the same benefits. Furthermore, since the process of 'executing' is intrinsic to the PMA, autonomous self-management of projects by participants cannot be achieved without tools and/or processes for participatory project execution. Similarly, the literature review will show that traditional project management systems, such as the UK government's PRINCE2, are designed to be teachable to non-specialist project managers.²⁵

In the Ecuadorean development context, current decentralisation legislation raises the issue of autonomous project and programme management. Alongside organic laws for decentralisation and participation, the Correa presidency's PNBV legislates for a decentralised scenario in which every local government in the country manages participatory development using programme and project management.²⁶ Thus, the question of how these activities can be managed is currently pertinent in Ecuador.

The chapters discussing this thesis' original research will demonstrate that the answer to this question has so far been to use participatory democracy in local government, as well as in the national indigenous movement and local grassroots organisations. However, this form of participation will be strongly critiqued in the present work, as this writer will argue that participatory principles and goals found in participation 'as an end' activities are often missing from democratic participation.

participation in PIDER (*Programa Integral para el Desarrollo Rural*, Integral Programme for Rural Development), Mexico (Herrera Garibay, 1991: 125).

²⁵Office of Government Commerce (OGC) (2005: 2).

²⁶ This legislation includes the Constitution of Ecuador 2008, the *Plan Nacional para el Buen Vivir* (National Plan for Good Living) 2009-2013, the *Código Orgánico de Organización Territorial, Autonomía y Descentralización* (COOTAD, the Organic Code of Territorial Organisation, Autonomy and Decentralisation) 2011, and the *Ley Orgánica del Consejo de Participación Ciudadana y Control Social* (Organic Law of Counsel on Citizen Participation and Social Control) 2009.

Of key importance to this critique is the informing literature concerning the nature of different forms of participation. For example, Appendix 11 displays Mikkelsen's typology of people's participation in development, which orders participatory activities on a scale starting with the simplest form of 'passive participation' and culminating with 'self-mobilisation'.²⁷ As development interventions move along this participatory scale participants become more active until they are able to work with minimum assistance.

Hickey and Mohan (2004: 6-8) provide a 'selective' history of participation which shows how participatory forms have evolved since the community development of the 1940s and 1950s. According to this history, the most advanced form of participation is that of participatory governance, which has been practiced since the 1990s. However, this work will identify a number of issues with the types of participation facilitated by participatory governance and PB in Ecuador. In particular, despite Hickey and Mohan's (2004: 8) assessment of participatory governance as '*scaling-up participatory methods*', this work will highlight a deficiency of 'as an end' participatory activities.

Despite the above, evidence will show that many Ecuadorean local organisations already possess significant experience in development participation and management. Thus, many of these organisations have the necessary foundation to attempt an augmentation of participation in activities such as project management.

²⁷ See also the typology of participation provided by Hickey and Mohan (2004: 6-8).

1.3 Methodology

The main conceptual framework and research methods employed during the original fieldwork will be presented in this section. For the purposes of analysing project management and participation in the context of Ecuadorean development, the present writer has employed an array of quantitative and qualitative research methods. The research methodology has been devised to address the theoretical gaps in the research literature and to address practical considerations concerning data collection in the Ecuadorean development context.

The research questions pertaining to this thesis require empirical analysis at a number of levels.²⁸ Accordingly, two distinct research threads were designed in order to address the requirements of this study. Additionally, numerous secondary data sources have been analysed throughout the data analysis chapters of this thesis.

²⁸ The following research questions, which will be presented and discussed in full in Chapter Two, will be used to analyse the findings of the original research activities pertaining to this thesis:

Main research question:

- What lessons can be used from current practice [by NGOs, local government etc.] for the benefit of future development using participatory project and programme management?

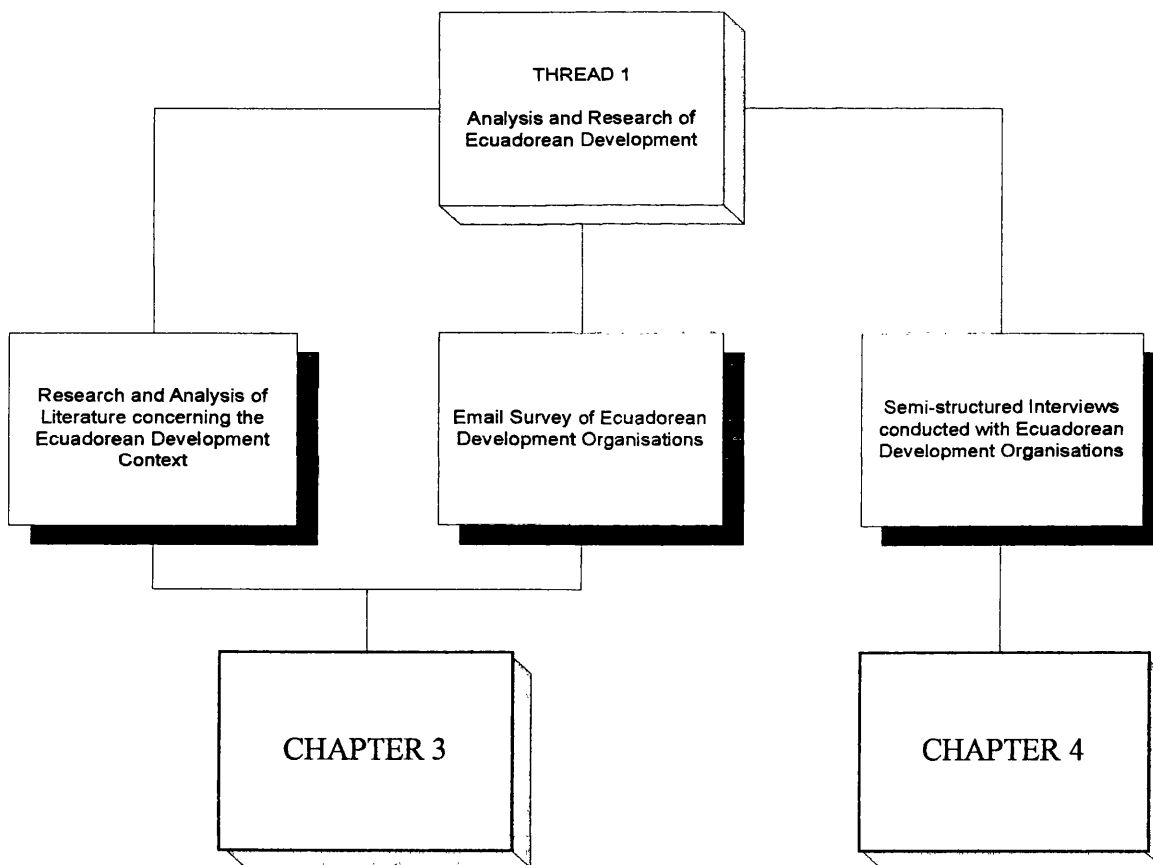
Supplementary research questions:

- How can [Ecuadorean] local people and project beneficiaries achieve an augmented participation in the processes of the PMA [moving towards the self-management of projects and programmes]?
- How do the different levels of Ecuadorean society participate in development initiatives, and what platform does this participation provide for the self-management of [development] projects and programmes by local people and beneficiaries?

1.3.1 First Research Thread: Analysis of Project Management and Participation in NGO-led Development Projects

In order to examine the main research question, the research methodology depicted in Figure 1.1 was designed and performed. This strategy combined the search for and analysis of secondary data sources with a quantitative survey and qualitative semi-structured interviews.

Figure 1.1 – Thread One Methodology and Activities



The purpose of the email survey, performed in April 2008, was to gather quantitative data concerning the current use of logical planning and participatory methods, and the perceived strengths and weaknesses of those approaches, as well as the opinions of NGOs concerning development project management needs in Ecuador.

The email survey option was chosen in preference to both postal surveys and questionnaires conducted in person, as it provided the opportunity to contact NGOs throughout Ecuador, irrespective of region or location. Despite Bryman's (2004: 480-1) argument that embedded surveys are easier to complete and do not suffer from programme compatibility issues, the survey was sent as an attachment due to the fact that survey design was fairly complex. The survey was however attached in both Microsoft Word and Notepad formats.

The choice of sample was also made easier by the email survey option. The Ecuadorean *Ministerio de Coordinación de Desarrollo Social* (MCDS, Ministry for the Coordination of Social Development) retains a database of all the NGOs, foundations and corporations in the country that are registered to perform development activities. For the purposes of this thesis, the author was allowed access to the database of organisations held by MCDS, which was supplied in Microsoft Excel format. It was decided to contact the majority of NGOs on the list that has a registered email address.²⁹

A copy of the email survey is provided in Appendix 1, it should be noted that to avoid confusion the Spanish translation for question five used the Spanish term for LFA (*Marco Logico*), rather than 'Logical Planning Approach'. This survey was used for both email and interview respondents.

Of those emails, 742 were returned to the sending email address as undelivered, meaning that 3,962 emails were successfully delivered. A total of 84 completed survey replies were

²⁹ In total, 5,003 development organisations have registered email addresses with the MCDS. However, the email survey was sent to only 4,704 organisations. As their work was not applicable to this study, it was decided not to send the email survey to the 90 political parties, 125 sports organisations, 70 taxi cooperatives, and 14 production and sales organisations with registered email addresses.

received to the email survey. Therefore 2.12% of successfully delivered surveys were completed and returned to the sending email address.

Table 1.1 – Composition of Development Organisation Survey Replies

Email replies with completed surveys	78
Email replies with only geographical data	6
Total email replies	84
Face to face interviews performed	42
Interviews performed without survey completion	4
Total face to face replies	38
<hr/>	
TOTAL SURVEY REPLIES	122

The email survey was also used as the basis for the majority of the face to face interviews performed as the second activity in the first thread of the research methodology.³⁰ An additional 38 surveys were completed in this manner, resulting in a total of 122 respondents to this study. The data from six email survey respondents was however lost as their files could not be opened; information concerning geographical locations and activities of these NGOs has been included, but the survey response analysis pertains only to the 116 organisations that successfully provided responses. The total breakdown of survey respondents can be seen in Table 1.1.

The email survey was designed to retrieve information relating to the use of project management methods and the nature and type of participation in Ecuadorean NGO-led development projects. The first three questions related to the nature of development work performed by NGOs, the fourth being the final question to answer for those NGOs not performing any project activity. Questions five to ten examined the methods used for project management, the phases of projects in which project management techniques are

³⁰ Of the 42 survey respondents, four chose not to complete a survey, preferring instead to answer the interview questions.

used, and the opinions of respondents regarding the performance of their methods and projects during three project life cycle phases.³¹ Questions eleven and twelve addressed local and beneficiary participation and possible ways to augment this participation, before the final question gave respondents the opportunity to divulge any details they thought pertinent to the execution of development projects in Ecuador.

In order to complement the quantitative survey data with qualitative information pertaining to Ecuadorean NGO-led development, semi-structured interviews were conducted with chosen organisations. Bryman (2004: 321) notes that semi-structured interviews have a standard format but are used flexibly allowing the researcher to deviate from that format. The alternatives to semi-structured interviews include fully structured interviews, discussions with little or no structure, and focus groups.

The present writer wished to explore a number of key issues and themes identified by the email survey, and adjudged that unstructured discussions would not fulfil these purposes. However, since another requirement of the interviews was to gather qualitative information provided by NGOs from their personal experiences and knowledge, it was decided that a fully structured interview process would be too rigid and would not provide enough flexibility to attain the collection of this data.

The development organisation survey was used as a basis for the semi-structured interview, the first part of the interview process requiring the respondent to complete the survey,³² with the responses to the survey questions then providing the basis for the remainder of the interview. This required the present writer to respond intuitively to the answers provided on the survey, as no further questions were planned for the interviews. This strategy is adjudged to have worked effectively due to the fact that respondents were often either more knowledgeable concerning a particular subject, or keener to discuss one topic in preference to others.

³¹ These three phases are: Planning, Monitoring and Evaluation, and Execution and Control.

³² The interview surveys were identical to the email survey.

A total of 204 NGOs were chosen for interview from the MCDS database. Idealistically it would have been preferable to choose a cross section of organisations from the length and breadth of Ecuador, representing rural as well as urban areas and also the geographical diversity of mountain, coastal and Amazonian regions. However, such a cross section could not be achieved during this research study as it was outside of financial limitations. It was therefore decided to focus on conducting interviews with NGOs in and around the Quito area.³³

From the first round of interviews, snowballing contacts were made with further development organisations. In total 42 interviews were performed between May and December 2008, along with five less formal discussions, and one interview respondent by email. A list of organisation names, interviewee names, and interview dates and places is displayed in Appendix 2. Some interviewee names and job titles have not been disclosed in Appendix 2 in accordance with the wishes of the interviewees.

Although the selection of NGOs only from the Quito area may introduce geographical bias into the interview sample, for two reasons it was believed that this bias would be limited. Firstly, many of the national and international NGOs operating at national level have headquarters located in the capital city of Quito. The statistical information provided in Chapter Three³⁴ demonstrates that over a quarter (25.4%, 8635) of all MCDS registered organisations are based in Pichincha province, where the capital city of Quito is situated. Secondly, the present writer adjudged that many of the small rural grassroots organisations and second grade organisations would not have the experience and knowledge of development project management processes and methods necessary to provide erudite responses to the survey questions.

This hypothesis was to some extent proven by the fact that 41.7% of email survey respondents pertained to organisations from the province of Pichincha.³⁵ As such, concentrating on NGOs based in the country's capital did not give a drastically distorted

³³ Quito was the base location of the present writer.

³⁴ See Chapter Three, page 121.

³⁵ See Chapter Three, page 123.

data set from that which would be achieved by an interview process with a sample of organisations from across the country. The final number of interviews conducted was limited to 42, as many organisations had either ceased to exist or were not present at their registered addresses.

It was important to identify the representative within each NGO with the relevant experience necessary to respond to the interview questions. For most organisations this did not prove to be a problem as the managing director or branch manager was usually the person responsible for project management, with a few other staff members being responsible for lower level administrative activities. For larger organisations the present writer requested to speak to the project manager/director. Undoubtedly more junior staff have valuable experiences at community level; however, senior staff often had a wider knowledge of projects and development processes.³⁶

All interviews were recorded using a voice recorder before being transcribed in full and translated from Spanish to English.³⁷ The interview data was then categorised and analysed according to the following strategic themes:

- Ecuadorean development context
- Community development in Ecuador
- Project management in Ecuadorean development
- Participation in Ecuadorean development
- The combined use of logical planning and participatory methods
- Logical planning methods in Ecuadorean development
- Project management methods used in Ecuador
- Development project execution in Ecuador

³⁶ For example, the Yanapuma (interview 14) representative was able to analyse development processes and project management holistically, whereas the NGO's more junior staff have experiences of specific aspects of development. This pattern is reproduced in NGOs such as *Terre des Hommes Italia* (Earth of Men Italy, interview 29) and *Conservación & Desarrollo* (Conservation & Development, interview 35).

³⁷ All but one of the interviews were performed in the Spanish language. Since the Yanapuma (interview 14) representative is English, that interview was conducted in the English language.

- Possibilities for the self-management of projects by beneficiaries and local organisations
- Desired changes to improve Ecuadorean development

These categories mostly follow the structure of the survey used as the basis for the interviews, the exception being the discussion of the combination of LFA and participatory approaches, which arose from the prominence of this subject during the survey responses. The methodology for the examination of interview data focused on the following areas:

- Divergences from the literary discourse
- Conflicting and contrasting views of the pertinent issues
- Consensus regarding the pertinent issues
- Development insights not encountered in the literary sources

1.3.2 Statistical Data and Secondary Sources

The data provided by the Ministry for the Coordination of Social Development has been used to evaluate the spread of Ecuadorean NGOs by sector and geographical region. Thus, the statistical analysis will highlight the regional disparities evident from this data set. This information has provided additional quantitative insights into the trends of NGO work in Ecuador. The statistical analysis is presented in Chapter Three alongside the email survey data analysis.³⁸

Secondary literature sources pertaining to the Ecuadorean development context, the role of NGOs in Ecuadorean local development, and participatory project management in Ecuadorean development have been reviewed, analysed and presented in all of the original research chapters. This information has allowed further examination of the political and social context within which Ecuadorean NGOs operate, as well as the ways in which development projects are planned and implemented.

³⁸ See Chapter Three, page 121.

1.3.3 Second Research Thread: Case Studies of Local Ecuadorean Development Organisations

The overall research strategy was planned in order to balance the development practitioner viewpoint with the perspectives of people at local level. To achieve this aim, the second research thread employed the case study approach to examine and analyse development project management and participation in five local Ecuadorean settings. The second research thread methodology and activities are displayed in Figure 1.2.

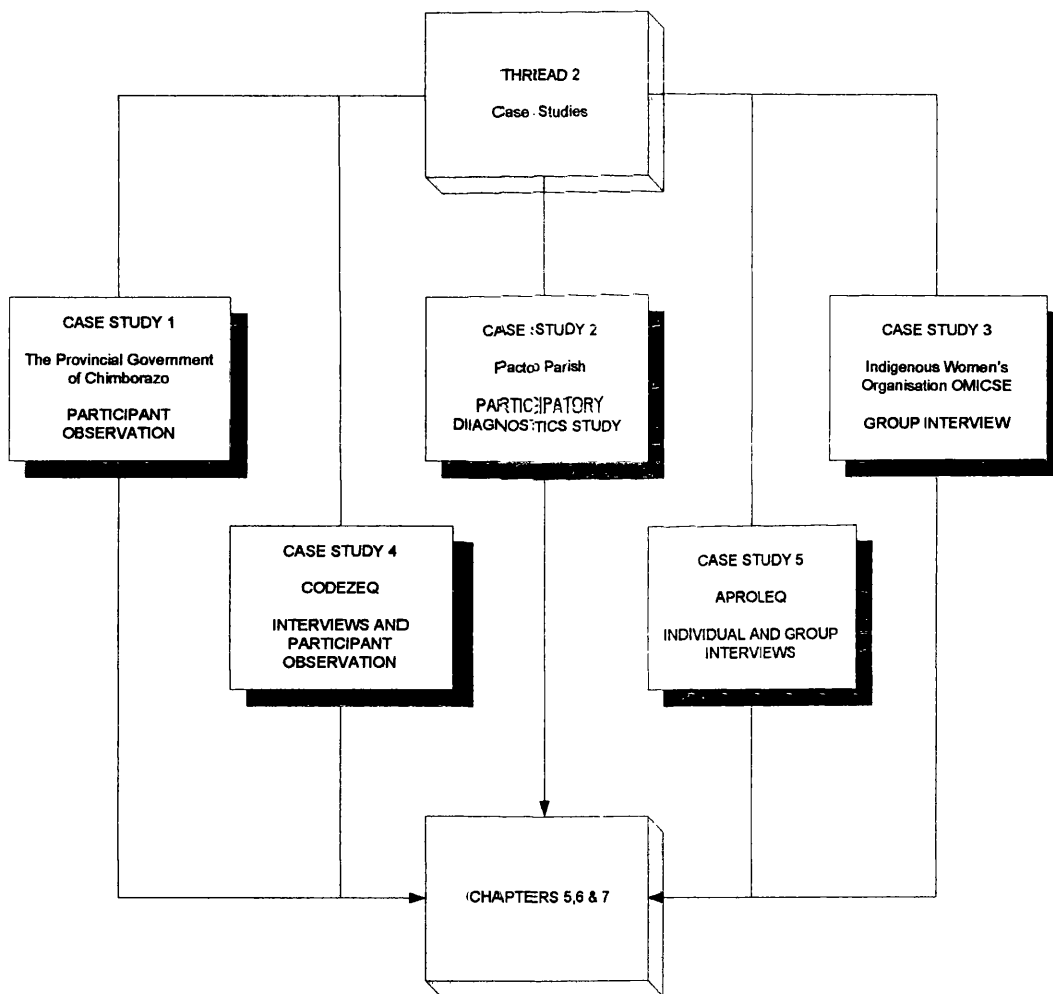
The methodology for each of the five cases will be discussed in the following sections. In each case study scenario the initial methodology was the same, to find a location suitable for research and conduct interviews and field visits with the local people/organisations in that research location. However, from that point the research opportunities and potentials available in each location dictated that the research methodologies evolved according to individual circumstances. For example, the OCDINPAC and CODEZEQ case studies were both chosen due to their potentials for the study of participation and project management in local organisations. Despite this, the development activity occurring in each location was very different. CODEZEQ was engaged in the activities of a large tourism programme funded by the European Union and implemented by an INGO, thus providing opportunities for repeated field visits, interviews and participant observation. Conversely, OCDINAPAC was in effect searching for funding and development opportunities, meaning that a PRA diagnostics study provided an opportunity to pursue the present writer's research of local participatory processes.

Thus, while the individual case study methodologies differed due to the realities existing in each location, each case study is aligned with the overall research objective of studying participatory project management and development in local Ecuadorean contexts.

1.3.4 Case Study One: The Provincial Government of Chimborazo

The implementation of Participatory Budgeting by the provincial government of Chimborazo is pertinent to this study for a number of reasons. Firstly, although PB had previously been employed by a number of municipal governments in Ecuador, the Participatory Budget of Chimborazo was the first occasion on which PB was used at provincial level.

Figure 1.2 – Thread Two Methodology and Activities



The review of secondary sources³⁹ and an interview with members of Ecuador's ruling Alianza Pais party⁴⁰ will show that the cantonal (municipal) level of government is considered to be the most important local government level. As such, Chimborazo's attempt to change the dynamics of provincial level government represented a unique research opportunity to examine regional development.

Participant observation was the research strategy used for examination and analysis of the Chimborazo case study. This choice was largely driven by necessity as employees of the provincial government of Chimborazo were experiencing a period of extensive work during the implementation of the PB and were unavailable for interviews. However, the chosen strategy permitted the observation of a number of key meetings and training sessions as local government employees attempted to implement the *Presupuesto Participativo de Chimborazo* (Participatory Budget of Chimborazo, PPCH) with the facilitation of Comunidec staff. The chronology of research activities and dates for case study one is shown in Figure 1.3.

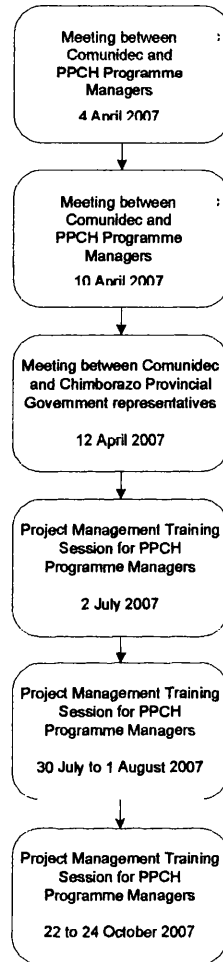
The observation of meetings and training sessions was augmented by data from unstructured discussions with the development actors concerned. During the meetings that took place in April 2007, elements related to the PB's implementation were discussed highlighting a number of key concerns.

Moreover, the project management training sessions, which took place between July and October 2007, emphasised further concerns about the implementation of PB through a programme management approach to development work. The field visits made to the province of Chimborazo have also been supplemented by the revision of official documents produced by the Chimborazo provincial government and NGO Comunidec. These documents were produced in the Spanish language, and all translations in this text are the work of the present writer.

³⁹ See Chapter Three, page 101.

⁴⁰ Interview with Alianza Pais, Mercedes Ortiz Albuja and Manuel Pennifiel, interview 45, party representatives, 16th September 2010, Quito, Ecuador.

Figure 1.3 – Chronology of Case Study One Research Activities



The data pertaining to PB in Chimborazo is presented and discussed in Chapter Five of this thesis, alongside an analysis of the key legal and political documents relating to the Ecuadorean government's national development plan designed and implemented by the presidency of Rafael Correa. The aspects of these official documents which are important to the subject matter of this thesis have also been translated by the present writer.

1.3.5 Case Study Two: The Parish of Pacto and OCDINAPAC

The attempts of parish organisation OCDINAPAC to drive parish development in a rural parish of Canton Quito was selected due to the opportunity this case study provided to examine how a local organisation engaged with the issues of participation and project management. The parish level of local government is recognised by both the informing literature⁴¹ and the ruling Alianza Pais party⁴² as the least powerful Ecuadorean local government level in terms of creating development impetus. The Pacto case study enabled an analysis of a rural development environment in which a local organisation was attempting to generate development initiatives without funding from local government.

The research methodology for this case study comprised of a participatory diagnostics study and interviews with key development actors in the area. This strategy complemented OCDINAPAC's desire to examine development potentials within the parish of Pacto, and also enabled the present writer to observe the perceptions of local people concerning their own development reality. Using PRA tools as a foundation, this case study was based in the participatory research theory that interaction with the subjects of study enables problems to emerge from dialogue (Mikkelsen, 2005: 36-7). The participatory diagnostics study constituted an opportunity to examine the issues of local development, participation and project management with a number of OCDINAPAC representatives during the course of three workshops and various meetings. The chronology of research activities and dates for case study two is shown in Figure 1.4.

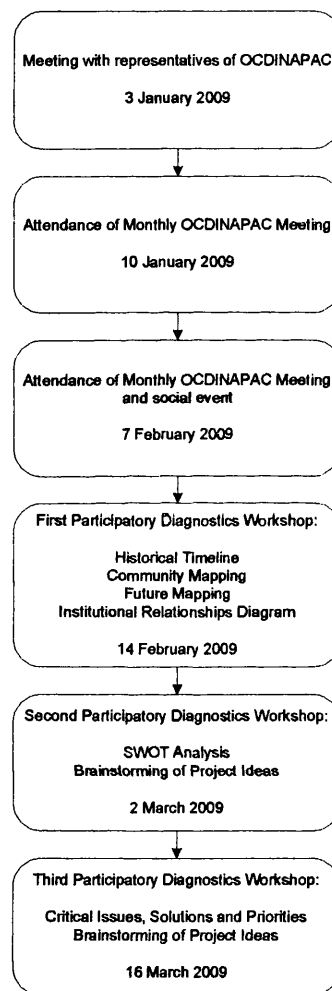
⁴¹ See: Keese and Argudo (2006: 117), and Chapter Three, page 101.

⁴² Interview with Manuel Pennifiel, interview 45, Alianza Pais party representative, 16th September 2010.

a. First Participatory Diagnostics Workshop

The first participatory workshop made use of PRA techniques in order to analyse the geographical context of the parish, and to examine the history of development activities and the existing relationships between development actors in the parish.

Figure 1.4 – Chronology of Case Study Two Research Activities



Firstly, community mapping exercises were used to establish the geographical setting of the study and to examine the attributes of individual communities within the parish. A parish map was also produced showing the location of each community in the parish along with

the roads that link those communities with each other and locations exterior to the parish. Additionally, community maps were produced for nine of the parish's communities: Anope, Ingapi, La Victoria, Pacto Centro, Pactoloma, Paraguas, Paraiso, Progreso and Santa Teresa. Participants were asked to consider places of geographical, physical and social importance as they completed the exercise.

A future mapping exercise was then conducted for the same nine communities, the participants being asked to imagine the desired future appearance of the communities. Future mapping was performed in order to encourage participants to consider the possible improvements that development activities could make to their communities.

The penultimate activity to be performed in the first workshop was the production of a historical timeline of development activity in the parish. The aim of this exercise was to show the positive and negative events that have affected parish development over a time period chosen by the workshop participants. These events were categorised by their occurrence at organisational, parish and provincial/national level. The timeline exercise was successful in providing a visual representation of the parish's development reality according to workshop participants.⁴³

The final activity of the first workshop was the composition of a diagram of institutional relationships. Participants were asked to firstly consider and list all those organisations with activities affecting the parish, and secondly to position those organisations on the diagram according to their importance and proximity to the parish.

The present writer attempted to conduct the activities of the first workshop in a manner embodying Chambers' (1997: 147-8) philosophy of PRA role reversals '*from closed to open*', '*from verbal to visual*', '*from individual to group*', and '*from measuring to comparing*'. Each exercise was introduced and facilitated before the participants performed the activity without further intervention.

⁴³ For example, Chapter Six (page 277) will discuss how participants selected few provincial or national development events as having affected parish development.

b. Second Participatory Diagnostics Workshop

The two activities completed during the second participatory workshop, an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) and participatory brainstorming of project ideas, were performed in order to investigate the development potentials within the parish. The SWOT analysis enabled workshop participants to identify those potentials (in the form of strengths and opportunities) as well as to consider the problems, both current and future (weaknesses and threats), they associate with their development reality. As noted by Field and Keller (1998: 11), SWOT analyses investigate and reflect both the internal and external environments of an organisation. Following the SWOT analysis, participants were asked to brainstorm as many ideas as possible for development projects in the areas of production, education, health, tourism, basic services, culture and recreation and roads and transportation. The participatory brainstorming exercise was performed as a means of examining the participants' perceptions of potential future development activities.

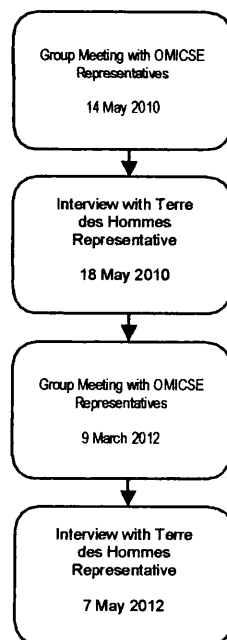
c. Third Participatory Diagnostics Workshop

The first of two activities to be performed in the final participatory workshop was the participatory identification of critical issues affecting parish development, as well as their potential solutions and relative priorities. This was followed by an augmentation of the project ideas list by a further brainstorming session. The identification of critical issues was employed as a further way to view the participants' perceptions of their development reality, by asking them to consider and prioritise the issues of highest importance to parish development. The critical issues exercise can be considered to be a further type of brainstorming activity, and was reserved for the last workshop so that participants could consider the previous workshops' activities during their analysis. The second participatory brainstorming session allowed participants to reconsider further development projects for the parish, having had the opportunity to reflect on the second workshop's activities.

1.3.6 Case Study Three: Indigenous Women's Organisation OMICSE

The OMICSE case study offered the opportunity to investigate the role of a women's second grade organisation in local development.⁴⁴ Additionally, since OMICSE pertains to the indigenous organisational structure, this case study provided the chance to investigate development from the point of view of the Ecuadorean indigenous movement. As part of the national indigenous movement, OMICSE's jurisdiction covers communities in a number of parishes and cantons in Cotopaxi province.⁴⁵

Figure 1.5 – Chronology of Case Study Three Research Activities



In order to obtain data relevant to the research questions a series of interviews was conducted with members of OMICSE and with *Terre des Hommes*, the Italian INGO with which OMICSE shares a long and well established working relationship. The interview

⁴⁴ A second grade organisation is a local organisation that operates above community level. In Ecuador second grade organisations are considered to play an important role in up-scaling development from community level. See Chapter Six, page 250.

⁴⁵ See the map of Ecuador displayed in Appendix 3.

data was supplemented with a review of information from secondary sources such as official documents written by the indigenous movement and national statistics concerning participation.⁴⁶ The research activities pertaining to the third case study can be seen in Figure 1.5.

The OMICSE case study enabled analysis of how an indigenous second grade organisation balances rights-based work with the implementation of INGO funded local development projects. In addition, the study of participatory processes in OMICSE provided evidence of how democratic participation functions in a branch organisation of the national indigenous movement.

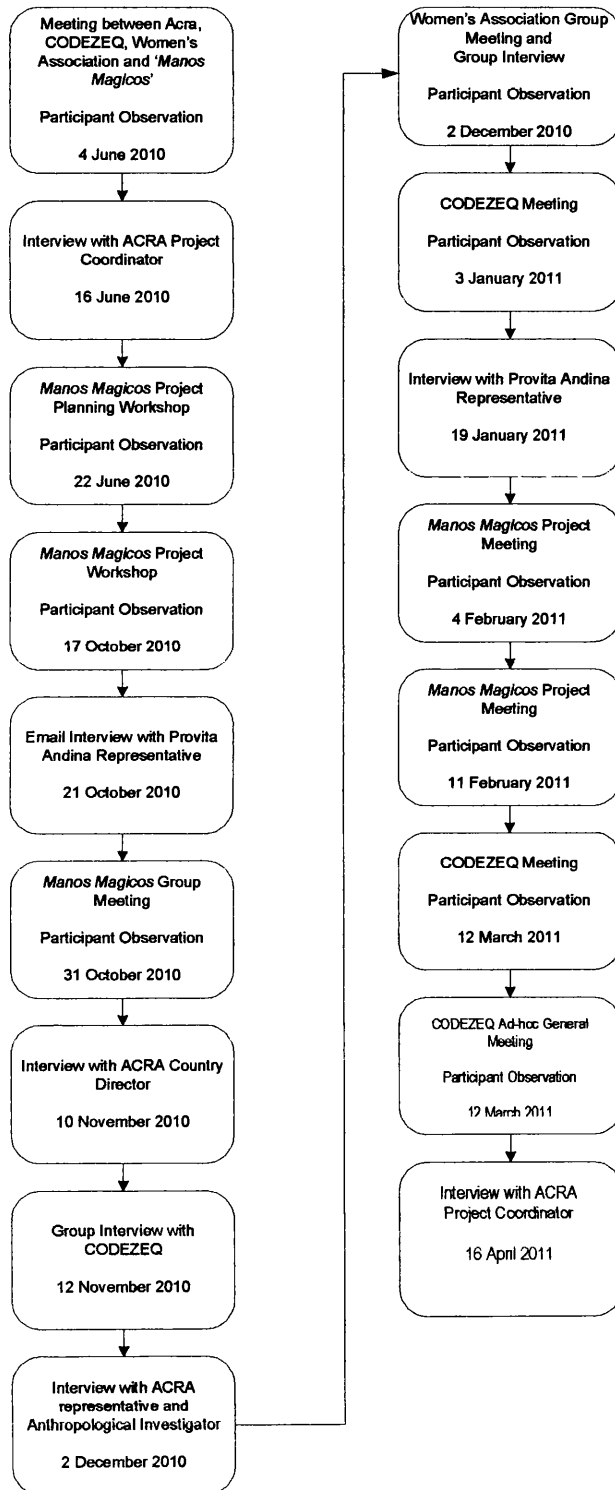
1.3.7 Case Study Four: Multi-Actor Local Development in the ‘Middle of the World’

The ‘Tourism in the Middle of the World’ programme, which is funded by the European Union and implemented by Italian NGO *Cooperazione Rurale in Africa e America Latina* (ACRA, Rural Cooperation in Africa and Latin America), offered the opportunity to study multi-actor Ecuadorean local development. In addition to the EU and ACRA, the local actors in the programme include second grade organisation CODEZEQ, CODEZEQ’s women’s association, and a project beneficiary group ‘*Manos Mágicas*’ (Magic Hands).

This multi-actor environment enabled the present writer to research participation in local development by local organisations, and their interaction with each other and the implementing NGO. Since the aim of the ‘Middle of the World’ programme is to create sustainable development through locally managed tourism projects, this research setting also afforded the opportunity to observe attempts to create local autonomous participatory development using programme management.

⁴⁶ In 2011, SENPLADES (*Secretaría Nacional de Planificación y Desarrollo*, National Secretary for Planning and Development) published the results of the 2008 ‘National Survey of Participation’. These statistics have been translated and referenced in the original data chapters of this thesis.

Figure 1.6 – Chronology of Case Study Four Research Activities



The 'Middle of the World' research setting is located on the equatorial line within the geopolitical jurisdictions of both Pichincha province and Canton Quito.⁴⁷ Since the organisations mentioned above were heavily engaged in programme activities at the time of field research, the present writer was able to complement interviews with participating organisations with a number of field visits. Similarly to the case study in the province of Chimborazo, many of the field visits to the 'Middle of the World' took the form of participant observation as interactions between participating organisations were studied.

Between June 2010 and March 2011 a total of ten participant observation field visits and seven interviews were performed with programme participants. The data from these activities was further enhanced by a review of official and programme documents pertaining to development in the 'Middle of the World'. The full list of research activities for the fourth case study, which took place between May 2010 and April 2011, is displayed in Figure 1.6.

1.3.8 Case Study Five: The APROLEQ Cooperative

The APROLEQ initiative bears many similarities to the 'Middle of the World' programme. The cooperative is funded by the European Union and also constitutes an attempt to increase the incomes and economic conditions of participating beneficiaries. However, in contrast to the 'Middle of the World' programme, which includes social and cultural aspects, APROLEQ has focused solely on economic gains. Furthermore, APROLEQ's projects have not been implemented by INGOs. Thus, the APROLEQ initiative offered the opportunity to study participation in economic projects with the goal of autonomous management by project beneficiaries.

The research setting, Canton Quero, is situated in a rural part of Tungurahua province.⁴⁸ When the research for this thesis began in December 2008, the APROLEQ milk

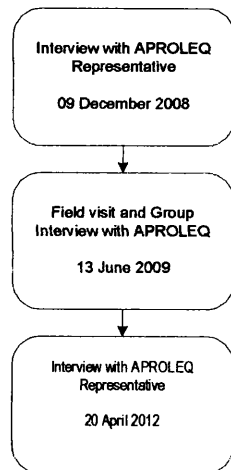
⁴⁷ See map of Ecuador displayed in Appendix 3.

⁴⁸ See the map of Ecuador displayed in Appendix 3.

commercialisation project was already well-established and planning to diversify from the initiative's original objectives.

Interviews with APROLEQ representatives were combined with a field visit to APROLEQ headquarters in the province of Tungurahua. A review of official documents pertaining to the APROLEQ project completed the research activities for this case study. The full list of research activities for the fourth case study, which took place between December 2008 and April 2012, is displayed in Figure 1.7.

Figure 1.7 – Chronology of Case Study Five Research Activities



1.3.9 Ethical Issues

During the course of research activities for four out of the five case studies outlined above the present writer's role was solely that of researcher. Conversely, for the case study of Chimborazo provincial government, research activities were combined with the further role of development consultant. In effect this dual role served to limit the time available for research activities. However, the immediacy of the provincial government's implementation of the PB meant that there was little time available for activities not

connected with the PB. As such, access to the research setting was only afforded due to the fact that the present writer was a development consultant for facilitating NGO Comunidec.

A further ethical issue arose during the course of research into the 'Middle of the World' programme. The ACRA Country Director for Ecuador requested that details of her interview should only be divulged in this thesis and not be published in any development journals. In fact, the analysis of the 'Middle of the World' programme, presented in Chapter Seven, has created an ethical dilemma for the present writer. This analysis is largely critical of the development processes in the 'Middle of the World'. Despite this, a one year research period afforded the opportunity to befriend members of ACRA, CODEZEQ and the Women's Association. Accordingly, the present writer would like to note that notwithstanding the issues identified in Chapter Seven, the members of CODEZEQ have worked hard to forge a strong local development organisation in the 'Middle of the World'.

1.3.10 Conclusions and Reflections

The research methods presented above represent a multi-strategy research approach to the investigation of project execution and participation in Ecuadorean development projects and programmes. Such an approach is associated with the triangulation of research data through the cross-checking of data sets against each other. Additionally, the research methodology has endeavoured to investigate the central research questions from multiple perspectives, combining quantitative and qualitative data provided by international and national NGOs, with case studies examining development from a local perspective. The results of the empirical research are presented in Chapters Three to Seven.

The present writer would argue that the research strategy for this thesis has been largely successful. The email survey yielded interesting information, although upon reflection more replies may have been received if the survey had been in an online format rather than in the form of an attached document. With hindsight, the present writer would certainly have preferred to employ the former option.

The semi-structured interviews were successful in gathering information from representatives of national and international NGOs with activities in Ecuador. Use of the development organisation survey as a basis for the interview enabled a consistent format for the interviews, whilst at the same time having the flexibility to enable interviewees to focus on particular issues.

The case study approach to investigating participatory project and programme management in local development enabled the collection of data in differing research settings over a period of more than four years. Each data set provided a unique insight into local development, whilst also contributing to a triangulated whole. The present writer recognises that an approach focusing on fewer research settings would have garnered more in-depth data pertaining to those cases. However, such a strategy would not have achieved the broader view of Ecuadorean development accomplished by this work.

Chapter 2

Project Management and Participation in International Development

The prominent role of projects in the implementation of development interventions has caused debate in the informing literature related to some project management issues, but conversely failed to address other topics concerning the Project Management Approach (PMA). Accordingly, this chapter will first seek to position project management and the PMA within the development industry. An analysis of the PMA and process/operational management will provide definitions of these approaches and examine the differing perspectives to have emerged concerning the use of the PMA in international development.

The next section will provide an in-depth analysis of the Logical Framework Approach (LFA), a logical planning approach to development project planning and execution. Discussion of this method will examine its stereotype as a 'top-down' approach to development, and analyse the tools provided by LFA for the management of the project life cycle.

This literary review will then move on to address the role of participation in development project management. This discussion will encompass participation in local development initiatives and philosophical perspectives on participation, including the objectives of participation 'as a means' and 'as an end' activities. Finally, analysis will focus on the prominent participatory diagnostics and planning method Participatory Rural Appraisal (PRA).

Throughout the analysis of the validity of LFA and PRA to development project management, the present writer will identify gaps in the informing literature concerning the participatory execution of development projects. It will be argued that neither LFA nor PRA provide sufficient tools or guidance in order to encourage the participation of project beneficiaries and local people in project execution.

This chapter will conclude with the presentation and discussion of the research questions to be addressed by the original research for this thesis. These questions will focus on the participation of project beneficiaries and local people in the processes of the PMA and the project life cycle for the participatory execution of development projects and programmes. Furthermore, the original research pertaining to this thesis will seek to explore issues related to the augmentation of the involvement of local people and project beneficiaries in Ecuadorean participatory local development.

2.1 Positioning Project Management in the Development Industry

Transcending its roots in industries such as engineering, construction and IT, Project Management (PM) has become a mainstream management discipline (Lock, 2000: 4-5). The PMA as it exists today began in the 1950s with the development of formal tools and techniques for project management; before that time the large scale projects performed in industries such as construction were completed without the use of defined or generally accepted project management methods (Maylor, 2003: 7). The initial spread of the PMA was into those sectors requiring the delivery of a unique product to a specified quality, within time and budgetary constraints (Maylor, 2003: 4). However, the PMA is now widely used in an array of sectors and industries, from construction, mining and petrochemical to manufacturing, management and research (Lock, 2000: 4-5).⁴⁹

Whilst definitions of what constitutes a project vary, the most basic definition includes the concept of a unique and temporary undertaking (Lock, 2000: 3). For example, the Project Management Institute (PMI, 2008: 5) defines a project as '*a temporary endeavour undertaken to create a unique product, service or result*'.

Variations to the PMI's definition often include the elements of limited time and resources (Maylor, 2003: 4), as well as the concept that projects require alternative management mechanisms to those normally employed for process/operational activities (PMI, 2008: 12). Such mechanisms are designed to control the risks and dangers inherent in the fact that projects constitute unique undertakings (Mantel et al, 2001: 4), and form the Project Management Approach, the purpose of which is described by the PMI (2008: 6) as:

[T]he application of knowledge, skills, tools and techniques to project activities to meet the project requirements. Project management is accomplished through the appropriate application and integration of the 42 logically grouped project management processes comprising the 5 process groups [Initiating, Planning, Executing, Monitoring and Controlling, Closing].

⁴⁹ The Project Management Approach (PMA) is here defined as the acceptance that projects differ considerably to process/operational activities due to their temporary and unique nature, and as such require a distinct form of management. These differences are discussed in the Project Management Body of Knowledge (Project Management Institute, 2008: 12).

In the present writer's view the PMI's definition is specifically tied to the project management processes contained within the PMI's body of knowledge. However, this definition does effectively convey the notion that the PMA is linked to the processes of the project life cycle.

Coupled with the above definition of a project as a unique initiative undertaken to create a specific goal or objective, the project life cycle is essential to the difference between project and process/operational management. However, in the development sector the distinction between project and process/operational management appears less clear. In fact, this distinction is further blurred by the categorisation of projects as either 'blueprint' or 'process project' by authors such as Wield (2003: 183).

Given such confusion it is necessary to clearly define each of the above phenomena. Process projects and blueprint projects can both be categorised as forms of or approaches to the PMA. As such, they both attempt to execute unique initiatives that are to some extent limited by time and resources, and are characterised by an initial period in which the project is planned. However, whereas blueprints are characterised as being constrained through the necessity to adhere to the project plan, process projects retain flexibility during planning and execution so that they can be adapted as the project progresses (Wield, 2003: 186).

As discussed earlier, the PMA used in traditional sectors seeks to manage the life cycle of a project by supervising resources, activities, quality, scope,⁵⁰ changes and other processes during the project phases of initiating, planning, executing, monitoring and controlling and closure. Many of these processes may well form part of blueprint and/or process projects but the informing literature does not provide details of such practices. One exception is the PMA process of change control. Whereas blueprints do not envisage or encourage changes from the project plan during the execution phase (Wield, 2003: 184), change control is a fundamental aspect of the PMA. Accordingly, the integration of changes into projects

⁵⁰ According to the PMI (2008: 103), Scope Management attempts to ensure that:

[T]he project includes all the work required, and only the work required, to complete the project successfully.

during the phase of execution constitutes a process that includes the approval of changes and their subsequent implementation in a way that prevents detrimental impact on the project (PMI, 2008: 93).

It is also necessary to separate and delineate process projects from process/operational management. As defined above, the former is a flexible form of project management. However, process/operational management constitutes the execution of activities in a repetitive manner on an ongoing basis often in order to produce the same product or service (PMI, 2008: 12).⁵¹ Thus, a software development company might use the PMA to develop new products and process/operational management for accounting, administration and personnel management. Conversely, in the development sector process/operational management is considered to be management with a long-term focus, which is generally not task-oriented but which can include project activities (Thomas, 2000: 46). In the writer's opinion this adds to the confusion surrounding the delineation from project and process/operational activities.

The above definitions are important to this work for a number of reasons. Firstly, it is entirely possible to manage unique temporary endeavours, or projects, without adhering to the processes of the PMA. Continuing the above example, the software development company could choose to develop its new products without engaging in project planning or managing the phases of the project life cycle. However, proponents of the PMA maintain it provides the most effective way to deliver change (Office of Government Commerce, OGC, 2005: 2). This position is reflected by the following argument provided by Harpum (2001: 26):

Irrespective of the industry or business sector...the consistent finding is that predictable project performance is predicated on the presence and use of a project method.

⁵¹ In comparison to the PMA, process/operational management does not provide special mechanisms for the management and control of unique activities, nor does it focus on the achievement of unique deliverables within a specified timescale (Project Management Institute, 2008: 12).

Conversely, it is also possible to organise activities that would normally be managed by process/operational processes, such as the activities of an educational semester, into projects. These scenarios are important to this work as the original research discussed in Chapters Three to Seven will highlight significant evidence that both of these practices are prevalent in Ecuadorean development. If one accepts Harpum's argument that the most effective way to manage unique endeavours (projects) is to use the PMA, and conversely that the PMA is not appropriate for process activities, then such scenarios constitute cases of ineffective management practice.

Furthermore, this chapter will argue that the LFA and PRA methodologies used for the management of blueprint and process development projects lack tools for the management of the project life cycle in comparison with their counterparts in traditional sectors. For example, the PRINCE2 methodology, developed by the British government for application in public sector projects in the UK, contains standard tools for the management of the PMA's processes and the project life cycle (OGC, 2005). It is here argued that while specialist project managers are able to use their experience to apply management tools to the project life cycle on an ad-hoc basis, non-specialists are more reliant on methodologies to assist them manage the project life cycle.⁵² The original research for this thesis will highlight that many local Ecuadorean initiatives, especially those productive projects with the objective of increasing local incomes, have the goal of autonomous project self-management by local people. Additionally, as a result of Ecuador's *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living'), discussed in Chapter Five, regional governments are faced with the necessity of performing autonomous project management. Thus, discussion of the suitability of current methodologies for blueprint and process project management for achieving these ends assumes importance in the Ecuadorean context.

⁵² The OGC (2005: 2) argues that:

A good project management method will guide the project through a controlled, well-managed, visible set of activities to achieve the desired results.

The suitability of the PMA to the international development sector has been the subject of intense debate.⁵³ Development researchers and practitioners are divided not only over the issue of which interventions should be managed through projects or ongoing process/operational activity, but even over whether the PMA is at all applicable to the needs and culture of people in the developing world (Green, 2003: 140, Pant et al, 1996: 53).

The historical scepticism towards PM practices in international development is exemplified by the early works of Pant et al (1996: 53) and Hofstede (1980, cited by Pant et al, 1996), which argued that the PMA does not suit the cultures and political and social conditions of developing world nations due to the fact that its practices were designed in the USA and other developed countries. The result, according to Green (2003: 123-4), is uniformity and standardisation of development projects as they are created in a formulaic manner in diverse cultures. Such uniformity and standardisation is precisely that which Robert Chambers has been so keen to avoid in the application of Participatory Rural Appraisal (PRA) and participatory methodologies (Chambers, 1994A: 959).

Two common approaches used in the planning of development projects to have emerged in the last 30 years are logical planning methods, embodied by the Logical Framework Approach (LFA),⁵⁴ and participatory approaches, the most prominent of which is PRA. The forthcoming analysis of development project management methods is based on these two approaches.

It is within the context of scepticism regarding the appropriateness of the PMA to international development that this literary review is based, continuing in the next section with an analysis of the literature pertaining to the management of development initiatives using the PMA and process/operational management.

⁵³ For example see: Green (2003: 123).

⁵⁴ A logical or objectives-oriented planning method is defined by Ortengren (2004: 6) as a tool which beginning with a problem analysis, leads to the selection of objectives and activities.

2.2 The PMA and Process/Operational Management

The importance of the success (or otherwise) of project management in development is emphasised by the sizeable amount of international development activity and funding that is organised into task-oriented projects (Kontinen, 2007: 1). This practice is termed the project approach to development, and is here defined as the organisation of development activities into task-oriented interventions bounded by restraints of time and resources.⁵⁵

Whereas the PMA concerns the tools, methods and processes used to manage and implement a project, the project approach represents the deliberate choice made to organise interventions into project activities in preference to process/operational work. One reason for this is the apparent fit between the purpose of the project as '*a temporary organisation for a relatively unique process*' (Gareis, 2004: 1), and many development initiatives. In addition, the project approach is compatible with the requirements of donor agencies, including the need to select interventions for funding, and the ability to assess their effectiveness (Wield, 2003: 187).

Despite the potentials outlined above, Wield (2003: 184) argues that the organisation of development interventions into bounded projects can serve to ignore the fact that projects exist within processes, and the complex development environment in which projects operate.

The advantages and limitations of the project approach to international development, displayed in Appendix 4, are representative of the reasons for which the project approach is chosen in preference to conventional process/operational management methods to manage unique ventures in many sectors. As can be seen from Appendix 4, the advantages mirror the reasons for which project management is employed in traditional sectors such as IT and construction, including planning activities that incorporate actions and expected results, and an execution process that controls and evaluates the use of resources (Mantel et al, 2001: 3). However, the limitations identified in Appendix 4 are all specific to the development industry. Notably, the first limitation reflects Jackson's (1998: 50) argument that results-

⁵⁵ This definition is consistent with Thomas' (2000: 42) classification of 'Management for development', to be discussed later.

based management has led to an emphasis on the achievement of intended objectives, with little importance being placed on how these results and outcomes are achieved.

Jackson's critique parallels Thomas' (2000: 42) argument that task-oriented projects constitute management of development through '*deliberate efforts at progress*', meaning that the project's tasks are defined in order to achieve development outcomes in one short-term intervention. In contrast, management for development is defined as the progressive management of activities aimed at creating long-term change (Thomas, 2000: 45). Although management for development can include projects, it is characterised as an incremental attempt to achieve progress through a prolonged commitment, in comparison to the short-term focus of management of development (Thomas, 2000: 42). Thus, management for development is aligned with process/operational management as management of activities is performed on an ongoing basis, whereas the project approach seeks to plan and execute a series of tasks and activities in a specified time period.

The argument for ongoing process/operational development work as opposed to project activity is in part based on the contention that projects have a short term perspective which is contradictory to development goals and to the continuity required by beneficiaries in the developing world (Wallace et al, 1997: 34, Wield, 2003: 187). Wallace et al (1997: 34) refer to a 'serious disjuncture' between project work and development aims such as institution and capacity building and sustainability, which are seen as requiring long-term commitment and support from Non-Government Organisations (NGOs). The same incongruence between participation and the service delivery approach is identified by Cloke's (2009: 855) analysis of GATS (General Agreement on Trade in Services).

However, this critique fails to acknowledge that projects can have durations of several years, and can be organised into coherent, long-term development initiatives through programme and portfolio management (Field and Keller, 1998: 89, PMI, 2008: 8-9). In fact, discussion of the potential of programme management and portfolio management for the management of long-term development initiatives is for the most part absent from the

reviewed literature.⁵⁶ Accordingly, the integration of projects into an overall development strategy can provide cohesion to long-term development by combining elements of both project and process into a programme and/or portfolio management approach. Indeed, the UN (Ortiz et al, 2004: 9) argues that programme management aligns with long-term objectives by '*making results fit together*'.

This argument is further strengthened by Dale's (2003: 61) position that many project cycles can be circular rather than linear, especially when they constitute part of a programme. Thus, means-end structures continually change on the basis of learning from ongoing or completed projects (Dale, 2003: 61). Dale's argument therefore provides another example of how the use of projects within strategic programmes can avoid criticism levelled against the project approach.⁵⁷ Despite this, the balance of the arguments made in the informing literature would suggest a need to combine process/operational and project approaches to development.

One of the questions to be addressed by this text is how project activity is managed in the development sector, including the tools and methodologies employed, and the level of local involvement and participation in project interventions. Accordingly, the participation encouraged and achieved by existing methods for development project management will now be discussed. This analysis will focus on the Logical Framework Approach and Participatory Rural Appraisal.

⁵⁶ The definitions of Programme Management and Portfolio Management as provided by the Project Management Institute (2008) are here accepted as adequate definitions for the purposes of this thesis. The PMI (2008: 9) defines Programme Management as:

[A] group of related projects managed in a coordinated way to obtain the benefits and control not available from managing them individually. Programs may include elements of related work outside the scope of the discrete projects in the program.

Portfolio Management is defined by the PMI (2008: 8) as:

[A] collection of projects or programs and other work that are grouped together to facilitate effective management of that work to meet strategic business objectives. The projects or programs of the portfolio may not necessarily be interdependent or directly related.

⁵⁷ See: Ortiz et al (2004: 9).

2.3 The Logical Framework Approach and Logical Planning Methods

Logical methods such as LFA are sometimes portrayed as being top-down approaches to project management due to project planning processes that are often removed from local people and communities (Chambers, 1995: 212). While numerous variations of the approach exist, LFA is here understood to be the use of an analytical process, involving an analysis of problems and objectives, leading to the creation of a project matrix or 'logframe' detailing information pertaining to the goal, purpose, outputs and activities of the project (Jackson, 2000: 1). A typical logframe is displayed in Appendix 5.

Top-down development projects are described by Meyer & Singh (2003: 240) as those projects in which a good or service is provided to a local community by an outsider, although Chambers (1994C:1447) equates top-down approaches with projects that are centrally imposed, authoritarian and hierarchical in nature, and encompass mechanisms for evaluation and the punishment of bad performance. Top-down development therefore uses a strategic managerial approach to deliver development initiatives in which beneficiaries or target communities are seen as recipients or clients (Kumar and Corbridge, 2002:73, Mander, 2005: 234). This section will however reject the argument that LFA and logical planning tools must be aligned with top-down development.

The origins of logical planning approaches can be found in industries such as engineering and construction, where fixed project plans are designed and then implemented according to the plan or '*blueprint*' (Bond and Hulme, 1999: 1340). Due to this requirement for an adherence to a pre-planned project, logical planning approaches (when applied as blueprint approaches) are often typified as inflexible attempts to impose external projects and technologies on local development contexts (Ellis & Biggs, 2001: 443, Wield, 2003: 186).

LFA is an 'Objectives-oriented planning tool' originally developed for the United States Agency for International Development (USAID) by Practical Concepts Inc in 1969

(Crawford & Bryce, 2003: 364, Mikkelsen, 2005: 38).⁵⁸ In the 1970s, LFA became a fundamental part of USAID's project management (Harley, 2005: 30), leading to its adoption by the Canadian International Development Agency (CIDA), development agencies across Europe and at the World Bank.⁵⁹

LFA's focus on deliverable outputs through intended routes reflects the planning of business and logistics in vogue in the 1960s (Gasper, 2000: 21), as well as the project management methods focused on the planning of activities that became popular in the 1950s (Maylor, 2003: 7). This attention to planning of activities to meet objectives was a response to the perceived problems with aid and development projects at the time, vague project design and lack of focus (PARTICIP GmbH, 2000: 4). By defining project objectives, tasks and management responsibilities, LFA seeks to provide clarity to the planning and design of development projects (Wield, 2003: 188-9).

2.3.1 Critique of LFA

The critique of LFA includes criticism of its use as a blueprint approach to development project management (Wallace et al, 1997: 28/30). However, whilst Wield (2003: 183-184) identifies the argument that LFA was originally designed as a blueprint approach and has a natural tendency towards technocracy and non-participation, authors such as Gasper (2000: 21) and Wallace et al (1997: 30) prefer to identify the use of LFA as an inflexible blueprint as just one of a number of possible applications of the approach.

The present writer accepts Wield's (2003: 183-184) argument that LFA was originally designed for the planning and implementation of projects in the manner of a blueprint. In support of this argument this section's discussion of LFA will show that a lack of tools for project execution is tied to LFA's logic that execution will be successful as long as assumptions are met. However, it is also argued that LFA does not necessarily need to be

⁵⁸ Crawford and Bryce (2003: 364) note that the origins of LFA can be traced back to management guru Peter Drucker's 'Management by Objectives', although Bell (2000: 30) argues that the theory behind LFA originated with Aristotle.

⁵⁹ LFA is an integral part of the European Commission's 'Project Cycle Management' introduced in 1993 (Ahonen, 1999: 98).

used as a blueprint implemented on local realities by distant donor agencies. Indeed, the various ways in which LFA has been employed actually show that the method is flexible. For example, since the 1990s LFA has been used as a participatory project management tool (Aune, 2003: 218). Additionally, the use of ‘cascading logframes’ has enabled projects to be linked into programmes and portfolios (Global Environment Facility, 2004: 100).

The ensuing analysis will illustrate that critique of the LFA often centres on how the approach is implemented rather than deficiencies inherent in the method. As such, limitations often result from bad practice. However, the critique of LFA, including its use as a blueprint approach, is pronounced due to a dearth of literature relating to the method’s use in a participatory manner in process projects.

LFA’s potential for participatory bottom-up development depends on the intentions and attitudes of implementing NGOs during its application. For example, Gasper (2000:21) identifies the use of LFA as a tool for organisational control, as one aid to project conceptualisation, to rigidify planning and evaluation approaches, and as a blueprint attempt to dictate project outcomes. Similarly, PARTICIP GmbH (2000: 9-10) argues that when used with flexibility and creativity, LFA provides a ‘*frame for logical work*’ rather than a blueprint. This captures the point that the spirit with which LFA is applied is important to its successful use as a participatory approach.

A study performed by Bakewell and Garbutt (2005: 4-5) categorised respondents into three categories, those who viewed LFA as ‘*a formal procedure*’, ‘*a way of thinking*’, and ‘*a brand*’ (when LFA is used in order to attract funding). Those who viewed LFA as a ‘*way of thinking*’ envisaged the LFA process to be a flexible set of ideas to be used creatively (Bakewell and Garbutt, 2005: 5). Despite such positivity, the prevailing opinion expressed in the informing literature is that LFA is most often used as an inflexible and rigid management tool.⁶⁰

⁶⁰ See the critique provided by Wallace et al (1997: 30), Jackson (2000: 2) and Mikkelsen (2005: 45).

The difference between these two opposing views seems to be that those who perceive LFA to be a blueprint consider the approach in terms of the entire project cycle, whereas those who cite flexibility and creativity as assets of LFA are solely thinking of the planning process. Thus, Wallace et al's (1997: 30) argument that an LFA project is '*cast in stone*' refers to the fact that the logframe is difficult to change during project execution. In contrast, those respondents from Bakewell and Garbutt's (2005: 5) study who viewed LFA as flexible were considering LFA as an '*intellectual challenge*' during project planning.

Evident in the informing literature is the concern that in practice logical frameworks are susceptible to a lack of adjustment and adaption after the project planning phase concludes. This scenario has been dubbed 'Lock-Frame' by Gasper (2000: 22), and results in the logframe being left unrevised throughout the remainder of the project life cycle, meaning that the matrix is simply a snapshot of the project in a static state at the end of the planning phase.

The Lock-Frame scenario compares unfavourably with traditional project management methods, which seek to incorporate changes occurring during project execution into the project plan in a controlled manner (PMI, 2008: 61). Lock-Frame scenarios can happen for a number of reasons; for example, from the results of their study Bakewell and Garbutt (2005: 5, 9) argue that LFA was perceived by many respondents as '*a brand*' used in order to secure funding, leading to the conclusion that '*for many, the LFA is put to rest once the project or programme begins*'.

In such instances, LFA is only ever used for the purposes of attracting funding from donor organisations, and accordingly the LFA process is not performed with a spirit of commitment (Bakewell and Garbutt, 2005: 9). In the present writer's opinion the notion that LFA cannot be changed during project execution is incorrect. LFA can be revised according to changes in the project's strategy (PARTICIP GmbH, 2000: 9). However, as noted by Bakewell and Garbutt (2005: 7), in practice people can be loath to change logframes that have been agreed through a time-consuming process of multi-stakeholder negotiation and consensus-building.

A further categorisation by Gasper (2000: 21) describes those logframes that are only created to meet the demands of funders or donor agencies as 'Logic-Less Frames'. In such cases the project has already been designed and the logframe matrix is completed without adherence to the analysis phase of LFA. Thus, a lack of commitment by NGOs and implementing agencies to LFA can result in logframes that remain fixed in project planning. However, this is not the only reason for which LFA is perceived as having limited value during project execution (Bakewell and Garbutt, 2005: 9).

The logic inherent in LFA presupposes that the project will run smoothly in concurrence with the relationships between objectives, assumptions and inputs; although this may not necessarily be the case (Smith, 2000: 440).

Appendix 5 displays a typical logical framework matrix format and highlights the fact that LFA's logical structure incorporates a series of relationships between the hierarchy of objectives and the assumptions column. The relationships between assumptions and objectives can be viewed as a series of 'IF-AND-THEN' relationships. For instance, **if** the activities take place **and** the assumptions at the activities level of the matrix are satisfied, **then** the outputs will be produced; and **if** the outputs are produced **and** the assumptions at the outputs level are satisfied, **then** the purpose will be achieved (Crawford and Bryce, 2003: 365-6). Appendix 6 displays LFA's sequence of 'IF-AND-THEN' relationships.

Smith (2000: 440) argues that although LFA assumes that an effective plan will result in an effective execution, in reality project execution requires effective skills and processes for control, monitoring, evaluation and corrective action:

By cultivating a false sense of certainty about the outcomes of the chosen strategy, logical framework lends support to a very widespread assumption in conventional M&E: the idea that projects typically require only minor corrections to ensure the success of a basically sound plan.

When compared with the importance placed on correctional activity and change management by traditional project management literature and processes, LFA's logic

appears to be based in theory rather than reality. Appendix 7 displays project processing as a closed control loop, and demonstrates the core activities of the project manager during the execution phase of the project. As project tasks are performed, the project manager monitors the progress of those tasks against the project plan and takes action to correct variances between planned and actual performance. The closed loop also illustrates that the primary purpose of conventional project monitoring is to provide information for the purposes of control of cost, quality and performance (Mantel et al, 2001: 204). On the basis of this information, decisions are made concerning whether action is needed and what actions are to be taken in order to correct divergences in cost, quality and performance from the specifications of the original project plan.

Projects very often fail to run according to plan, due to unforeseen problems, delays and difficulties in the application of planned activities (Maylor, 2003: 1). For instance, the channel tunnel, which was completed 5 billion pounds over budget and a number of years late, is one of many examples of project execution disasters (Maylor, 2003: 1). Hence, the present writer argues that corrective action and re-planning project activities lie at the heart of the project management discipline.⁶¹ Although some development projects may not be so technically complex, they are still required to deliver results according to time and budgetary constraints, delays and overspends therefore pose dangers to the achievement of goals, objectives, impacts and results (Bakewell and Garbutt, 2005: 4).

Despite Crawford & Bryce's (2003: 365) argument that the assumptions column introduces the reality of the project environment into the theoretical context of the logical framework, it is here argued that LFA does not attempt to manage the reality of the project environment as the project progresses from planning to execution.⁶² Although the assumptions column identifies the external risks that could affect the success of the project (Crawford & Bryce, 2003: 365), the LFA process does not complement assumptions with a strategy for risk response or management, similar to those inherent in traditional project management

⁶¹ This argument is also made by Mantel et al (2001: 204).

⁶² This argument is made based on the observations of project execution made by: Mantel Jr et al (2001: 204) and Maylor (2003: 195).

methods (Mantel et al, 2001: 104, Maylor, 2003: 195). Instead, LFA merely states that the external assumptions must be fulfilled in order to secure project success (Aune, 2003: 216).

As a consequence of its alleged rigidity, LFA is viewed as being unable to respond to unanticipated events occurring during the execution phase of the project (Kothari, 2000: 7, Gasper, 2000: 23), although specific examples of such rigidity are not provided in the reviewed literature. On the basis of her own review of informing literature, Earle (2002: 6) contends that there is no contingency for changes in project direction or possibility for the project to adapt due to learning and feedback, in the assumption that the execution of LFA projects will go according to plan.⁶³ The present writer concurs that the logic inherent in LFA presupposes that the project will be successfully executed as long as the assumptions are met, which combines with a deficit of tools for project execution (Crawford & Bryce, 2003: 365). However, it is here argued that despite 'Lock-frame' scenarios, LFA can be revisited and revised after project planning, during project execution and monitoring and evaluation. It is further argued that such flexibility is dependent on the way in which LFA is applied by people and organisations.⁶⁴

The above analysis has questioned the validity of LFA as a management tool during project execution. In the ensuing section, further discussion will examine the LFA as a tool for the management of the project life cycle.

2.3.2 LFA as a Project Management Tool

The general consensus among development writers is that LFA is most useful as a tool for project planning and analysis (Wield, 2003: 189, Mikkelsen, 2005: 45, PARTICIP GmbH, 2000: 8, Jackson, 2000: 1). The following statement by Wield (2003: 189) is representative of this general agreement concerning the merits and benefits of LFA:

The basic idea of the tool is to provide a structure to allow those involved in projects to specify the different components of activities, and carefully and causally

⁶³ See also: Smith (2000: 440).

⁶⁴ As such, the present writer agrees with the view provided by Mikkelsen (2005: 45).

relate the means to the ends. The framework aims to aid logical thinking about the ways in which a project or other intervention may be structured and organised. It also allows the different groups associated with the intervention to participate in discussions and decisions about it and its underlying assumptions, and to continue involvement as the project develops and changes.

The key themes identified by Wield are structure, logical thinking and communication. In fact, the view that the logic underpinning LFA improves the planning process is popular in the reviewed literature.⁶⁵ This improvement is achieved by enabling logical analysis of key project elements such as inputs, outputs, activities and external factors (Mikkelsen, 2005: 45).

The balance of the informing literature is sceptical over the suitability of LFA as a project management tool after completion of project planning, in other words for the PMA processes of Executing, Monitoring and Controlling, and Closing. The logframe requirements for Objectively Verifiable Indicators and Means of Verification do constitute a Project Monitoring and Evaluation Information System (PMEIS); however, this system is defined by Crawford & Bryce (2003: 366) as '*rudimentary*'. Additional critique of LFA's usefulness for monitoring and evaluation focuses on an alleged inability to monitor unintended results or impacts (Gasper, 2000: 23, Jackson, 2000: 2). Despite Gasper's (2000: 22) further reservations concerning a narrow focus during evaluation there is general agreement that LFA provides at least a framework for monitoring and evaluation if not an entire set of tools and processes. As an additional comment, the present writer would suggest that the concise nature of LFA facilitates evaluation by external agencies as well as reviews by project staff and stakeholders. Indeed, this is cited as one of LFA's main attractions for donors (Gasper, 2000: 17).

The informing literature evidences a dearth of information pertaining to the execution of the development project using LFA. Instead, authors such as Jackson (2000) and PARTICIP GmbH (2000) recommend the use of additional project management tools in order to assist the management of project execution activities. In themselves, these

⁶⁵ See: Wield (2003: 189), Jackson (2000:1), Mikkelsen (2005: 45), PARTICIP GmbH (2000: 8), and the combined experiences of Vanoppen, (1994), NORAD (1995), and Steigerwald (1994) (all cited by Aune, 2003: 215).

recommendations demonstrate an acceptance that LFA does not provide sufficient processes for the management of the entire project life cycle.

Once the logframe has been completed the relevant details can be transferred to an activity schedule, which contains information specifically relevant to project execution such as task dependencies and sequences, and key completion dates and milestones (Jackson, 2000:10). However, the use of activity schedules in conjunction with LFA is only addressed by some authors, signifying that such practice is not a standard approach.

The manner in which some authors have attempted to add more detail to the logframe matrix further demonstrates LFA's lack of attention to the phase of project execution. For example, Dale (2003: 64) advocates that the logical framework should contain more stages, arguing that logframes should reflect the views of different actors and that more logframe stages would increase the likelihood of theory being described in tangible and observable terms.

In a far more comprehensive revision of standard LFA, the '3D-Logframe' is proposed by Crawford & Bryce (2003: 368), due to what they perceive as weaknesses of the original LFA format in the monitoring and evaluation of projects. Furthermore, the absence of a time dimension leads Crawford & Bryce (2003: 368) to conclude that LFA is inappropriate for use beyond the design phase. Thus, the 3D-Logframe includes a project timeline in a redesigned method which is described by Crawford & Bryce (2003: 368) as:

[A] dynamic tool to capture the reality of evolving implementation strategy and lessons learned.

The frontal (the 'Project Planner's View') and rear (the 'Project Manager's View') perspectives and the base of the 3D-Logframe (project timeline) are displayed in Appendices 8, 9 and 10, and represent a clear attempt by the 3D-Logframe to incorporate traditional project management activity scheduling information into LFA. Thus, Crawford and Bryce (2003: 371) believe that the 3D-Logframe will enhance project performance through '*the supply of relevant and timely data to support informed management systems*'.

Since the purpose of the 3-D Logframe is to improve the suitability of LFA for project execution, the reasoning behind the method's design is representative of the argument made in this section that standard LFA does not provide a complete solution to the management of the project life cycle.

2.3.3 LFA as a Participatory Approach

Although early applications of LFA focused on the use of the tool in blueprint projects (Wield, 2003: 183), more recently the approach has been used in process projects incorporating the participation of local people and project beneficiaries as stakeholders (Fujita, 2010: 2). Despite this, the informing literature pays little attention to the participatory use of LFA, and when the subject is addressed by authors it is often to critique the potentials of LFA for participatory process projects. For example, the vocabulary used in LFA and the fact that local communities are termed as “target groups”, transmitting the notion of passivism rather than participation, are among the aspects of LFA which have been criticised for deterring the involvement of local people (Aune: 2003:217).

Target groups are representative of the thinking embodied by top-down implementation (Meyer & Singh, 2003: 240), which has been superseded by notions that the poor are ‘*active agents*’ in improving their own conditions (Endberg-Pedersen & Webster, 2002: 255), and ‘*claim holders*’ of rights to which they are entitled (Jonsson, 2005: 50).

Despite the above concerns, it has been observed that LFA improves communication among project stakeholders, between donor and recipient as well as between decision makers and project managers, when it is used as an aid to negotiation and discussion in project planning (Gasper, 2000: 17, Mikkelsen, 2005: 45, Aune, 2003: 215).

Thus, it has been argued that LFA and participatory methods (namely PRA) can be combined in an approach to project management that would benefit from the strengths of each method, namely the structure of LFA and the perceived participation benefits achieved

by PRA (Aune, 2003: 218). In this approach LFA would provide the overall structure for project planning whilst PRA activities would be conducted to identify problems and issues within the local communities (Aune, 2003:218). Bell (2000: 30) concurs with Aune's argument, stating that:

LFA can be a participatory device for developing wider understandings about projects, and the inclusion of multiple views can help to build logframes which are full of new emergent ideas and clear about boundaries and scope and influence.

One of the few texts in the informing literature to address the participatory use of LFA discusses a different approach to that identified by Aune and Bell. Fujita (2010: 2) advocates the use of participation to reach consensus on the proposed intervention, with details subsequently being used to complete the logframe. However, while evidence shows that LFA and/or logframes are indeed completed in a participatory manner (Bakewell and Garbutt, 2005: 7), there is an absence of positive experiences or commentary in the informing literature. Instead, critique identifies a number of obstacles to the participatory use of LFA. For example, it has been argued that a time-consuming process involving the participation and consensus-building of many local stakeholders has the potential to increase the possibility of lock-frames (Fujita, 2010: 8, Bakewell and Garbutt, 2005: 7). As such, people are reluctant to change logframes due to the amount of work invested in their creation.

The present author is aligned with Bakewell and Garbutt's (2005: 18) argument that a middle ground does exist between the managerial approach of LFA and the participation of project beneficiaries. However, in order for this to be achieved it is necessary to overcome the concerns of many practitioners concerning LFA's conflict with the ideology of development (Aune: 2003:217).

Bakewell and Garbutt's (2005: 7-9) study of LFA identified three roles played by NGOs in LFA planning, namely 'NGO as a facilitator', 'NGO as a translator' and 'NGO as a

buffer'.⁶⁶ Bakewell and Garbutt argue that although 'NGO as a facilitator' scenarios involve participation for consensus-building and negotiation, 'NGO as a translator' scenarios see NGOs translating the results of existing [sometimes participatory] planning processes to fit the logical framework. Worse still is the 'buffer' scenario in which NGOs complete LFA for funding purposes but view the method negatively and shield beneficiaries/local people from LFA's activities. Bakewell and Garbutt's results indicate that the participatory nature of LFA is dependent on the spirit with which it is used by implementing NGOs. Thus, the method does not prohibit participation, but rather the way in which it is applied can be non-participatory.

One of the greatest perceived barriers to the use of LFA at local level is the criticism that project beneficiaries and local people do not understand the language and conceptual framework of the method (Wallace et al, 1997: 30). Being framed in the discussion of the potential of LFA to become an industry standard, studies performed by Wallace et al (1997: 30) and Bakewell and Garbutt (2005: 12) reach similar conclusions. The combined results of these two surveys show that while many development agency staff believe the universal use of LFA holds potential benefits, it is extremely difficult to convey the concept of LFA to local people and communities. This is based in the argument that LFA is alien to non-Western cultures (Bakewell and Garbutt, 2005: 12-13).

Thus, according to Wallace et al (1997: 30) LFA cannot be considered a '*genuinely participative approach*' due to an imposition of language on project beneficiaries. Such criticism of LFA reflects the wider debate concerning the imposition of knowledge on people in developing countries during development interventions, which in turn is linked to the issue of the 'imperialism of knowledge', as described by Bishop (1990: 55), with which colonial powers sought to control the knowledge of indigenous peoples:

⁶⁶ Bakewell and Garbutt (2005: 1-2) used a structured questionnaire followed up with telephone interviews to gather the opinions of 18 development actors including donors and NGOs in Europe and developing countries. The three major questions asked by the study were as follows:

- What is the current practice of using the LFA?
- What are the perceived strengths and weaknesses of the tool?
- What are the characteristics of different versions of the tool?

[T]he need was felt to educate indigenous people only in order to enable them to function adequately in the European-dominated trade, commercial and administrative structures which had been established.

While adherence to such colonial administrative structures no longer guides development activities, issues pertaining to power and knowledge remain. Building on the arguments of Michel Foucault, the early works of Said (1978) and Escobar (1984/85) argued that knowledge is framed in development by the construction of opposite relationships such as North/South and developed/under-developed (Kapoor, 2002: 112). In these relationships power is established by the former (North, developed), with the knowledge of the latter (South, under-developed) being of secondary importance.

However, development has moved away from the transfer-of-technology model to the market-liberal and neopopulist paradigms, which both favour indigenous knowledge, the former through its rejection of state intervention and the latter as a result of its promotion of participation and empowerment (Sillitoe, 1998: 224). Thus, PRA connects with this debate due to its reversal from etic to emic, which is from the knowledge, values and categories of outsiders to those of local insiders (Chambers, 1994A: 955, 199B: 1262).

As such, the reversals in PRA learning identified by Chambers (1997: 156-7), which include learning from local people and offsetting biases, seek to address the effects of imposed knowledge. Indeed, Chambers (1994B: 1255) confirms that PRA aims to value local as opposed to Western knowledge. This is described by Nakata et al (2012: 120/3) as the '*decolonialisation of Western knowledge and practices*', as indigenous peoples reject the imposition of colonial knowledge.

However, as argued by Mosse (1994: 516-7), even PRA activities can result in knowledge being shaped by the perceptions and practices of external facilitators who determine the '*ground rules*' for the relevance and acceptance of knowledge. Moreover, given the debate concerning imposed knowledge, outlined above, it is clear that any methodology brought to developing countries from a Western framework is likely to attract similar criticisms. Indeed, the only methodologies not susceptible to such critique would be those designed in developing countries without external assistance or interference. Since the PMA is in itself

a Western concept and approach to management, this means that any attempt to transpose project management on developing nations is subject to the same criticism attracted by LFA. Accordingly, the argument of cultural inappropriateness cannot be considered as unique to LFA.

2.3.4 Gaps in the Informing Literature Concerning LFA

In relation to the use of LFA as a tool for project management, the above discussion has shown that the informing literature is largely in agreement that LFA is a useful tool for the planning of development projects, and to some extent monitoring and evaluation, but provides little assistance to the execution of development projects. Given this evidence, the present text accepts the results of Bakewell and Garbutt's study (2005: 15), which showed that the view that LFA does not deliver improved project management was '*widespread*' among respondents.

Discussion remains largely mute concerning the use of LFA during project execution.⁶⁷ For example, although Ortengren (2004: 6) argues that LFA should be used during all phases of the project life cycle, the sole purpose of the updates suggested by Ortengren is to revise the logframe according to the project's progress. Furthermore, Ortengren (2004: 6) asserts that LFA is not an instrument for control, thus highlighting the method's lack of attention to project execution. It is here argued that this failure to address the critical PMA process of executing actually validates the critique of LFA as a top-down approach to development.

The characteristics of projects and the use of the PMA in many sectors and industries mean that this management science can be performed by two distinct sets of practitioners (Lock, 2000: 5). The first category contains professional project managers who, due to their experience, are able to select the correct tools to administer and manage their projects. The second category contains non-experts, who are engaged in the management of projects but

⁶⁷ A good example of this is provided by the 'Monitoring and Evaluation NEWS' website (<http://mande.co.uk>), which contains a library of documents relating to LFA. However, those documents constitute explanations and summaries of LFA and its tools, as well as sections for the discussion of logical models and critique of LFA. There is no section providing evidence or positive accounts of LFA implementation.

do not possess specialist experience. The present writer argues that it is the integrants of the second category who are likely to require a methodology or system with processes and tools for the management of the entire project life cycle.⁶⁸ As such, the gap in the informing literature relating to the use of LFA during project execution indicates an intention that management of this phase be performed only by professional project managers in LFA projects.

Thus, on the basis of this evidence it is here argued that local people and communities are excluded from participation in LFA project execution, a factor that reinforces the assessment of LFA as a top-down project management tool. As such, local people are not empowered to participate in the projects which may well affect their lives, and thus have no influence over the project's objectives, activities and expected results (Earle, 2002: 7).

Since it has been argued that this and other factors can often obstruct the use of LFA in participatory local development, this literary review will now examine the nature of participatory bottom-up development.

⁶⁸ For example the PRINCE2 project management system is a method designed for UK public sector projects that enables non-expert project managers such as line managers and department heads to perform project management activities with only a minimum of training (Office of Government Commerce, 2005: 1). PRINCE2 links project management techniques with components and processes to form a holistic system for project management (OGC, 2005: 4).

2.4 Participation in Development and Project Management

The term participation serves to describe a wide array of development and academic activities and is used in relation to many approaches and types of development work.⁶⁹ Oakley (1991: 23) remarks that it is impossible to write anything that has a universal meaning to all the forms and methods of participation, although Hickey and Mohan (2004: 4) describe participation as the exercise of popular agency in development. Through such agency, participants are seen as negotiating their own identities in the context of a learning process (Handley et al, 2006: 643).

Participation is tied not only to how the term and different practices of participation have evolved since the 1960s, but also to its significance to the different stakeholders in development.⁷⁰ Appendix 11 shows a typology of people's participation in development, from passive participation indicative of the 1960s, to forms of project participation such 'by consultation', 'for material incentives', 'functional' and 'interactive', and the self-mobilisation which is representative of current moves towards participation in policy making and governance (Mikkelsen, 2005: 57-8).

Whereas LFA has been associated with top-down development (Chambers, 1995: 212), participatory approaches such as Participatory Rural Appraisal (PRA) are frequently defined as bottom-up approaches due to processes of consultation focusing on the needs of local communities and project beneficiaries (Meyer & Singh, 2003: 240). Accordingly, bottom-up approaches are considered to be flexible and open-ended (Chambers, 1994A: 953, Power, Maury, and Maury, 2002: 275). In terms of project management, participatory approaches are associated with process projects due to such flexibility, which compares to the rigidity of blueprint approaches (Wield, 2003: 186).

Appendix 12 is a typology of people's interests in participation, and together with Appendix 11 demonstrates that as the concept of participation has developed, the

⁶⁹ Due to the existence of numerous participatory forms, Gujit and Shah (eds. 1998: 9) assert that participation is often *'ill-defined and meaningless'*.

⁷⁰ For example see: Cornwall and Brock (2005: 1046), and Mikkelsen (2005: 57-58).

responsibility afforded to local people in their contributions to development has increased. The typology of participation presented in Appendix 12 achieves some consensus within the literature, being also presented by Gaventa (1998: 157). Although there is no direct correlation between the typology in Appendix 11 and the forms of participation in Appendix 12, passive participation and information giving correspond to '*Nominal*' participation, participation for material incentives can be seen as '*Instrumental*' participation, interactive participation reflects '*Representative*' participation, and self-mobilisation is consistent with '*Transformative*' participation. All these categorisations serve to build on the interpretations of participation as '*Contributions*', '*Organisation*' and '*Empowering*' defined by Oakley (1991: 8-9).

From this perspective participatory interventions can be viewed as falling within a philosophical and operational spectrum, which ranges from the inclusion of local communities in a cursory manner, to the empowerment of local people in initiatives where they define and own the project (Oakley, 1991: 8-9).

The early forms of participation such as passive, participation in information giving, and consultation include a nominal participation by local people in development processes that are determined and controlled by external agents (Gaventa, 1998: 157). However, in the latter forms of functional and interactive participation and self-mobilisation, local people attain more of an ownership of the development process and acquire the ability to set their own agendas with regards to development initiatives (Mikkelsen, 2005: 59-60). The latter forms of participation can be seen as moving towards sustainable development as they address factors such as institution building and bottom-up organisational learning (Bamberger, 1988: 10, Power, Maury & Maury, 2002: 282, Wilson, 1994: 75, Dale, 2004: 182).

Whilst early forms of participation retain their validity as participatory methods, current development theory embraces those latter methods that seek to afford local people increased influence and responsibility in development work (Gready, & Ensor, 2005: 25). Endberg-Pedersen and Webster (2002: 258) argue that the poor should use political agency

to influence government policy, and to participate in the implementation of development projects and programmes. Such participatory processes are far removed from the participation in information giving and by consultation outlined in Appendix 11, and the nominal and instrumental forms of participation defined in Appendix 12.

Despite the popularity of participatory methods, a multi-faceted critique has emerged addressing the application and practice of participation (Cooke and Kothari, 2001: 5). That critique will be discussed in the following sections of this chapter as the issues of participatory development relating to this thesis are analysed.

2.4.1 Participation as a Means and an End

The observation that participation can be viewed as both a means of performing development work, and an end result of development activities was first made by Oakley (1991: 7). As such, participation is a tool used to attain success in development projects, but is also an outcome of a transformative process that seeks to empower local people. When used as a project tool, participation provides a means of allowing local people to achieve influence and representation in the development projects that affect their lives, whereas participation as an end focuses on the final objective of the inclusion of all in the development process.⁷¹

When participation is an end, an ideal participatory project is one in which local people are involved in a process that helps them not just to achieve a specific outcome, but also to develop skills and consciousness through their own endeavour and empowerment (Oakley, 1991: 9).

Although ‘participation as a means’ does not contain the same focus on empowerment as ‘participation as an end’, it still attempts to empower local people by enabling them to contribute to development projects and by increasing their practical experience of considering options and making decisions (White, 1996: 8-9).

⁷¹ See: Oakley (1991: 7), and Nilsson, & Woodford-Berger (2000, cited by Mikkelsen, 2005: 61).

Parfitt (2004: 544) argues that by propounding participation as an end for the empowerment of local communities, whilst at the same time packaging it as a means of attaining efficiency gains, proponents of participatory methods fall into the trap of ambiguity. Parfitt's critique implies that participation as a means is a form of passive participation aimed at increasing project effectiveness, thus concurring with Oakley's (1991: 8) earlier observation that participation as a means is a short-term process assisting in the '*achievement of predetermined targets*'.

Thus, 'participation as a means' activities have been separated from 'participation as an end' initiatives on the basis of empowerment objectives. Despite this, there is also doubt over whether participatory approaches do actually achieve the empowerment of local people and communities (Mikkelsen, 2005: 80). Cleaver (1999: 597) asserts that, although there is some small-scale evidence to support claims for the efficiency of participation:

[T]he evidence regarding empowerment and sustainability is more partial, tenuous and reliant on assertions of the rightness of the approach and process rather than convincing proof of outcomes.

In fact, the informing literature contains an extensive rebuttal of claims that participatory projects increase sustainability and empowerment. This critique is partly a reflection of the project versus process debate, which questions the compatibility of results-based projects and empowerment objectives (Parfitt, 2004: 549). Additional consensus is provided by Waddington and Mohan's (2004: 220) argument that sustainability is unlikely to be achieved without addressing wider issues of economic and political exclusion.

However, the majority of participatory projects fall between the two poles of participation as a means and participation as an end.⁷² As such, many projects contain a duality of goals and endeavour to combine empowerment with the achievement of project objectives and outcomes.

⁷² See Parfitt (2004: 540) and also Oakley's (1991: 7) earlier observation that many development projects include both participation '*as a means*' and '*as an end*', and as such '*as a means*' and '*as an end*' do not constitute discrete categories.

2.4.2 Participation and Project Management

The debate concerning exactly how participatory approaches should be used in development projects is highlighted by Craig and Porter's (1997: 229) claim that participation and effective management are deeply contradictory aims. Central to this critique is the perceived difficulty in coupling empowerment objectives with the project framework (Cleaver, 1999: 598).⁷³ As such, in what has been described as the effect of the '*activist framework*' upon the project (Kenny, 2002: 292), administrative activity is delayed by processes designed to encourage participation and empowerment. Conversely, in a non-participatory organisation administrative practices are free to be performed at the earliest and swiftest convenience of the managerial team (Kenny, 2002: 292).

Such hold-ups to project processes are representative of how participation has changed the management of development activities, from service delivery to people-centred approaches that encompass elements of empowerment and the learning organisation.⁷⁴

Additionally, it has been argued that in reality outsiders manage participatory projects with participants receiving only very restricted access to funds, and that development projects, professionals and organisations construct a framework for the control of project participants (Craig and Porter, 1997: 229). Such situations reflect the view that participation is used to legitimise the externally designed development project, rather than providing local people with decision-making powers (Waddington & Mohan, 2004: 220).

⁷³ Two earlier works identified this disjuncture between participatory processes and project management. Firstly, Bamberger (1988: 10) argued that the time-bounded nature of projects may serve to inhibit participatory activities, and that participatory approaches often increase the number of external administrative and management staff involved in the project. Secondly, Oakley (1991: 12, 273) identified administrative structures as a major obstacle to participation, arguing that:

Participation... demands a distinctive strategy and methodology and these are difficult to implement within the conventional project framework. Inevitably the predetermined objectives and the administrative and bureaucratic project demands frustrate the whole process.

⁷⁴ See: Holland, Brocklesby & Abugre (2004: 262).

The present writer argues that Craig and Porter's (1997: 229) critique of project management and participation is more pertinent to empowering participatory processes within the context of projects, rather than participation as a means of project management, demonstrated by Cleaver's (1999: 598) focus on empowerment and the project framework.

Thus, although the combination of participation with project management has received criticism in the informing literature, it is here argued that such critique juxtaposes empowerment objectives with the PMA, rather than providing a pragmatic analysis of the merits of participatory project management. As such, the following section will consider participatory local development and the project management potentials existing in locally managed development.

2.4.3 Participation and Local Development

Participatory local development is a practice that has been marginalised in the emerging literature, in favour of sector-wide programmes, budgetary support and rights-based development (Gaventa, 2004: 25, Mohan & Hickey, 2004: 59, Mander, 2005: 250-251).

In order to position participatory local development in the context of the discourse surrounding participation, the present writer will first note Guijt's (2008: 162-3) observation that '*People's participation in local development and service delivery initiatives*' is one of the six domains of Civil Society Participation (CSP).⁷⁵ It is in this context that local participatory development has been overshadowed by discourse concerning the wider issues embodied by the other CSP domains identified by Guijt. However, the Latin American trends identified by Biekart (2008) demonstrate the continued importance of participatory local development. Firstly, as will be verified by the original research results presented in Chapter Three, Biekart (2008: 71) identifies a general

⁷⁵ The other five domains are:

- Citizenship strengthening
- People's participation in Civil Society Organisation (CSO) governance, programming, monitoring and accountability
- Advocacy and structural change
- Citizen and CSO participation in economic life
- Trust, dignity, culture and identity

trend of withdrawal of aid from Latin America to poorer regions. Secondly, Biekart (2008: 76) argues that from the mid 1990s onwards there has been an emphasis on productive projects in Latin America. This second trend will again be verified by the evidence presented in the chapters pertaining to the original research of this thesis.

Guijt (2008: 162-3) identifies the aspect of '*establishing citizen-driven planning and management structures*' as central to local participatory development. Given the withdrawal of funding from Latin America, the present writer would agree that this activity is significant if initiatives such as the productive projects identified by Biekart are to flourish with reduced financial support. However, Cleaver's (2001: 42) critique of the limitations of participatory approaches to development criticises the creation of bureaucratic local organisations with an emphasis on participation through democratic representation. For Cleaver (2001: 53-4), such focus on local democratic organisations is representative of the practical application of participatory approaches. Cleaver's conclusion is that participation should move away from 'the nuts and bolts of development projects' to address wider issues.

Cleaver's work forms part of the 'Participation: The new tyranny?' critique of participatory development (Cooke & Kothari, eds. 2001). In response to that critique, proponents have argued that participatory planning be 'scaled-up' to move from the 'micro' to the 'meso' and 'macro' levels, and thus tackle wider regional and national issues (Hickey & Mohan, 2004: 4). In response to the tyranny critique, the collection of papers presented in the book "Participation: From Tyranny to Transformation?" (Hickey & Mohan, eds. 2004) to a large extent focuses on the redeployment of participatory practices away from community and local development. Thus, the 'Transformation' collection does not challenge Cleaver's critique of local participatory approaches.

However, the present writer would argue that the trend towards democratic representation in local organisations is actually representative of a wider trend in participatory practices in which democratic representation is used to secure citizen participation. Dagnino (2008: 56-7) labels the participation of civil society in public policies as the 'Participatory project', as

democratic CSP is used to perform functions and responsibilities previously assumed by the state. Accordingly, participatory budgeting and governance at local and regional levels have established participation not just as a right of citizenship (Henry, 2004: 140), but also a form of people's participation in the democratic system (Gaventa, 2004: 30). Such participation in formal government processes stands in contrast to the informal application of participatory diagnostics and planning methods in isolated projects and local communities by development practitioners (Williams, 2004: 92).

At this juncture, this work will examine how PMA and participation relate to and engage with three distinct but interlinking concepts in local development. These are rights-based approaches, decentralisation and ideas concerning 'participation as citizenship'.

Rights-based approaches view participation not as a component of project work, but rather a democratic process empowering poor people to address the root cause of their poverty (Gready & Ensor, 2005: 25). As such, during rights-based activities people actively participate in securing their human and social rights in order to achieve sustainability in the form of '*enduring justice*' (Mander, 2005: 243/250-1).

According to Molyneux and Lazar (2003: 6), the 1980s saw a shift from needs-based service delivery to a more strategic approach in which rights-based activities occupied a more prominent role in the work of international NGOs. Thus, rights-based approaches have sought to address the root causes of poverty rather than implement projects and activities aimed at improving conditions for local people.

Gready and Ensor (2005: 25) argue that inherent in rights-based approaches is the notion that components of development work such as participation and empowerment are '*reclaimed and repoliticized*' from being instruments of neoliberal service delivery to elements of the democratic process of securing rights. Moreover, Mander (2005: 236) argues that the service delivery approach has often '*reduced participatory methods to technical instruments rather than genuinely democratizing the control of impoverished people over decisions related to their own lives.*' Indeed, this critique of participatory

methods such as PRA from the perspective of rights-based approaches echoes aspects of the tyranny and transformation critiques of participatory methods.

Critique of the PMA as an element of service delivery is also a fundamental aspect of rights-based approaches. For example, in espousing CARE's rights-based work Jones (2005: 94) reflects that:

Each project is a self-contained unit, with its particular design, budget and reporting requirements. The project-based system of development aid breeds tubularity, with little space for synergy and broader, more strategic thinking across interventions.

This argument is consistent with the general critique of the PMA, and constitutes a fairly stereotypical analysis of projects as isolated, one-off, short-term inventions. However, as has already been discussed in this chapter, projects need not necessarily be implemented in this manner, with programme and portfolio management providing frameworks for the incorporation of projects into wider development strategies (PMI, 2009: 8-9).⁷⁶

Holland et al (2004: 262-3) juxtapose rights-based approaches with project planning and implementation by arguing that project management methods such as LFA constitute hard systems designed to implement linear sets of activities. Again, this view of project management is rather stereotypical, and fails to acknowledge that change control and management is a fundamental component of traditional project management (PMI, 2008: 93).

Rights-based approaches are firmly aligned to 'participation as citizenship', as the latter concept considers participation to be a political right (Holland et al, 2004: 253, Mohan and Hickey, 2004: 70). Gaventa (2004: 25) describes participation as citizenship as the linking of participation to democratic local governance, although the nature of participation is deeper than the mere selection of representatives. Thus, participation as citizenship requires participatory mechanisms in order to take participation beyond voting to participatory

⁷⁶ See Chapter Two, page 46.

governance, such as joint management and implementation of public services and fora for participatory planning (Gaventa, 2004: 30).

Participation as citizenship can be seen as a response to the critique of participatory methods, especially of those methods designed for the participation of people in local development projects. For Mohan and Hickey (2004: 59, 65-6) the lack of a theoretic framework has resulted in the '*depoliticization*' of participation. According to these authors, the necessary response to the critique of participatory development is to broaden participation to include aspects of governance. Accordingly, participation can be repositioned as a radical form of citizenship in which people contribute more fully to governance (Mohan and Hickey, 2004: 59, 65-6).

Thus, in contrast to the participation of people in local level development projects, participatory governance and participation as citizenship include the scaling-up of participatory methods in state-civic partnerships (Hickey and Mohan, 2004: 7-8). According to Boyte (2008: 121), participatory democracy and governance promote community and participation 'of the people' as the agents of development in civic-driven change. Thus, civil society is harnessed in the pursuit of participatory governance and the management of public services.

Decentralisation is linked to the above concepts as it attempts to bring decision-making closer to the people with citizen participation as a key element. (Work, 2002: 4). Decentralisation is defined by Work (2002: 4) as follows:

Decentralisation can be defined as the transfer of responsibility for planning, management and resource raising and allocation from the central government and its agencies to the lower levels of government. Decentralisation is closely linked to the concept of subsidiarity, which proposes that functions (or tasks) be devolved to the lowest level of social order that is capable of completing them.

Decentralisation has traditionally been motivated by two main arguments, that it can lead to increased efficiency, through being better placed to implement local development activities, and that it can result in improved governance, by enhancing accountability and monitoring

of processes, especially decision-making (Jütting et al, 2004: 8-9). Furthermore, decentralisation can be categorised into three broad types: political, administrative and fiscal (Work, 2002: 4/5). All three types of decentralisation can be linked to participatory governance, with political decentralisation transferring the power and authority to decentralised government, and fiscal decentralisation providing the financial resources for development activities (Work, 2002: 4/5). With these two types of decentralisation regional governments can change the local political framework and secure funding for governance activities such as participatory budgeting. Since administrative decentralisation is concerned with the transfer of the resources and responsibilities for public services, this type of decentralisation is the one most closely related to the PMA and participatory project management.

Given the definitions of projects and the PMA provided in Chapter One,⁷⁷ it is here argued that the delivery of public services will include at least some projects and/or programmes. Thus, potentials and opportunities will exist for participatory project management. However, from their analysis of three case studies in Ethiopia, Guinea and Mozambique, Bossuyt and Gould (2000: 5) suggest that local governments experience difficulties during the decentralisation process due to '*weak human, material and financial capacities.*' In accordance with these findings, it is clear that some regional governments do not possess the administrative capacities necessary to deliver decentralised public services, including projects.

In terms of participation, the three concepts discussed above, rights-based approaches, participation as citizenship and decentralisation, all relate to the participation of people in the democratic model. All seek to go beyond isolated local development projects and address wider issues through people's democratic participation, whether that be for the policy changes of rights-based approaches or contributions to regional development inherent in participation as citizenship and decentralisation. In terms of Oakley's (1991: 7) categorisation of participation 'as a means' and 'as an end', such participation in the democratic model is consistent with participation as a means of performing development

⁷⁷ See Chapter 1, pages 1-2.

work, although the informing literature often claims that the benefits of participation as an end development will also be achieved. For example, Gready and Ensor (2005: 25) and Akerkar (2005: 146) argue that participation in rights-based work leads to empowerment. Additionally, Mohan and Hickey (2004: 65) argue that through participation as citizenship the transformative forms of participation, along with benefits such as empowerment and emancipation can be achieved. Similarly, Jütting et al (2004: 12) argue that decentralisation can empower people at local level as they contribute to participatory governance.

However, the present writer would argue that the extent to which people's participation in the activities of rights-based approaches, as citizenship and in decentralised development secures 'as an end' benefits such as empowerment and emancipation is debatable. There is little evidence in the reviewed literature to suggest that these forms of participation are necessarily superior in terms of achieving empowerment than those local development projects with participation 'as an end' goals. Rather, the contexts within which participatory decentralised democracy, 'participation as citizenship' and participation in rights-based approaches are used are viewed as transformative. Furthermore, in the context of rights-based approaches, Akerkar (2005: 146) interprets empowerment as '*enabling the poor to gain and keep control over the development process.*' This interpretation is consistent with the argument made in this work that empowerment will be achieved by beneficiaries and local people when they are able to participate in and manage the entire project management life cycle. Accordingly, the potential still exists for local development projects to encourage the type of participation and self-management necessary to empower beneficiaries and local people.

In relation to project management, it is clear that the concepts of rights-based work and participation as citizenship are representative of moves away from isolated local projects and towards the up-scaling of development work. Indeed, the use of the PMA in participatory local development can be considered as opposite or even contradictory to rights-based approaches and participation as citizenship. This is due to the fact that the PMA is tied to the service delivery approach whereas rights-based approaches and

participation as citizenship seek to use democratic system as a means of achieving enduring political changes (Gready and Ensor, 2005: 25).

Nevertheless, given the definition of project and process management provided in this text,⁷⁸ this work has argued that such shifts in development activity do not replace the need for local project management. Accordingly, despite moves away from local participatory development, it remains pertinent to consider the participation of local people and beneficiaries in the project life cycle, and the potentials for the self-management of development projects by local people.

One of the aspects of ‘transformative participation’, as displayed in Appendix 12, is the empowerment of local people to take their own action. In terms of local participatory development, the present writer argues that this includes the ability of local people to take control of the planning and execution of their own economic and social development initiatives.

This coincides with White’s (1996: 8-9) view of the transformative participatory process in which people are empowered to take their own decisions and collective action, gaining confidence through their participation. The argument provided by White and the attributes of transformative participation, outlined in Appendix 12, underline the importance of those participatory methods that facilitate local responsibility and influence as opposed to the participation of local people in projects defined or controlled by external agents.

Accordingly, the question here addressed concerning participatory local development is how the participation of local people in development initiatives can be augmented in order to finally achieve the self-management of development initiatives by local people. Furthermore, it is argued that such an augmentation in people’s participation will provide those people with increased knowledge and experience to perform further initiatives. This new knowledge feeds into the knowledge-action-experience cycle (Ensor, 2005: 270). Through each new completion of the knowledge-action-experience cycle participants are

⁷⁸ See Chapter One, pages 1-2.

'learning by doing' and increasing their knowledge through experiences in problem-solving (Ensor, 2005: 270). The two themes of sustainability and institutionalisation will now be discussed in this context.

In trying to define sustainability and sustainable development, it is noted that these concepts have a wide range of meanings, including environmental connotations, continued benefit flows to local communities, long-term development project viability and institutional sustainability (Johnson & Wilson, 1999: 44). However, in the context of this thesis, which focuses on the augmentation of participation and self-management of development projects by beneficiaries and local people, the following definition of sustainability by Buckland (1998: 237) is considered to be the most appropriate:

[T]he ability acquired and held by communities over time, to initiate and control development, thus enabling communities to participate more effectively in their own destiny.

The above definition identifies the capacity of local communities to take control of their own development initiatives, which in terms of project management, is closely aligned to the arguments contained within this chapter. Indeed, one of the characteristics of sustainability, as defined by Johnson and Wilson (1999: 46), is the increasing self-reliance of local communities in projects that have a potential to be self-supporting. Endberg-Pedersen and Webber (2002: 255) acknowledge that the need for beneficiaries to participate in development projects is a contentious issue, but argue that:

The poor are not victims, but active agents in securing their own livelihoods...the poor are constantly seeking to manoeuvre within given conditions and to generate room for profitable activities.

This statement concurs with assessments of project sustainability in terms of poverty alleviation, as a situation in which the poor's independence is a factor in increasing their economic and social well-being (Pal, 1998: 457). Pal (1998: 457) argues that this means the project needs to eventually function without outside assistance, transferring project management to a local group or agency. In addition to elements such as planning, training, funding and the motivation of local people, another factor in achieving this transfer is the

quality and effectiveness of project implementation/execution processes (Johnson et al, 2004: 145).

Thus, the evidence presented above suggests that the sustainability of participatory local development projects is in part reliant on the extent of local ownership and management of those initiatives. As a logical result of this assertion it is necessary to consider the potential for local organisations to effectively combine participatory processes and the management of activities.

The institutionalisation of participatory methods in local organisations has received significant attention in the informing literature. Moves to institutionalise participation commenced in the 1980s due to growing concerns over the sustainability of participatory development interventions (Mikkelsen, 2005: 61). Such moves were made in consideration of the fact that participation had been externally initiated, and that the sustainability of participatory processes is dependent on their institutionalisation at national and local levels (Mikkelsen, 2005: 61).

Proponents of institutional change contend that participatory organisations should be '*learning organisations*', concerned less with physical outputs and more with processes and capacity building.⁷⁹ As such, methods and procedures that facilitate bottom-up organisational learning and promote the sustainability of autonomous grassroots organisations are advocated by Power, Maury & Maury (2002: 279).

The current writer would accept Blackburn, Chambers and Gaventa's (1999: 11) argument that attitudes and behaviour of an organisation's integrants are key factors if participatory approaches are to be effectively institutionalised. As such, the success of the institutionalisation of participation is as much dependent on the behaviour of people within the organisation as it is on the processes and methods used to facilitate participatory practices within that organisation.

⁷⁹ See: Parfitt (2004: 549) and Power, Maury & Maury (2002: 275).

Furthermore, Blackburn, Chambers and Gaventa (1999: 1) argue in favour of the mainstreaming and '*scaling out*' of participation so that it is fully incorporated into the working practices of development organisations. In terms of the '*scaling out*' of local participation in project management activities, the challenge for participatory approaches is to address all the phases of the project life cycle. The evidence presented in section 2.5 will show that the PMA process of 'Executing' has hitherto been omitted from participatory approaches such as PRA. The author's hypothesis in relation to this argument is that participatory project execution processes are necessary in order to scale-out local participation to include the entire project management life cycle. However, before PRA is discussed in more detail the next section will consider the nature of existing political structures and power relations in local settings.

2.4.4 Participatory Development and Local Capacities and Power

Two further issues linked to local participatory development are the capacities of local people and local organisations to participate in both the development projects of external agencies and in the activities associated with participatory governance, and the power relations between local people. This section will examine these issues and discuss their potential effects on participatory project management and citizen participation in decentralised local government development.

In terms of local capacities, the work of Engberg-Pedersen and Webster (2002: 8) indicates that such capacities are tied to the political spaces in which local organisations operate. Engberg-Pedersen and Webster (2002: 8) define political spaces as '*the types and range of possibilities present for pursuing poverty reduction by the poor or on behalf of the poor by local organisations.*' These include institutional channels, political discourses and social and political practices. Furthermore, Törnquist (2002) argues that when considering local democracy it is important to focus on people's capacities and opportunities and how these can be improved to promote a fuller participation in democratisation. Thus, local capacities are a key factor in the ability of local people to participate sustainably in local development and governance activities (Helling et al (2005: 11/15).

Despite this, evident in the literature is a critique of what is seen as a failure of previous development interventions to build the capacities of local people and organisations. For example, Wijayaratna, (2004: 40) argues that the service delivery approach to development has failed to incorporate mechanisms for local ownership of programmes, resulting in a negative effect on local capacities. As such, this section will now move on to analyse the contexts in which capacity building activities take place.

Helling et al (2005: i) identify three approaches to local development, 'decentralised sectoral', 'local government', and 'community support approaches'.⁸⁰ Furthermore, these authors argue that these three approaches often overlap due to an emphasis on many common principles such as empowerment of the poor and marginalised, responsiveness to the demand of beneficiaries, autonomy of local institutions and enhancement of local capacities.

Although definitions of capacity building/enhancement differ considerably, the following definition provided by Helling et al (2005: 8) effectively identifies the end purpose of such activity to be the further involvement of people in development and governance activities:

Capacity enhancement includes establishing and strengthening the local institutions through which people and communities participate in governance, service provision, and economic activity. (Bold type in original)

Uphoff (2004: 81) argues that in order to build capacities it is necessary to focus on decision-making roles and processes, resource mobilisation and management, communication and coordination, and conflict resolution. Furthermore, Uphoff (2004: 81) argues that to be successful approaches to building local capacities must ensure that local levels assume operational roles and are responsible for implementation, which leads to self-reliance in local institutions.

⁸⁰ 'Decentralised sectoral' local development focuses on specialised and autonomous local organisations, 'Local government' focuses on political and administrative institutions, and 'Community support approaches' focus on community-driven development initiatives that '*emphasize community organizations as institutions of collective action.*' (Helling et al, 2005: i).

In relation to project management, this indicates that beneficiaries and local people should be able to assume responsibility for the operational management of the entire project life cycle. However, Kaplan (2000: 521) argues that processes of organisational change are 'contradictory, ambiguous and obtuse' and are only improved over a long-term basis. This argument reflects the tensions discussed earlier surrounding project versus process management. Nevertheless, whereas Kaplan's argument is valid for general institutional capacities, the present writer would argue that activities focused on specific competencies, such as project management, are more able to produce short-term improvements in those competencies. As such, project management is just one area of organisational capacity and can be targeted in isolation from other competencies associated with process management, such as yearly financial accounting and ongoing administration activities.

A second issue influencing local participatory development concerns the nature of power relations in local settings. Inherent to PRA is the notion that the application of the method's menu of participatory tools will lead to a reversal in local power relations. Through his identification of 'uppers' and 'lowers' Chambers (1997: 106) acknowledges the existence of power relations in local settings. Furthermore, Chambers (1994C: 1445) recognises that such power relations result in a natural tendency for the 'uppers' in a development setting to participate more fully in PRA activities and thus receive the benefits of participation such as empowerment. However, Chambers (1997: 146-154) claims that the reversals that are so important to the PRA philosophy, such as 'from verbal to visual' and from 'higher to lower' (referring to the mediums of expression and physical position of tools for recording PRA data), can restore balance to local power relations and provide the most vulnerable people with a means of having their voices and opinions heard.

Nevertheless, Chambers in particular and participatory methods in general have been largely criticised for oversimplifying power relations in local settings. For example, Mosse (2001: 16/32) challenges Chambers' categorisation of 'uppers' and 'lowers', arguing that such classifications deny local realities, impose simplified realities on local people, and therefore '*do not speak directly to local practice*'.

Mosse (2001: 17) and Kothari (2001: 141) agree that local knowledge is shaped by local relations of power, authority and gender. Moreover, Kothari (2001: 141) argues that power is everywhere and is evident in the social norms and practices of society:

[k]nowledge is culturally, socially and politically produced and is continuously reformulated as a powerful normative construct. Knowledge is thus an accumulation of social norms, rituals and practices that, far from being constructed in isolation from power relations, is embedded in them (or against them).

As such the above authors refute that PRA is able to address power relations in local settings by the reversals inherent in its practice. Furthermore, it is here argued that other approaches to participatory project planning, implementation and evaluation will be similarly susceptible to similar issues concerning the effects of local power relations on the construction of local knowledge.

While the above criticisms relate to PRA's attempts to enable 'lowers' to create and present local knowledge, other writers focus their critique on the perceived simplification of power relations in local settings represented by the portrayal of 'uppers' and 'lowers'. Masaki's (2004: 131/136) case study of Majuwa village in Western Nepal highlights what Masaki calls a '*duality of structure*', as local politics served to both subjugate people to an unjust exercise of power but also provided the political structure within which existing norms could be challenged. Masaki (2004: 136) links this phenomenon to the Foucauldian concept of 'disciplinary power', as a constraining framework also provides the means by which local politics can be renegotiated.

Masaki's analysis focuses on the potential of existing local political structures for the pursuit of democratic change, thus linking with Törnquist & Stokke's (2001: 6-7) discussion of the affects of the exploitation of local political structures by practices based in bossism and clientelism.⁸¹ Törnquist & Stokke (2001: 6-7) argue that these phenomena

⁸¹ Bossism and clientelism are political phenomena. Although subject to subtle variations, bossism occurs when a political party is dominated or controlled by party managers (See: Sidel, 2011). Clientelism involves systems of patronage in which votes are exchanged for favours or material advantages (See: Brinkerhoff & Goldsmith, 2002: 4).

usually result in negative consequences for the local political system as clientelist and bossist politicians:

[o]nly follow the pathways and principles when this is opportune, while sometimes undermining them, often bypassing them, rarely improving them, and seldom enhancing citizens' capacity to use them.

The above issues concerning local government have connotations for the participation of local people in democratic local government. Both Masaki's work on 'disciplinary power' and Törnquist & Stokke's analysis of bossism and clientelism demonstrate that the local political structures and systems within which people participate can be imperfect. It is here argued that within such systems participatory practices with ideological goals such as empowerment and confidence-building can be compromised.

The aspect tying the work of all the above authors together is the potential for manipulation of local politics and/or local organisations by local actors. In terms of the three approaches to local development identified by Helling et al (2005: i), bossism and clientelism are most relevant to the 'local government' approach. However, the unequal power relations in local settings, such as between Chambers' uppers and lowers, are likely to affect the 'decentralised sectoral' and 'community support' approaches. Local development organisations are at the centre of both these approaches, and as such the potential exists for 'uppers', or people with relative power, to influence development work in the same way local knowledge can reflect local power during PRA activities.

Thus, both decentralised local governance and local development projects implemented or facilitated by outside agencies such as international NGOs can be influenced by local power relations. Overall, this section's analysis of local capacities and power relations has highlighted that local contexts influence the performance of development activities. The nature of existing political structures, power relations and local capacities affects the potential for local people to effectively participate in decentralised participatory governance. Moreover, these issues will also impact upon local development activities such as participatory project management. In the context of these issues with local participatory

development, the next section will move on to consider PRA and participatory methods in more detail.

2.5 PRA and Participatory Methods

Participatory Rural Appraisal (PRA) is the participatory approach that has not only been the most associated with local participatory development and project management, but also the most scrutinised and vilified in the backlash against participation (Hickey & Mohan, 2004: 4-5, Waddington & Mohan, 2004: 220). PRA is described by Robert Chambers (1994A: 953) as:

An approach and methods for learning about rural life and conditions from, with and by rural people

This definition effectively highlights that local people are central to PRA's analysis and appraisal processes. However, it is also a very broad definition which is here supplemented by noting that the approach consists of the three 'pillars' of 'methods', 'sharing' and 'behaviour and attitudes', which are displayed in Appendix 13. PRA's methods are the 'menu' of tools and techniques employed to gather information and opinions from local people (Chambers, 1994A: 959). The pillar of 'behaviour and attitudes' concerns the mindset and conduct required of facilitators when using PRA tools, and 'sharing' outlines the philosophies underpinning the PRA approach (Chambers, 1997: 105). Thus, the menu of PRA methods is used to collect and analyse data and information pertaining to the problems and possible solutions in development settings (Mikkelsen, 2005: 63-4).

Along with other research disciplines and methodologies,⁸² PRA has evolved from the use of the Rapid Rural Appraisal (RRA) technique for the gathering of information and data in rural settings (White & Taket, 1997: 526).

The ensuing discussion of PRA will to a large extent focus on the approach's use as a project management tool. Before embarking on that discussion, the present writer first notes that PRA has a variety of other uses including participatory budgeting, participatory

⁸² Chambers (1994A: 954, and 1997: 106) claims that PRA has evolved from the five streams of 'Rapid Rural Appraisal', 'Applied Anthropology', 'Activist Participatory Research', 'Agro ecosystem Analysis' and 'Farming Systems Field Research'.

management, and advocacy (Mikkelsen, 2005: 116-122). Whatever the nature or sector of application, PRA has been viewed as a way of validating local knowledge and empowering local people (Francis, 2001: 76).

The 1990s saw an expansion in the menu of PRA tools and methods and growth in the approach's use by development practitioners (Bevan, 2000: 752, Cornwall & Pratt, 2003: 38). Chambers (2002, cited by Mikkelsen, 2005: 68) estimates that the amount of PRA and PLA (Participatory Learning and Action) activity increased ten-fold between 1997 and 2002. However, much of the critique of participatory approaches has focused on PRA (Hickey & Mohan, 2004: 11), and whilst 'participation' (with PRA at the fore) has been described as the new orthodoxy, application of PRA became more cautious in the 00s (Cornwall & Pratt, 2003: 39). As such, the orthodoxy of PRA has meant that it has become, like LFA, a required method in many development projects. Just as LFA has been used solely to satisfy the requirements of donors, so PRA is being used in order to satisfy calls for participation and empowerment (Mikkelsen, 2005: 68, Gasper, 2000: 21).

Proponents of PRA claim that the approach harnesses the benefits associated with bottom-up development such as the development of local capacities and empowerment (Motteux et al, 1999: 271). Chambers (1997: 103) asserts that use of PRA methods by skilled facilitators enables local people to analyse, plan and implement their local projects using their own, previously untapped, knowledge and capabilities:

Outsiders do not transfer technology; they share methods which local people can use for their own appraisal, analysis, planning, action, monitoring and evaluation.

While Chambers does not explicitly state that self-management by local people of development projects is a goal of PRA, the above quotation is just one example of how he alludes to such an end. Additional evidence for the above can be found in Chambers' claims that local people have astounded themselves with their ability to perform any task, and that local people make good PRA facilitators, which in turn enhances the sustainability of development projects (Chambers, 1997: 103).

The prevalence of PRA is demonstrated by the many offspring methodologies that have been designed throughout the world. In Ecuador alone, there are at least five recreations of PRA for rural development (Ramon Valarezo, & Torres Davila, 2004: 197).⁸³

Due to their philosophy of methodological pluralism and using best judgement in individual circumstances in preference to formalisation and standard procedures (Chambers, 1994C: 1450), participatory methods including PRA have been described as an antidote to logical planning approaches such as LFA (Wallace et al, 1997: 28). This argument is made from the perspective that LFA is a top-down blueprint approach which does not encourage the participation of beneficiaries/local people. However, this work does not accept that LFA cannot be used in conjunction with beneficiary/local participation, instead arguing that the participatory nature of LFA depends upon the manner in which it is applied. Additionally, the mainstreaming of PRA coupled with its linear prioritisation of project-based tasks has led to the scrutiny of this position and the argument that the two approaches no longer occupy an opposite juxtaposition (Hickey & Mohan, 2004: 4).

In terms of the possibilities that exist for the increased participation of local people in local development leading finally to self-management of development initiatives and projects, the present writer disputes whether this can be achieved by using the PRA methodology. This analysis will be discussed in the following sections.

2.5.1 The Role of the Facilitator in PRA

A major aspect of the critique of PRA concerns the bad practice that has been associated with PRA application, including the method's use in a hurried fashion and the standardisation of practices (Chambers, 1997: 185-186, Chambers, 1994C: 1441, Cornwall

⁸³ These are: '*Planeamiento Andino Comunitario*' (PAC, Andean Community Planning), '*Guía para la Formulación del Planamiento Andino Comunitario*' (Guide for the formulation of Andean Community planning), '*Manual de Revitalización Cultural*' (Manual of cultural revitalisation), '*Sondeo Rural Participativo*' (SRP, Participatory Rural Enquiry), and '*Planificación Comunitaria Participativa*' (PCP, Participatory Community Planning). The most prominent of these is PAC (Andean Community Planning), which was highly utilised by indigenous communities and local NGOs during the 1990s (Ramon Valarezo, & Torres Davila, 2004: 197).

& Pratt, 2003: 40). These two problems with the application of PRA have been termed as 'rigid versus sloppy practice', and highlight the skill required in order to perform a thorough yet flexible application of PRA (Cornwall and Pratt, 2003: 40).

The urge to produce manuals for PRA practice is strongly opposed by Chambers (1997: 186-7), as is the routine application of PRA techniques in a specific order. However, without such standardisation, the importance of the facilitator's ability to apply PRA methods skilfully and creatively is an essential factor in the success of PRA initiatives (Parfitt, 2004: 549). Chambers (1997: 131) remarks that '*gifted facilitators have delighted in the lack of a blueprint*'.

Despite this, not all practitioners of PRA have proven themselves to be gifted (Mikkelsen, 2005: 80). Whilst Chambers (1997: 186) focuses on the need for adequate training, Appleton and Booth (2005: 127) contend that such training has often not produced the desired effects:

The worry is not that PRA techniques are inferior in principle, but that in practice they are not always well applied. There is abundant evidence to justify this concern, at least in the context of the routine use of PRA as a Project Management tool

Furthermore, the role of the PRA facilitator has been scrutinised by a number of writers, who have likened the facilitator to an evangelical priest (Kapoor, 2005: 1207), and a shaman (Francis, 2001: 80). These emotional terms cast PRA as a form of quasi-religious experience presided over by an all-powerful facilitator (Kapoor, 2005: 1207).

While this critique contains an element of the stereotypical, it does serve to highlight ambiguities existing in PRA philosophy. Despite Chambers' claims that local people can accomplish anything, the lack of procedures and manuals means that their achievements are largely dependent on the external facilitator (Vincent, 2004: 113). It is here argued that the mysticism surrounding PRA is partly due to a lack of procedures and processes for the management of participatory project execution, a factor to be discussed in the next section.

2.5.2 PRA Philosophy: An Ad-hoc Approach

Although the critique of PRA covers many facets of the method, the element which the present writer identifies as central to the theme of this work concerns Robert Chambers' insistence that PRA be applied on a bespoke basis without manuals (Chambers, 1997: 186). Thus, PRA's philosophy incorporates the notion of flexibility according to individual circumstances, and simultaneously a rebuttal of routine and standardisation (Chambers, 1997: 186).

Together, the numerous PRA methods used to analyse the parameters of 'Space', 'Time' and 'Relations'⁸⁴ represent a toolkit to be used by PRA facilitators and communities in workshop environments for data collection, the analysis of situations, choice of strategies and project planning (Mikkelsen, 2005: 66, Chambers, 1994A: 959-961). Chambers warns that these methods should represent a menu rather than a manual and that the selection of methods to be used should differ according to the context and specific requirements of local people (Chambers, 1994A: 959). Chambers' aversion to standardisation stems from his own criticism of hard systems for attempting to measure and standardise things (Chambers, 1997: 170).

Although this approach may constitute the ideal way in which to execute PRA activities, it has also attracted critique based on PRA's rejection of standards and routine. On this topic Kapoor's (2005) extensive critique of PRA becomes most pertinent to the current text, as it addresses the absence of standards, norms and manuals for performance of PRA activities. Kapoor (2002: 106) argues that PRA's lack of formality and standard procedures can induce doubt and mistrust in local communities. Thus, the absence of manuals or texts outlining the processes and procedures that will be followed adds to the mysticism of PRA's quasi-religious experience (Kapoor, 2005: 1207). Based on the prevalence of manuals and guides discussed earlier, it is evident that, in the Ecuadorean context at least, the authors of other participatory methodologies do not share Chambers' aversion to manualisation.

⁸⁴ A full list of space, time and relational PRA methods is displayed in Appendix 14.

For example, the Ecuadorean methodology *Planeamiento Andino Comunitario* (PAC, Andean Community Planning), an offspring of PRA, is accompanied by a manual that structures the workshop phases of investigation and self-reflection, and synthesis and analysis (Ramon Valarezo, 1995). PAC's system of standardised documentation is allied to the documentation structure of the European Commission's Project Cycle Management (PCM, Ahonen, 1999: 98).

While it continues to resist standardisation, PRA will attract accusations of ambiguity, but this does not in itself prove that the ideal of flexibility without standardisation is wrong. The present text is most concerned with the ramifications for participatory project management and local ownership, and accordingly argues that the lack of manuals and standards results in a dependency on an experienced, and often external, facilitator. The issues concerning PRA and participatory project management will now be discussed in more detail.

2.5.3 PRA and Project Management

Through a greater repertoire of tools and techniques, PRA builds on the data collection and appraisal methods of RRA to facilitate the project planning process, and arguably project monitoring and evaluation (White & Taket, 1997: 526). For this reason PRA has been associated with the management of development projects, whereas RRA is considered as appropriate solely for project appraisal (White & Taket, 1997: 526).

According to Chambers (1994C: 1448, 1997: 114), the PRA tools and techniques used in problem identification and planning can be used throughout the life cycle of the project for the purposes of execution, monitoring and evaluation. This view is supported by the International Fund for Agricultural Development (IFAD), the Coalition for Agrarian Reform and Rural Development (ANGROC) and the International Institute for Rural Reconstruction (IIRR) (2003: 60), who claim that:

PRA has the potential of being used for participatory project formulation, planning, implementation, monitoring and evaluation. In this sense PRA can be used for

participatory project management. This process can be done with just one PRA tool or with a series of PRA tools that can be used in the entire project cycle.

IFAD, ANGROC and IIRR provide an analysis of which participatory tools promote learning at each stage of the project life cycle, displayed in Appendix 15. IFAD, ANGROC and IIRR also claim that it is possible to match the different PRA tools to each step of the project life cycle, as depicted in Appendix 16. In effect, Appendices 15 and 16 represent a guide for the participatory management of the project life cycle. However, whilst there are fifteen participatory tools listed as relevant for situation analysis, thirteen for planning, twelve for monitoring and thirteen for evaluation, there are only five tools relevant to project implementation/execution. Of those five tools, the project planning matrix is a classic logical planning approach method, and the Gantt chart is a traditional project management tool. As such, only group discussion, joint field visits and brainstorming remain as participatory tools relevant to the execution phase of the project life cycle.

Despite arguing that PRA tools such as Venn diagramming, livelihood profiles and social and resource mapping can be applied to project monitoring and evaluation as well as appraisal and planning, IFAD, ANGROC and IIRR (2003: 67) assert that:

PRA is not a stand-alone methodology. It is never an end in itself because it is always serving some other purpose. It has to be part of a systematic approach that is applied to achieving a broader development objective.

In consideration of PRA's deficit of tools for the management of project execution, the present writer would agree with the above analysis by IFAD, ANGROC and IIRR. Proponents of PRA argue that participatory monitoring and evaluation processes build local ownership of interventions, and thus help to create sustainable development, as they enable local people to contribute to the monitoring and evaluation of projects as well as to appraisal and planning (Blackburn, Chambers and Gaventa, 1999: 17). However, Blackburn and Holland (1998: 169)⁸⁵ concede that:

⁸⁵ IDS WORKSHOP, Chapter 20 'Towards a Learning Organization: making developmental agencies more participatory from the inside', pages 145-172.

[W]e are still a long way from understanding how to devise appropriate mechanisms to sustain participation in the difficult and often arduous processes of negotiation, and resulting conflicts of interest, which invariably arise in the day-to-day management of a project. We also need to learn more about how best to build up local or popular organizations to ensure that 'projects' are as much theirs as ours.

Whilst many writers argue that target populations, local people and project beneficiaries should be involved in development processes beyond planning and appraisal;⁸⁶ agreement is yet to be reached concerning the methods required to facilitate this involvement (Blackburn and Holland, 1998: 169). As such, the challenge facing participatory methods is to address further stages of the project life cycle. According to Blackburn and Holland (1998: 169), in order to achieve the '*scaling out*' of participation to include project execution, participation must be effectively combined with the need to control time and resources. The end result of such scaling out is that participants become the people responsible for balancing participation and empowerment with the conventional project management goals of efficiency and effectiveness (Blackburn and Holland, 1998: 169).

A major aspect of PRA empowerment is the notion of 'handing over the stick', whereby facilitators relinquish control of PRA activities to members of the local community (Chambers, 1997: 191-193). It is here argued that the absence of guidance on how such projects can be managed through the execution phase of the project life cycle effectively excludes local participation in this key phase of project management.

As such, the potential for PRA to encourage local ownership through stakeholder responsibility (Aune, 2003: 216), would appear to be flawed. If local ownership of development projects is essential in the progression towards sustainable development, then this claim is important. However, local ownership of development projects would be further strengthened by tools that enable local people to manage a project throughout its life cycle, including the phase of execution. This point is acknowledged by Blackburn, Chambers and Gaventa (1999: 8) in their analysis of the Indian Himalayan Doon Valley project, their findings showing that although participatory methods were used during project planning, facilitators were not able to apply such approaches during further stages of the

⁸⁶ Dale (2004: 187), Power, Maury and Maury (2002: 277), Blackburn, Chambers and Gaventa (1999:17).

project/programme life cycle. The conclusion of these authors is that PRA must be used throughout the entire project life cycle, or those involved in the participatory process are liable to become disillusioned (Blackburn, Chambers and Gaventa, 1999: 8).

Thus, while participatory methods now address the further project life cycle stages of monitoring and evaluation, an absence of processes for project execution underlines IFAD, ANGROC and IIRR's (2003: 67) claim that PRA cannot be viewed as a stand-alone methodology for the management of development projects.

A study performed by Mantel et al (2001: 229) demonstrated that one of the greatest challenges to successful project management is the resolution of problems encountered during the execution phase of the project cycle.⁸⁷ Since PRA provides little guidance as to how projects should be managed during the execution phase, it cannot be considered as a complete methodology for development project management.

2.5.4 PRA's Methodological gaps between Theory and Practice

In the context of social development projects, participatory approaches have become mainstream methods for the inclusion of local people and communities in project appraisal and planning activities (Mikkelsen, 2005: 68). However, critique of the approach has often focused on differences between the theory of PRA and the reality of PRA practice. For example, Mosse (2001: 16/32) argues that the notion espoused by PRA theory that local knowledge reverses top-down bureaucracy and redefines local development relationships is both simplified and wrong. Instead, local knowledge reflects local power structures rather than empowering the poorest or most vulnerable people in the development setting. Furthermore, participation is used to satisfy the concerns of donors and people external to the development location, and '*do not speak directly to local practice and provide little guide of implementation*' (Mosse, 2001: 32). This last point is important to the current text as it suggests that participation does not assist project execution.

⁸⁷ Mantel et al received input from over 500 project managers regarding the single most important problem facing the project manager. The resulting most common answer was the identification of changes to the project during the execution phase (Mantel et al, 2001: 229).

Robert Chambers (1997: 103) champions one of the discoveries of PRA as being the realisation that local people are capable of many things, arguing that it should be assumed that they can accomplish all activities until proven otherwise. The logical conclusion to this reasoning is that local people are capable of moving beyond participation to the autonomous design, management and evaluation of their own projects. Accordingly, as noted by Blackburn (1998: 169), this requires the need to consider how participation can be '*scaled out*' from planning and M&E, to include project execution.

PRA's rejection of guidelines, standard procedures and manuals (Chambers, 1997: 186) can however be viewed as prohibiting the autonomy of local organisations in the project management life cycle. The PRA toolbox contains a number of methods to encourage participation at various stages of the project life cycle, although far fewer for project execution, but provides no assistance or mechanisms for the management of the project life cycle (IFAD, ANGROC and IIRR, 2003: 67). PRA and other participatory approaches remain mute with regards to project control and corrective action. With the move to institutionalise participation, it has however been recognised that bottom-up learning and capacity building depend largely on local involvement in and learning from the entire project life cycle.⁸⁸

Participatory approaches can therefore be viewed as providing essential methods and philosophies for the inclusion of local people in projects to be performed in their own communities (Chambers, 1997: 103). Despite this, they do not represent stand-alone methodologies for the management of the development project life cycle, nor do they encourage the autonomous management of local projects by local organisations (IFAD, ANGROC and IIRR, 2003: 67). PRA does hold potential for project management, but the necessary guidelines and procedures required for the method to be considered to be a project management method are in direct conflict with its proponents' rigorous opposition to standardisation and routinisation.⁸⁹

⁸⁸ See: Power, Maury and Maury (2002: 277), and Blackburn, Chambers and Gaventa (1999: 17).

⁸⁹ See: Chambers (1994C: 186).

2.6 Literature Review Conclusions and Thesis Research Questions

The analysis of logical planning and participatory approaches has highlighted a gap in the literature concerning processes, techniques and methods for the execution and control of development projects. Whilst focusing primarily on project appraisal and planning, LFA remains mute as to how development projects should be executed, aside from providing an indicator structure for the monitoring and evaluation of the planned project.

Similarly, participatory techniques also focus on the planning of development interventions, and have been extended to include monitoring and evaluation activity. However, the literature concerning participatory techniques also excludes issues of project execution and control. Thus, one of the key themes to be explored by the original research pertaining to this thesis will focus on the actual management of project execution and the project life cycle by actors in Ecuadorean development.

Based on the hypothesis that the capacity of local people to manage the entire project life cycle is essential to local autonomy and the self-management of projects, the author's review of the informing literature leads to the conclusion that current methodologies don't do enough to support local project management. Accordingly, the original research will investigate the nature of local involvement in and management of the project life cycle.

In terms of participation, the literary review has highlighted the tension between 'participation as an end' development and the efficiency goals of project management. This tension is evident from the classifications of different types of projects and development work discussed in section 2.1. Not only has controversy surrounded the debate over project versus process/operational development, but also projects themselves have two distinct forms of application in the forms of blueprint and process projects. Similar tensions exist concerning the nature of LFA application, and the ability of participatory development to meet project management objectives.

Furthermore, the value of participation and the validity of claims related to the benefits of participatory development have led to scrutiny and critique. The present writer concludes that the connections between participatory development, the PMA and local management of development are far from resolved. On the basis of this conclusion, the original research will also investigate the reality of participation and project management in Ecuador, a country in which a significant number of initiatives are striving to achieve the local autonomous self-management of development projects.

Finally, while information pertaining to subjects such as project execution using LFA and PRA, and the participatory use of LFA is often sparse, there is even less attention given to programme management. However, the present writer has argued that programme management is not only a logical way of grouping projects to address long-term development objectives, but is also a discrete activity in itself. The original research chapters will highlight the prominence of programme management in the Ecuadorean development context.

2.6.1 Research Questions

As a result of the above conclusions from the review of informing literature, the original field research of this thesis will examine project and programme management and participation in Ecuadorean development, centred on the following main research question:

- What lessons can be used from current practice [by NGOs, local government etc.] for the benefit of future development using participatory project and programme management?

The literary review conclusions have highlighted the lack of current data and research regarding local and beneficiary participation in the project life cycle phase of project execution. Based on the hypothesis that an augmentation of beneficiary participation will increase opportunities for local self-management, the original research for this thesis will examine the nature and extent of participation in Ecuadorean development projects.

In accordance with this principal research question, further research questions are as follows:

- How can [Ecuadorean] local people and project beneficiaries achieve an augmented participation in the processes of the PMA [moving towards the self-management of projects and programmes]?

This research question is intended to examine the depth of participation in NGO projects in the Ecuadorean research setting, and will analyse the extent to which international and national NGOs foster beneficiary participation. The present writer has argued that existing participatory methodologies fail to address the entire project life cycle and especially the PMA process of 'Executing'. Thus, the above research question will examine the nature of participation during the project life cycle.

- How do the different levels of Ecuadorean society participate in development initiatives, and what platform does this participation provide for the self-management of [development] projects and programmes by local people and beneficiaries?

Since the reviewed literature has highlighted tensions between the theory of participatory development and the reality of participation in developing world locations, the original research will analyse the reality of Ecuadorean participatory development. Given the importance placed on participation by the informing literature, in terms of 'as an end' objectives such as empowerment, the research will consider the nature of participation in Ecuador. Thus, the balance between participation 'as a means' of performing work and 'as an end' result of development activities, will be examined in the Ecuadorean context. Finally, on the basis of the research data pertaining to local participatory development the present writer will consider the potentials existing in Ecuador for the self-management of development initiatives.

In order to examine these questions the research strategy will employ a number of qualitative and quantitative investigation techniques. These strategies were presented and discussed in the previous chapter.

Chapter 3

Ecuadorean Development Secondary Research and Development Organisation Survey Results

During the course of this chapter the current context of Ecuadorean development will be analysed using secondary data sources, and the results of a development organisation survey performed as part of the field research will be discussed. Combined, these two data sets will demonstrate a discernible trend towards the decentralisation of activities in Ecuadorean development and a proliferation of project activities performed by NGOs and other development organisations. Analysis of the development organisation survey results and secondary data sources will highlight a number of trends in respondent organisations, including the combination of the Logical Framework Approach (LFA) and participatory methods, and the production of manuals for participatory approaches to development.

This chapter will also examine Ecuadorean development participatory project management methodology *Sistema de Desarrollo Local* (SISDEL, System of Local Development). Findings will show that although SISDEL is the only Ecuadorean designed methodology to attempt management of the entire project life cycle, gaps in the method's design relate to the Project Management Approach (PMA) process of 'Executing'.

Discussion of the nature of participation in the projects of survey organisations will demonstrate that local people and project beneficiaries participate in a variety of ways. Accordingly, the survey data indicates that the contributions of project beneficiaries and local people are manifested by a wide range of participatory forms during the phases of the project life cycle.

Ultimately, the data provided in this chapter will raise concerns relating to the application of the PMA and the nature of participation in NGO-led projects in Ecuadorean development; issues to be addressed by the remaining chapters of this thesis.

3.1 Background: The Ecuadorean Development Context

In the last 20 years Ecuadorean development has seen the emergence of local development and participatory democracy, at least in part due to political reforms that have stressed decentralisation (Muñoz, 2005: 62). After more than three years of authoritarian rule, Ecuador returned to democracy on August 10th 1979, when the Supreme Government Council handed over power to Jaime Roldós Aguilera (1979-1981).⁹⁰ However, in the intervening years the presidency changed frequently until Rafael Correa became the twelfth president since military rule on January 15th 2007, such changes being exemplified by the death of Roldós in a plane crash, and the ousting from power of three later presidents.⁹¹

Since the return to democracy, the presidency of Ecuador has been won by candidates representing both right and left wing parties.⁹² Subsequent to Roldós' populist left wing government, Osvaldo Hurtado (1981-1984) began the application of neoliberal measures, a process continued by the next three presidents León Febres Cordero (1984-1988), Rodrigo Borja Cevallos (1988-1992) and Sixto Durán Ballén (1992-1996) (Vasquez and Saltos, 2006: 119).

These neoliberal policies were implemented to promote decentralisation and move away from the corporatist state model (Perrault, 2003: 69). According to Perrault (2003: 69) these reforms, which discontinued subsidies and funding for education, health and welfare, put an end to state assurances concerning the basic standard of living, and changed the terms of citizenship. Vasquez and Saltos (2006: 316) argue that neoliberal policies provoked negative effects and an increased state of crisis for '*the great majority of the population*'. The result was an increase in participation in local development, and

⁹⁰ *Facultad Latinoamericana de Ciencias Sociales* (Latin American Faculty of Social Sciences FLACSO - Ecuador, 2004: 9).

⁹¹ Abdalá Bucaram Ortiz was ousted from power by Congress in 1997, the President of Congress assumed the democratic mandate. Jamil Mahuad was ousted from power by Congress in 2000, the Vice-President assumed the democratic mandate. Lucio Gutiérrez was ousted from power by Congress in 2005; the Vice-President assumed the democratic mandate (FLACSO, 2004: 9).

⁹² Mercedes Ortiz Albuja, representative of Alianza País, interview 45, 16th September 2010, Quito.

representation in local and regional government by indigenous peoples and the rural poor (Laurie et al, 2001: 9).

Whereas the presidencies of Febres Cordero, Borja Cevallos and Durán Ballén lasted their full terms, in the ensuing nine year period there were seven permanent or temporary presidents of Ecuador, creating a period of great political instability which culminated in the popular uprising that removed Lucio Guitiérrez (2003-2005) from power and forced him to flee the country in 2005 (Vasquez and Saltos, 2006: 122-126). During this period, issues such as the U.S. military presence in Ecuador, a severe financial crisis and dollarisation in 2000 were the pivotal political matters rather than development issues (Vasquez and Saltos, 2006: 122-126). The Guitiérrez presidency did however see the indigenous party *Pachakutik* co-govern for the first time, although that arrangement lasted for only six months before being ended by Guitiérrez (Vasquez and Saltos, 2006: 126). Socialist Rafael Correa was elected in 2007, and has since embarked upon a programme of constitutional change and increased spending on social development.⁹³

World Bank statistics show poverty to be more profound in the rural areas of Ecuador than in urban areas (Donoso-Clark, 2003: 370). In 1998 77% of the rural population, which constituted 40% of the total population, was classed as living in poverty as opposed to 46% of the country as a whole (Donoso-Clark, 2003: 370). In total, there are seven million Ecuadoreans living in poverty (Donoso-Clark, 2003: 370-371). The 2001 census demonstrates that poverty is more profound in the Amazonian (79.9% of basic needs unsatisfied) and coastal (66.5%) regions, in comparison with Andean provinces (54.0%) (Vasquez and Saltos, 2006: 304). These statistics support Keese and Argudo's (2006: 116) claim that outlying provinces have long been disregarded by central government, which has tended to concentrate development efforts in urban areas, notably Quito and Guayaquil.

⁹³ Mercedes Ortiz Albuja, representative of Alianza Pais, 16th September 2010, Quito. Correa's *Plan Nacional para el Buen Vivir* (PNBV, National Plan for Good Living) and related legislation will be discussed in detail in Chapter Five. It suffices here to note that the PNBV continues the trend of decentralisation in Ecuador identified in the current discussion.

Ecuador's political structure is comprised of 24 provinces, as displayed in Appendix 3.⁹⁴ Of those provinces, seven are in the coastal region, ten lie within the Andean region, and six provinces are in the Amazonian region; the final province being the Galapagos Islands. The Amazonian region constitutes 47% of Ecuadorean territory, with the Andean (24%) and Coastal (25%) regions having an almost equal territorial share. This is represented by the pie chart displayed in Appendix 17, whereas the map provided in Appendix 18 depicts in grey the Ecuadorean land area at an altitude of 900 metres or more, with coastal provinces to the left and the Amazonian region to the right.

In terms of population, the *Instituto Nacional de Estadísticas y Censos* (INEC, National Institute of Statistics and Censuses) census of 2001⁹⁵ shows that Coastal (5,530,460 / 47.8%) and Andean (5,460,738 / 47.2%) regions also have a relatively equal share of the population distribution, with only 4.74% (548,419) of Ecuador's 11,558,257 inhabitants residing in the Amazonian region. Appendix 19 displays this population breakdown by province. By the time of the 2010 census Ecuador's total population had reached 14,483,499 (INEC, 2010). The three levels of Ecuador's political structure are provinces, cantons and parishes. Appendix 20 demonstrates that each of these layers has either a council or an assembly with elected members.

In 1997, the ousting of President Bucaram due to charges of corruption resulted in the Law of Social Participation and Decentralisation of the State (Keese & Argudo, 2006: 117), which stipulated that a number of government functions could be taken over by local governments in the provinces and cantons of Ecuador. The only government functions not allowed to be decentralised by the Law of Social Participation and Decentralisation of the State, are those related to national defence, foreign policy, fiscal policy and foreign debt (Keese & Argudo, 2006: 117). Responsibilities could however be transferred in the areas of health, education, environment and tourism, which are

⁹⁴ During the research period for this thesis the number of Ecuadorean provinces increased from 22 to 24 with the creation of the provinces of Santo Domingo de las Tsachilas and Santa Elena in 2007. The statistical data referenced hereafter from the INEC 2001 census is relevant to the structure of 22 Ecuadorean provinces existing at that time.

⁹⁵ INEC (2001).

described by De Lourdes Larrea et al (2005: 27) as being of vital importance to the quality of life for cantonal and provincial citizens.⁹⁶

In 2001, the Law of 15 Percent and the Law of Municipal Governments introduced further decentralisation legislation. The Law of 15 Percent obliged central government to transfer 15% of its income to Ecuador's provinces and cantons, with the Law of Municipal Governments stipulating requirements and procedures for decentralisation (Keese & Argudo, 2006: 117).

Keese and Argudo (2006: 117) argue that Ecuador's cantons, a geographic area ruled by a municipal council and an elected mayor, are the dominant level of local government. Cantons constitute the second sub-division of regional government in Ecuador, and operate below the 24 provincial governments.⁹⁷ There are 226 cantons in Ecuador, ranging in population from canton Guayaquil with 2,039,789 residents to canton Pablo Sexto in the Amazonian province of Morona Santiago with just 1,188 residents.⁹⁸ The reasons for the importance of Cantonal level government are historical, stemming from efforts by nineteenth century presidents Simon Bolivar and Eloy Alfaro to create autonomous municipal administrations.⁹⁹

The diversities found in cantonal populations mean that there are also differences in the physical composition of cantonal governments as well as the responsibilities they assume.¹⁰⁰ Parishes, the final sub-division of regional government are formally recognised as either urban or rural, and provide the 1039 urban and 542 rural canton

⁹⁶ As will be described in Chapter Five, the Correa administration's PNBV further changed decentralisation policies in Ecuador, with the compulsory completion of development plans at Provincial, Canton and Parish levels of regional/local government.

⁹⁷ *Sistema Integrado de Indicadores Sociales de Ecuador* (SIISE, Integrated System of Social Indicators of Ecuador) (available online at www.siise.gov.ec, accessed 15/04/10).

⁹⁸ SIISE (available online at www.siise.gov.ec, accessed 15/04/10).

⁹⁹ Simon Bolivar created municipal governments with the objective that they should work for the individual development of each region. In 1861 Eloy Alfaro attempted to consolidate these autonomous governments by providing them with the power to take decisions in relation to the economic development of each region; however, Alfaro's vision never became a reality. (Mercedes Ortiz Albuja, representative of Alianza Pais, 16th September 2010, Quito).

¹⁰⁰ *Colegio Nacional Electoral* (CNE, National Electoral College) (available online, accessed 15/04/10), and discussed by the TdH representative (interview 29, 28th November 2008, Quito).



councillors.¹⁰¹ On average there are just under seven delegates elected to each cantonal government, although this figure varies according to the population size of the canton.¹⁰² In addition, each canton has an elected mayor, a delegate from provincial government and a delegate from the national congress.¹⁰³

3.1.1 Decentralisation and Local Participatory Development

The informing literature shows that strategic planning and the production of regional development plans have been significant aspects of decentralised development in Ecuador. The transfer of functions under the decentralisation laws described above is granted on the proviso that qualifying cantons must first complete a participatory canton development plan (Keese & Argudo, 2006: 118).

Between 1997 and July 2003 only 70 of Ecuador's cantons had completed their development plans. In addition to the development plans, the Law of Municipal Governments stipulated the requirement for cantons to demonstrate they possess the administrative capacities to take control of government functions (Keese & Argudo, 2006: 118). The Provincial Government of Chimborazo (2006: 12) argues that the process of creating development plans has in some cases been interrupted and abandoned because it hasn't generated a process of permanent and progressive change. Instead, development plans have been used to create what is described by the Provincial Government of Chimborazo (2006: 12) as the '*better administration of the poor*'. In this context, development plans have been employed to secure and allocate annual funds from central government, without effective participatory strategic planning aimed at the long term improvement of local conditions.¹⁰⁴ This argument demonstrates the belief that local development through decentralisation in Ecuador should be accompanied by the use of participatory democracy at both cantonal and provincial levels (Muñoz, 2005: 74).

¹⁰¹ CNE (available online, accessed 15/04/10).

¹⁰² CNE (available online, accessed 15/04/10).

¹⁰³ CNE (available online, accessed 15/04/10).

¹⁰⁴ The Provincial Government of Chimborazo (2006: 12).

In fact, a major theme of the findings from the original research of this thesis will be the prevalence of participatory democracy in comparison with other forms of participation. The Cotacachi local development proposal (Baez et al, 1999: 24, author's translation) defines citizen participation as:

[T]he representation of organised society in taking decisions that directly affect the socio-economic conditions of the population

However, democratic participation in the political arena, and the social participation of citizens in planning and decision-making are defined by Santillan Peralvo (2005: 126-127) as two separate types of participation, a factor that is central to the theme of the chapters discussing Ecuadorean local case study organisations.

Participation is central to Ecuador's new constitution of 2008, proposed by the government of Rafael Correa and voted in by popular mandate.¹⁰⁵ The 2008 constitution is part of a reform programme implemented by Correa's government to affect changes to Ecuador's political system, and contains elements addressing citizen rights and participation.¹⁰⁶ Constitutional participation is defined by the 2008 constitution (*Asamblea Constituyente*, 2008: 15, author's translation) as the right to participate in all phases of development activities:

In the formulation, execution, evaluation and control of public policies and public services the participation of individuals, communities, peoples and nationalities will be guaranteed.

This definition is distinct from the participatory democracy identified by Baez et al above in that participation is not restricted to decision-making processes. Furthermore, the constitution's (*Asamblea Constituyente*, 2008: 15, author's translation) declaration of commitment to the decentralisation of development activities, asserts the right of people and communities to:

¹⁰⁵ *Asamblea Constituyente* (Constitutional Assembly) (2008).

¹⁰⁶ *Asamblea Constituyente* (2008).

Participate in all the phases and spaces of public management, and in the planning of local and national development, and in the execution and control of the accomplishment of development plans at all levels.

The participation in execution and control specified above is again different to the notion of participation in regional development through participatory democracy. The importance of this differentiation is highlighted by the case study of the Provincial Government of Chimborazo's implementation of Participatory Budgeting (PB) provided in Chapter Five.

The cantonal plans and provincial PB provide evidence of how decentralised development in Ecuador is being managed by the participatory identification of problems at local level and the development of strategic objectives, in the form of plans and proposals, in order to address those problems.¹⁰⁷ According to Baez et al (1999: 27) the purpose of such plans is to create a new type of relationship between local governments in Ecuador and their citizens.

However, De Lourdes Larrea et al (2005: 28) argue that due to apparent inadequacies with operational elements of local plans, the main challenge facing cantonal and provincial development is not the production of the plans, but their effective implementation. As such, De Lourdes Larrea et al (2005: 27) identify a requirement to facilitate local capacities to create, implement and lead development projects. Muñoz (2005: 75) argues that models for participatory management and control are needed in order to create sustainable development, which he defines as a process of increasing change affected by empowered citizens and social organisations. Santillan Peralvo (2005: 141-142, author's translation) defines control at cantonal level as:

The mediation of results, the evaluation of results and the adoption of corrective measures to breach the gap between planned and realised results.

¹⁰⁷ See: Provincial Government of Chimborazo (2006: 32), Canton El Tambo (2000: 9), and Baez et al (1999: 26).

This definition is not only consistent with the role of cantons in managing the execution of national and provincial policies and projects,¹⁰⁸ but also reflects the role of control in the execution phase of traditional project management (Mantel et al, 2001: 204). However, the absence of processes, in the form of methods, tools and procedures, for the effective management of project execution and control has been identified by both De Lourdes Larrea et al (2005: 27) and Muñoz (2005: 75). This situation replicates the holistic lack of execution and control processes in the development industry, as identified by the present writer in the review of informing literature.

3.1.2 The Role of NGOs in Ecuadorean Local Development

An aspect of the debate concerning local development in Ecuador that is particularly prominent in the secondary data is the role played by NGOs in the decentralisation of development activities to cantons and provinces.

According to both Keese & Argudo (2006: 114) and Bebbington (1997: 127-128), decentralisation provides an opportunity for NGOs to transform their roles and involvement in Ecuadorean development, with a mandate to act as consulting agencies to cantons attempting to build administrative capacities. As such, NGOs are in a position to use their experience of local development to facilitate local capacity building by collaborating with Ecuador's regional governments (Keese & Argudo, 2006: 120). Bebbington and Perrault's (2008: 413) study of social capital in canton Guamote in the province of Chimborazo found evidence of successful social capital construction in the area, in part due to collaborations between local groups and NGOs. This demonstrates the potential for NGO capacity building in Ecuadorean development.

The new NGO role envisaged by Keese and Argudo (2006: 120) includes training and capacity building of local governments, thus preparing them for their new responsibilities. As will be discussed in Chapter Five,¹⁰⁹ this is entirely consistent with

¹⁰⁸ As discussed by the *Terre des Hommes Italia* representative (interview 29).

¹⁰⁹ See Chapter Five, page 219.

the role of Comunidec in the PB of the Chimborazo provincial government.¹¹⁰ Bebbington (1997: 127-128) argues that NGOs have changed their role to one of consultation as a reaction to the diminishing availability of funds from donors. The interview data will to some extent bear out Bebbington's argument; however, it will also demonstrate that the move from project implementation to facilitation is being performed by international as well as national NGOs.

Donoso-Clark (2003: 374) reaches consensus with the opinion of Muñoz outlined above, envisaging that sustainable local development in Ecuador will be achieved by increasing participatory planning, strengthening the capacities of local institutions, and addressing weaknesses in local infrastructures. These are the activities with which NGOs, with their experience of local development, can assist (Keese and Argudo, 2006: 120).

Craps et al (2004: 379) warn that such collaborations will not address the unequal power relations that are present between the stronger government organisations and NGOs, and weaker local communities. Such inequalities embody the '*social rupture*' identified by Craps et al (2004: 379) as existing in Ecuador and other Andean countries, in which economic and political power is concentrated in urban centres. Accordingly, Mander (2005: 243) argues that rights-based approaches are required to achieve long-term sustainability in the form of '*enduring justice*'.

PROLOCAL¹¹¹ (Poverty Reduction and Local Rural Development) and PRODEPINE¹¹² (Indigenous and Afro-Ecuadorean Peoples' Development) are two high profile World Bank projects in Ecuador that are guided by the principles of decentralisation, self-management and participation, to increase social and institutional capital (Donoso-Clark,

¹¹⁰ Similarly, NGOs ALDES (*Alternativas para el Desarrollo Social*, Alternatives for Social Development) and Esquel performed an advisory role in the production of canton El Tambo's development plan (Canton El Tambo, 2000: 7).

¹¹¹ The PROLOCAL project approval date was 05/07/2001 and closing date was 31/08/2007. PROLOCAL's project budget was US\$25.2 million (World Bank, available online, accessed 15/09/06).

¹¹² The PRODEPINE I project approval date was 29/01/1998 and closing date was 30/4/2003. PRODEPINE I's project budget was US\$40 million (US\$25 million financed by the World Bank and US\$15 million by the International Fund for Agricultural Development). The PRODEPINE II project approval date was 17/01/2004 and closing date was 30/9/2009. PRODEPINE II's project budget was US\$34 million (World Bank, available online, accessed 15/09/06).

2003: 374-5). According to Doughty (2003: 8), PRODEPINE has demonstrated that the institutionalisation of self-management is essential in order to ensure local ownership and project sustainability. By focusing on capacity building in the areas of project administration and management, PRODEPINE was able to increase the local capacity to apply techniques and methods during the execution phase of projects (Doughty, 2003: 8). In addition to this focus at community level, PRODEPINE's national level objectives are to strengthen indigenous and Afro-Ecuadorean social organisations and assist the national government in policy formulation.¹¹³

The PRODEPINE project embodies the World Bank's philosophy that rural diversification combined with the entrepreneurship of small scale rural producers can take advantage of the Ecuador's social and cultural wealth to achieve economic growth (Donoso-Clark, 2003: 371). This strategy for community level development seeks to exploit the cultural and geographical diversity in rural Ecuador through economic diversification and the production of specialist and ethnically diverse goods using the raw materials and cultural heritage of the specific region, such as artisanal products and foodstuffs (Donoso-Clark, 2003: 371). In 2005, Ecuador's rural population was calculated at 4.7 million persons (out of a total population of 13.8 million), with this population living in the distinct geographical areas of the Andean sierra, coastal Ecuador, the Amazonian rainforest and the Galapagos (Vasquez & Saltos, 2006: 101/137).

PROLOCAL's objective was to improve well-being in local communities by increasing empowerment, quality of local services and access to productive assets (World Bank, 2002: 2). PROLOCAL operates at community, parish and canton levels, with the stated aim of:

[PROLOCAL] will seek to capitalize on the recognition that communities and decentralized units have the potential to more responsively and efficiently provide key public services, while simultaneously creating employment opportunities for the poor (World Bank, 2002: 2).

¹¹³ World Bank (available online, accessed 15/09/06).

Similar to the PRODEPINE project, the design of PROLOCAL is testament to the importance placed by the World Bank on social and institutional capital and rural economic diversification (Donoso-Clark, 2003: 371/374), and includes assistance to parishes and cantons in their preparation of local development plans (World Bank, 2002: 4). Thirty inter-parish subprojects, 120 parish subprojects and 600 community subprojects were targeted by PROLOCAL's project appraisal document for the implementation of the World Bank's local rural development strategy for Ecuador (World Bank, 2002: 5).

In their entirety, the secondary data sources presented in this section demonstrate that decentralisation and local economic development through diversification are major tendencies in Ecuadorean development. The evidence presented also suggests that both of these phenomena require the augmentation of local skills and competencies in administrative areas such as project management.

3.1.3 Development Project Management in Ecuador

More than thirty participatory methodologies have been developed to meet the specific development conditions of Ecuador (Torres Davila, 2004B: 199). These include at least five adaptations of Participatory Rural Appraisal (PRA), including '*Planeamiento Andino Comunitario*' (PAC, Andean Community Planning) and '*Sondeo Rural Participativo*' (SRP, Participatory Rural Enquiry). Additionally, two manuals have been produced to systematise the experiences of Ecuadorean development projects.¹¹⁴

Unfortunately, due to a lack of availability of information pertaining to these methods, an analysis between their various attributes and techniques is not possible. This fact does however support Torres Davila's (2004A: 163) observation of the '*recreation*' methodology, which describes the numerous methods that have been created, used in a limited number of projects, and then discarded. Thus, a recreation methodology

¹¹⁴ Namely the '*Manual de Systematizacion Participativa*' (Manual of Participatory Systematisation) and the '*Guia para Systematizacion de Experiencias de Desarrollo Local*' (Guide to the Systematisation of Local Development Experiences) (Torres Davila, 2004B: 199).

constitutes the adaptation, especially in vernacular terms, of an existing method for participatory planning to suit the specific circumstances of a particular project (Torres Davila, 2004A: 163).

In the opinion of Torres Davila (2004A: 163, author's translation), many of these methods have concentrated on problem identification and project planning to the exclusion of the further stages of the project life cycle:

Weaknesses and empty methodologies have been observed in the hour of the execution of plans, programmes, projects and other local development initiatives, since they don't provide sufficient methods for action, and fewer for the pursuit, evaluation, management of conflicts, management, leadership and in general for diverse collective actions.

Torres Davila therefore distinguishes the same gap in Ecuadorean participatory methods as has been identified concerning participatory methods in general earlier in this review, namely the absence of processes for the execution of participatory projects.

One example of the above is the '*Manual de Planeamiento Andino Comunitario*' (PAC, Manual of Andean Community Planning) (Ramon Valarezo, 1995),¹¹⁵ which includes a participatory process for the identification of community problems and alternative solutions, and results in a document akin to a cantonal development plan, but for community level development. PAC does not however provide any guidelines for the implementation of these community level plans.

At the time of research, the only Ecuadorean development project management method to include specific tools for the execution of projects and the management of the project life cycle was SISDEL. The SISDEL project management methodology was created in 1996 through national NGO Comunidec's work with the *Fundación Interamericana* (Inter-American Foundation) and the Grassroots Development Framework (GDF).¹¹⁶ However,

¹¹⁵ The PAC methodology was prepared by Ecuadorean national NGO Comunidec.

¹¹⁶ *Comunidec* (Victor Hugo Torres, Director, interview 1, 28th February 2007, Quito) began specialising in the production of methodologies as a result of circumstance rather than choice. Having formed a relationship with the *Fundación Interamericana* in the 1990s, *Comunidec* assumed responsibilities for the

whereas the GDF sought to apply processes for the planning and evaluation of development work in general, SISDEL was designed by Comunidec to apply the GDF philosophy to the project life cycle.¹¹⁷

SISDEL incorporates a process map, standard documents and tools for the management of the SISDEL project throughout the project life cycle stages of formulation, postulation, execution, and evaluation (Torres Davila, 1998B). The SISDEL project life cycle is displayed in Figure 3.1. SISDEL is grounded in the hypothesis that local people should drive the development project life cycle in order to facilitate social engineering and collective learning (Torres Davila, 1998A: 51).

The Comunidec interviewee (interview 1, author's translation) ties the building of capacities in project management with the phases of the project life cycle, and accordingly with methodologies that enable the effective management of that life cycle:

It appears to me important that project executors accept the idea of the project cycle, and understand that a well managed project cycle will give them opportunities to design, negotiate, execute and evaluate a good project.

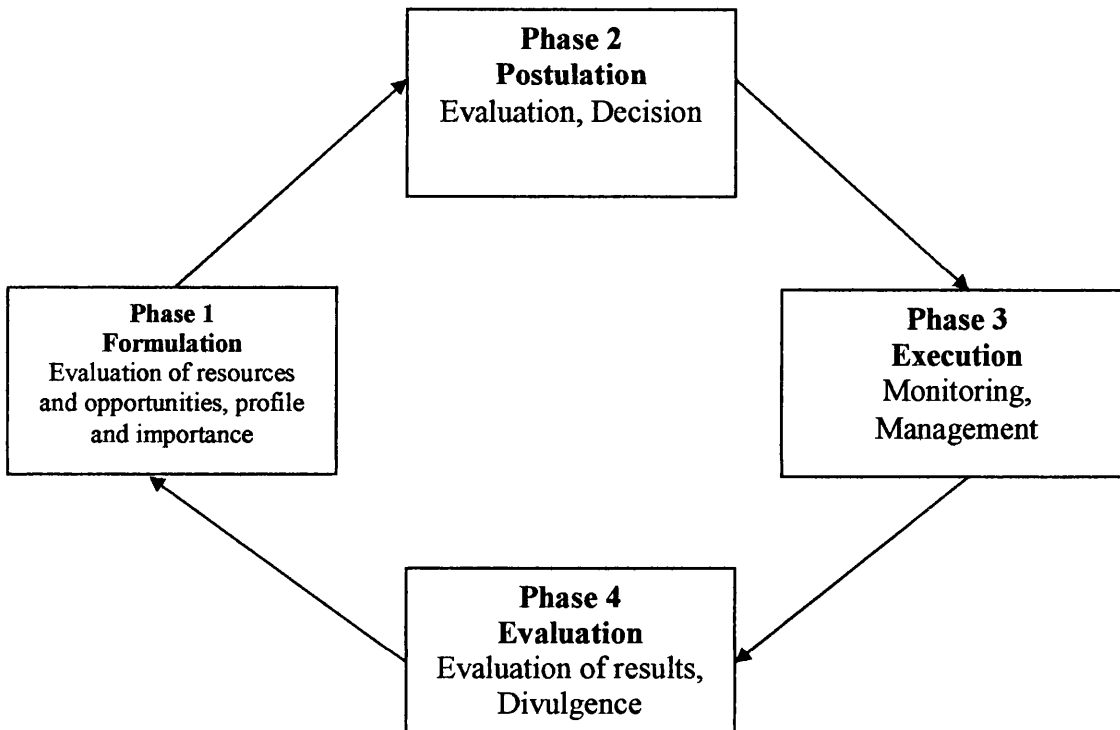
production of project management methods at the behest of *Interamericana*. Since this time *Comunidec* has been responsible for six development methodologies, the first of which was '*Planeamiento Andino Comunitario*' (Andean Community Planning), an attempt to culturalise and manualise participatory planning.

Before the release of SISDEL, *Comunidec* had also produced '*El Manual de Rehabilitación Cultural*' (The Manual of Cultural Rehabilitation), '*El Manual de Manejo de Conflictos*' (The Manual of Conflict Management), and a manual for the Systematisation of project experiences. SISDEL is designed for '*community and neighbourhood participation in the formation, implementation and evaluation of projects*' (Torres Davila, 1998B: 3).

¹¹⁷ SISDEL differs significantly from GDF in its orientation towards the management of the development project life cycle. This is described by Torres Davila (interview 1, author's translation):

The whole cycle is held together by the project management system, a set of procedures and instruments for bringing objectives to fruition. Project management includes decision-making mechanisms, actions for directing project work, and technologies used by the team during implementation to channel energy and activities along the lines established by the organisations.

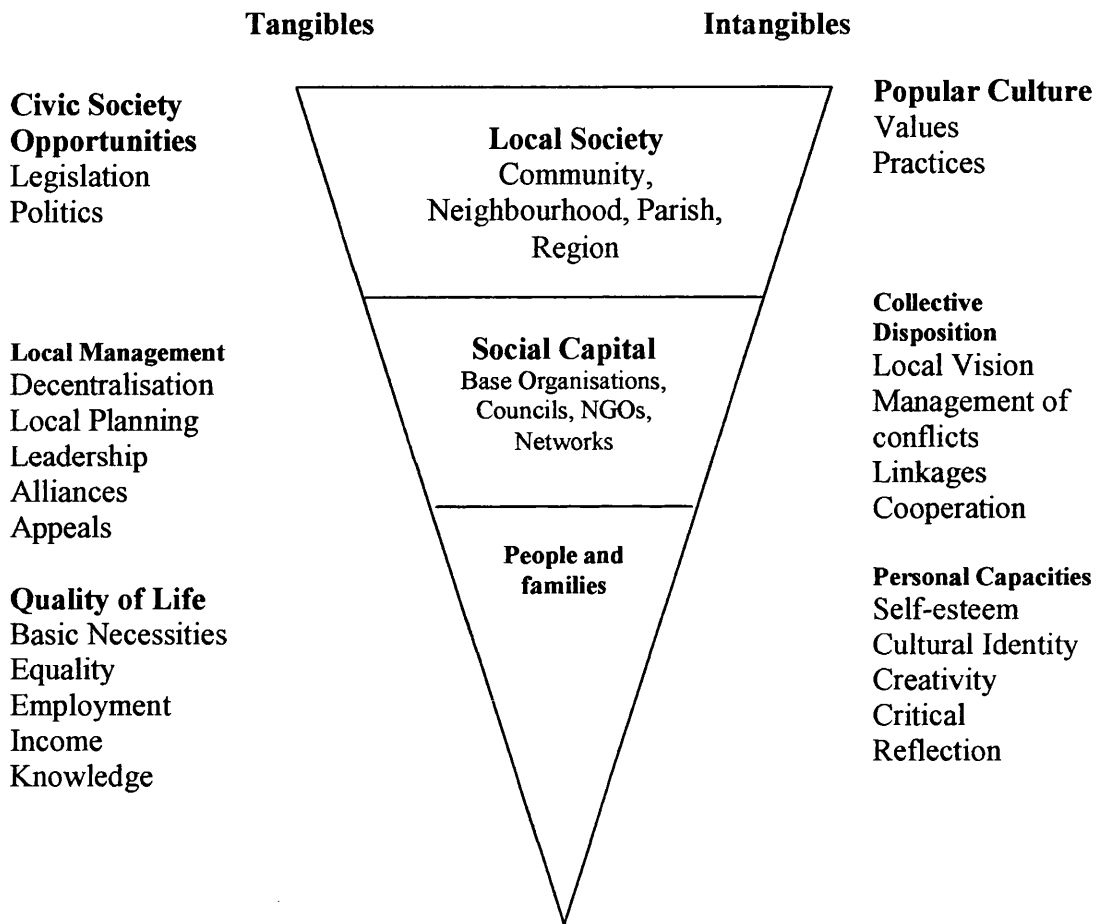
Figure 3.1 – The SISDEL Project Life Cycle



Source: Torres Davila (1998B), author's translation

Mr. Torres, the Comunidec interviewee and SISDEL's creator, describes SISDEL as being more akin to LFA than GDF, elements of LFA were incorporated into the system due to the prevalence of donor preference for logframes. This description is based on the focus on activities for the realisation of desired objectives, an element not present in GDF. Mr. Torres also critiques the practical application of GDF indicators, which were designed to evaluate project impacts and results, but in practice always encountered problems and defects, resulting in a lack of clarity in project data. According to Mr. Torres, SISDEL avoided this pitfall through its focus on objectives and activities. The categories and subcategories of the SISDEL indicator system are displayed in Figure 3.2. At the organisational level, which is renamed '*social capital*', the GDF category '*organisational capacity*' is transformed into the SISDEL category of '*local management*' (Torres Davila, 1998B: 42).

Figure 3.2 - Categories and Subcategories of SISDEL



Source: Torres Davila (1998B), author's translation

Comunidec's (interview 1, author's translation) intention was that SISDEL indicators should act like '*lights*' to guide project managers as they implement project activities:

Like information to help us take decisions for the management of projects, we are not project managers nor do we do management, but we had to support projects, so we had to have some indicators to show us what the project managers are doing.

Thus, the Comunidec interviewee mirrors the argument made in the literature review¹¹⁸ concerning the necessity for a holistic method for the participation in the management of development projects by beneficiaries and local people. Accordingly, such people, who aren't project management professionals, are most in need of a more structured method for the management of the project life cycle. Thus, as noted by the Comunidec interviewee, without a focus on the entire project life cycle, development projects will continue to rely on facilitation by experts.

The aim of the SISDEL project formulation process is to create a project initiation document called a 'project profile', which shows the project's key characteristics in report format. The project profile structure is displayed in Figure 3.3. In the SISDEL planning phase a project baseline is created, which is used to measure performance in the execution phase; this is supplemented by the use of either a matrix chart or a Program Evaluation and Review Technique (PERT) chart (Torres Davila, 1998B: 106-107). SISDEL does not however provide any procedures for the taking of corrective action in circumstances where this is necessary. According to Mr. Torres (interview 1), planning workshops allow SISDEL to be adapted to the specific priorities and strengths of specific development contexts, although there is no additional evidence to support this argument.

Ensuing the project planning workshop, which is a form of Rapid Rural Appraisal (RRA), the local team is responsible for the execution, monitoring and evaluation of the SISDEL project, albeit with the support of Comunidec facilitators (Torres Davila, 1998B: 106-107). Whilst SISDEL provides a structure for the management of the project life cycle that contains elements of participatory methods, the GDF indicator cone and systematisation, local communities are at liberty to incorporate their own methods into the project cycle (Torres Davila, 1998A: 6).

¹¹⁸ Chapter Two, pages 61-2.

Figure 3.3 – The SISDEL Project Profile

1 - Identification

Project name, place of execution, and the time when the population was addressed

2 - Antecedents to the project

- Identify the specific location
- Show the links between the project and ongoing local programmes
- Briefly describe the conditions of the problem to be solved
- Describe the previous experiences of other institutions with the proposed solution
- Explain the strategic intentions, why did we choose the proposed solution, was it a political decision, a model of action or a complement to other actions

3 - Description of the project

- Outline the solution chosen and how it is to be executed
- Explain the support of the community for the chosen solution
- Indicate the reach of the project, showing the number of people who will benefit directly from the project's products and services, and how many lives will be immediately affected by the actions of the project
- Describe the anticipated actions, detailing the contents of each one and the aspects they handle
- Outline briefly the characteristics of the organisation that will execute the project

4 - Objectives and Indicators

- Show in order of importance, the changes which it is hoped will be achieved, and how the project's activities are directed
- Distinguish the levels and types of forecasted results
- Write a maximum of 2 indicators for each forecasted result
- Indicate from which sources the indicators will be verified

5 - The Products of the project

- Describe in short text the products that will be produced by the project
- Incorporate the matrix of products, with name, level, quantity and time
- Accompany the matrix with brief notes if necessary
- Indicate the technology that will be used in the project as well as the possible environmental impacts, and the mitigated measured forecasts

6 - The activities for realisation ('plan of work')

- Show the key activities
- Enumerate the activities within an established order of priority
- Affix the resources necessary to achieve each activity
- Show the chronological time order of activities

7 - The context of local collaboration

- Indicate the institutions in close locality that have similar actions to the project
- Show the institutions that will collaborate in the project, specifically the type of relationship they will have with the project and their promised actions
- Of all the negotiated agreements, state which are indispensable for the successful functioning of the project
- Discuss the risks of the project, consider what will happen if the various actors fail to deliver their promises

Source: Torres Davila (1998B), author's translation

Torres Davila (1998B: 34) contends that the ultimate potential of SISDEL is to enable local communities to control the project life cycle on an autonomous basis, although such an outcome would be reliant on a number of factors, including the success of training programmes and the commitment of local people. This potential is also recognised by Uquillas and Van Nieuwkoop (2003: 21/25), whose conceptual framework for the organisation of social capital incorporates Comunidec's participatory planning process into a model for achieving local results and impacts through the self-management of development. However, whilst SISDEL addresses the entire project life cycle with processes for project planning and formulation, and monitoring and evaluation; beyond the development of a project baseline, it fails to provide techniques or procedures for the execution and control of projects.

According to Mr. Torres, a practical weakness in the application of SISDEL is that the output from the planning process was a narrative account of the existing development context. Thus, SISDEL fails to provide an explicit strategy for project execution:

It seems to me that it is necessary to have a clear way of putting the project in motion, how to execute, how to manage.¹¹⁹

SISDEL therefore did not achieve the intended aim of its execution process, which was to act as a guide for non-professional project managers in their endeavours to steer the project through project execution and control.

¹¹⁹ Comunidec (interview 1, author's translation).

In identifying weak implementation processes, Mr. Torres recognises that the assumption of ‘*self-execution*’ inherent in SISDEL, is fundamentally flawed.¹²⁰ SISDEL is geared towards the use of Monitoring and Evaluation (M&E) to provide data to assist project managers during project execution, but this is another concept that hasn’t worked in reality. With the benefit of hindsight, Mr. Torres is able to reflect that SISDEL lacks mechanisms for both project control and the participation of project beneficiaries during execution. This admission not only reflects the present writer’s critique of SISDEL, which identifies a failure to provide sufficient processes for project execution and control, but also partly explains why SISDEL has become an obsolete methodology.¹²¹ The provision of M&E indicators to assist project managers during execution hasn’t proven to be a good substitute for execution and control tools and mechanisms.

In a final analysis of the SISDEL experience, Mr. Torres (interview 1, author’s translation) admits that the method was left wanting in specific areas of the project life cycle, such as execution and control, attributing these deficiencies to the fact that SISDEL was not sufficiently developed:

SISDEL recognised the project cycle, planted important points in each moment of the cycle, constructed a small methodology for diagnostics and the formulation of projects, but didn’t equally develop methodologies for other moments, for implementation and evaluation, or for negotiation.

According to the Comunidec interviewee’s experience (interview 1), communities often confused the role of project managers and implementers in SISDEL projects, and community leaders often assumed project management roles, with the following results:

¹²⁰ Comunidec (interview 1).

¹²¹ In 2000, *Fundación Interamericana* withdrew almost completely from development activity in Ecuador. As a result the ‘*Ill-fated*’ SISDEL (interview 1) was left without its only sponsor and ceased development, although copies of the manual are still published and sold. Having lost the financial support of the *Fundación Interamericana*, Comunidec continues to design development methodologies, its sixth and most recent method is the *Presupuesto Participativo de Chimborazo* (PPCH, Participatory Budget of Chimborazo).

[I]t creates big problems in efficiency, problems of control, problems of transparency, and opens the door to forms of corruption, and because of the inefficiency a world of conflicts opened up.

Based on this experience the Comunidec interviewee is certain that community leaders should not be allowed to manage and implement projects. SISDEL attempted but failed to differentiate these roles. However, Chapter Seven will discuss the case study of the *Asociación de Productores y Comercializadores de Leche del Cantón Quero* (APROLEQ, Association of Producers and Marketers of Milk from Canton Quero), which provides one example in which the commercial organisation of milk producers has been separated from the ‘*social organisation*’ of community leaders.

Interviews were performed with three organisations to have employed the SISDEL methodology during their development activities.¹²² The results show that all of these NGOs have discarded SISDEL.

The representative of the *Instituto de Estudios Ecuatorianos* (IEE, Institute of Ecuadorean Studies)¹²³ describes SISDEL as ‘*very participative*’ and as ‘*being useful in specific moments*’. However, this demonstrates that IEE did not consider SISDEL as an appropriate method for the management of all the entire project life cycle. Having used SISDEL for one project, IEE has reverted to a mixture of LFA and participatory processes for its further development projects.

*Fundación Maria Luisa Gomez de la Torre*¹²⁴ has also used and discarded the SISDEL method. *Maria Luisa Gomez de la Torre* found SISDEL useful for project planning, but encountered difficulties with the method during project execution.

Fundación Maria Luisa Gomez de la Torre has now developed its own system for the management of development projects, specifically a logical planning approach that uses standard templates created in Microsoft Word and Excel for the production of planning

¹²² The interview process is described in the methodology section of Chapter One, pages 19-22.

¹²³ IEE, interview 28, 21st November 2008, Quito, Ecuador.

¹²⁴ *Fundación Maria Luisa Gomez de la Torre*, interview 2, Fernando Buendia, 11th April 2007, Quito, Ecuador.

and execution documents. The foundation is pleased with the effectiveness of this new bespoke system, which provided the first interview evidence of the use of bespoke project management methods in Ecuadorean development. *Fundación Maria Luisa Gomez de la Torre's* experience represents a move away from a more participatory method (SISDEL), to a logical planning approach supported by a project baseline similar to a traditional project management Gantt chart.

Finally, Terra Nueva¹²⁵ used the SISDEL methodology for five years between 1989 and 1994 during the course of a project that ultimately collapsed, although as the Terra Nueva representative stressed, SISDEL was in no way to blame for this failure. This long-term project focused on the diversification of agricultural production with the introduction of alternative technologies, and is described by the Terra Nueva representative as being a great success until the '*el Niño*' phenomenon devastated farmland with floods.¹²⁶ Terra Nueva supplied the project's 90 small farm owners with loans,¹²⁷ which ultimately led to the project's collapse when payment instalments were missed and Terra Nueva suffered a financial crisis.

Having recovered from the collapse of its agricultural diversification project, Terra Nueva has continued to work in long-term development initiatives, but has not employed SISDEL in subsequent projects. In Terra Nueva's new approach projects form only part of a wider process of investigation, capacity building and rights-based activities designed to create sustainable change within the development setting.

Terra Nueva uses a management committee approach to manage development projects and their activities (Terra Nueva representative, interview 43, author's translation):

¹²⁵ Terra Nueva was originally one of the organisations selected for interview in 2007 and 2008. At that time contact could not be made with this NGO, as it had moved to new premises. However, Terra Nueva was finally located in October 2010, and an interview was performed on 16th November 2010 in Quito, Ecuador.

¹²⁶ Terra Nueva representative, interview 43, 16th November 2010, Quito.

¹²⁷ Funding for the project was secured from a Swiss NGO.

The management committee is formed with our own [Terra Nueva's] delegates and delegates of local people. This committee creates activities, takes decisions, shares responsibilities, decides what to do and how to do it.

Such a committee is similar to the project board approach used in traditional project management systems such as PRINCE2 (OGC, 2005), and as will be discussed in Chapter Four, is also employed by other interview organisations.

Further triangulation of the data concerning SISDEL is provided by the experiences of the *Organizacion de Pueblos Indigenas de Pastaza* (OPIP, Organisation of Indigenous Peoples of Pastaza) recorded by Charuet (2002). OPIP designed and implemented a programme of projects using SISDEL for the conservation of the Ecuadorean rainforest, with local autonomy in project management being a guiding concept for the programme (Charuet, 2002: 53). One of the conclusions of an initial diagnostics study was that local people did not have sufficient training or experience to manage the planning and execution of projects (Charuet, 2002: 107-8). To remedy this, it was decided to create a local technical team, and provide them with training in disciplines such as financial and administrative management, environmental management, and the design, execution and evaluation of projects (Charuet, 2002: 107-8). Thus, although SISDEL was utilised in OPIP projects for problem diagnosis and solution identification, additional training and methods were required for autonomous project execution and management.

On the basis of the data presented in this section, the present author argues that, on the positive side, SISDEL acknowledges the project life cycle and attempts to apportion tools and procedures for the management of planning, execution and evaluation activities. However, this section has shown that, subsequent to the participatory planning process, SISDEL lacks tools for the effective execution of the planned project, instead relying on baseline data to monitor project performance. SISDEL can therefore be seen as attempting to encourage and support the participation of beneficiaries and local

communities in project execution, but failing to supply the tools and processes necessary to achieve this end.¹²⁸

¹²⁸ A number of organisations and municipal and cantonal governments are known to have employed SISDEL, including the municipalities of Guamote, Colta, Cotacachi, as well as at least five applications of the method in the province of Loja. In addition, at least 15,000 copies of the SISDEL manual have been sold. However, in what Mr. Torres describes as '*an irony, a contradiction*', Comunidec has no record of SISDEL evaluations, and therefore the practical results from these applications of SISDEL are unknown. To a large extent, this means that the opportunity to learn from the SISDEL experience has been lost (Comunidec representative, interview 1).

3.2 Development Organisations in Ecuador

A total of 33,998 organisations are registered with the *Ministerio de Coordinación de Desarrollo Social* (MCDS, Ministry for the Coordination of Social Development), and can therefore legally perform development work in Ecuador.¹²⁹ Of these organisations, 97% (32,981) are listed as NGOs, 2% (675) are listed as foundations, and 1% (342) are listed as corporations according to the categories provided by MCDS. These figures are however misleading in a number of ways. Firstly, NGO status has been given to groups of organisations that do not perform development activities, such as sports organisations (1551), cooperatives (4880) and political parties (718).

The MCDS database divides development organisations into fourteen subgroups, based on the activities they perform. The bar chart displayed in Appendix 21 shows these groupings along with the percentages of NGOs, foundations and corporations belonging to each. The grouping ‘School, professional and Trade’ contains by far the largest number of organisations, 16043 or 47.2%. Cooperatives form the second largest group with 4880 (14.4%) organisations. The third largest group, with a count of 2304 (6.8%) contains those organisations with activities pertaining to research and investigation. In addition to those groupings mentioned above, it is doubtful whether many of the organisations in the categories of cultural and art (292), heir/heirress organisations (137), income and taxation entities (1041), and school, professional and trade (16,043) perform development activities. As such, the 9,336 organisations registered to MCDS in the remaining groupings (charity organisations, development of women & children, education, health, investigation, organisations that perform projects with exterior funds, and religious organisations), are the ones most likely to be engaged in development activities. However, even some of these organisations may not actually perform such work.

¹²⁹ Although the NGO database was provided to the present writer by the MCDS, it was actually published in the form of book with accompanying CD by *Fundación Alternativa* in 2006. As such, the database represents a snapshot of the development organisations operating in Ecuador at the time of publication. As of July 2011, a more recent edition of the database was yet to be published.

In addition, the interview process showed that many registered organisations either did not exist at the time of this study, or were not able to be contacted at their registered addresses. For the first pass of interview cold call visits, 204 development organisations were chosen. Out of those, 134 organisations (65.69%) could not be contacted either by personal visit or email, and it can therefore be assumed that they are not currently practising development activities. Although not statistically reliable, this same percentage applied to the 9,336 organisations detailed above, would leave around 3,203 development organisations actually operating in Ecuador. Of course, this is a rough estimation and does not take into account those NGOs that have opened for business since the publication of the MCDS database.

As the results of the email survey will demonstrate, many NGOs perform activities that pertain to more than one of the areas used by the MCDS to compartmentalise development organisations. As such these groupings do not provide a true reflection of the work carried out by the NGOs working in Ecuador.

Appendix 22 shows a breakdown of the development organisation list by the province in which their office or head office is situated. Over a quarter (25.4%, 8635) of all the organisations on the list are based in Pichincha, and 18.4% (6265) are based in the province of Guayas. Pichincha and Guayas are the provinces in which the two largest cities in Ecuador, Quito and Guayaquil, are situated. A further breakdown of the organisations shows that 21.6% (7339) of all organisations pertain to the Canton of Quito and 12.5% (4237) are situated in the Canton of Guayaquil.

Notably, the province of Pichincha is home to 20.67% of the Ecuadorean population and 25.4% of development organisations; whereas Guayas contains 28.63% of the population but just 18.4% of development organisations. This can be explained by the location of national NGOs in Quito, but is part of a trend showing that development organisations are statistically fewer on the coast (47.8% of the population, 38.5% of development organisations) than in the Andean region (47.2% of the population, 52.2% of

development organisations). The Amazonian region is home to 7.5% of Ecuadorean development organisations despite only containing 4.74% of the population.

3.3 Survey of Development Organisations in Ecuador

The methodology for the original research of this thesis, outlined in Chapter One,¹³⁰ described the process which resulted in a total of 126 respondents to the development organisation survey.¹³¹ A breakdown of survey respondents by survey type, organisational name, organisational activity and subgroup, and provincial and cantonal location is provided in Appendix 23. The following sections of this chapter will now discuss the results of the development organisation survey,¹³² which include divergences between Ecuadorean NGO practice and the informing literature.

3.3.1 Geographical Distribution and Activities

The methodology section discussed concerns over whether the semi-structured interview process¹³³ would be distorted by being wholly based in Ecuador's capital city, Quito in Pichincha province. However, the data presented in Table 3.1 provides a geographical breakdown of the 84 email respondents, showing that 41.7% of email respondents were also from the province of Pichincha.

It is argued that those organisations responding to the email survey did so because they could make an effective contribution to the study. On the basis of this hypothesis it is also argued that the statistical breakdown of email respondents shows that many of the organisations able to make a valid contribution to this work are situated in Quito. Thus, the present writer would argue that the interview process has not been distorted by being geographically restrained to Quito. The data shown in Table 3.1 does not categorically prove that national and international NGOs based in Quito are more likely to possess the technology, skills and experience to enable them to contribute to the interview process. However, the email survey geographical data is consistent with that hypothesis.

¹³⁰ See Chapter One, pages 17-19.

¹³¹ Of those 122 replies, 6 email responses could not be opened meaning that aside from the data presented for geographical location, analysis will be made of the 116 viewable responses.

¹³² A copy of the development organisation survey is provided in Appendix 1.

¹³³ The results of the semi-structured interviews are presented in Chapter Four.

Table 3.1 - Survey Respondents Categorised by Province: Email Only

Province		Count		Percentage
Azuay	-	1	=	1.2%
Cañar	-	3	=	3.6%
Carchi	-	2	=	2.4%
Chimborazo	-	2	=	2.4%
El Oro	-	5	=	6.0%
Esmeraldas	-	3	=	3.6%
Guayas	-	12	=	14.3%
Imbabura	-	6	=	7.1%
Loja	-	4	=	4.8%
Manabí	-	1	=	1.2%
Morona Santiago	-	2	=	2.4%
Pastaza	-	4	=	4.8%
Pichincha	-	35	=	41.7%
Sucumbios	-	1	=	1.2%
Tungurahua	-	3	=	3.6%

The data displayed in Table 3.2 shows a breakdown of activities performed by the survey organisations.¹³⁴ The mean average for categories selected by a single organisation was 3.65, demonstrating that many Ecuadorean development organisations do not restrict themselves to a single area of expertise and activity. The data presented in Table 3.2 evidences that the categorisation used by the MCDS does not provide a reliable analysis of the activities performed by development organisations in Ecuador. However, as discussed above, many of the respondent organisations were national and international NGOs from Quito. Accordingly, these NGOs are the ones most likely to perform a variety of development activities in comparison with small rural organisations.

¹³⁴ The categories on this list were selected by the present writer based on the categories used in the MCDS database. The present writer accepts that the list does not have a rural development focus.

Table 3.2 – Organisational Activities Performed by NGOs Working in Ecuador

Activity	Yes count	Yes valid %
Health	38	32.8%
Promotion and development of children	48	41.4%
Promotion and development of women	45	38.8%
Transport	9	7.8%
Education	46	39.7%
Social	47	40.5%
Construction	8	6.9%
Economic, Financial & Diversification	45	38.8%
Environmental	48	41.4%
Culture	39	33.6%
Investigation	51	44.0%

3.3.2 Ecuadorean Development Organisations and the Project Management Approach

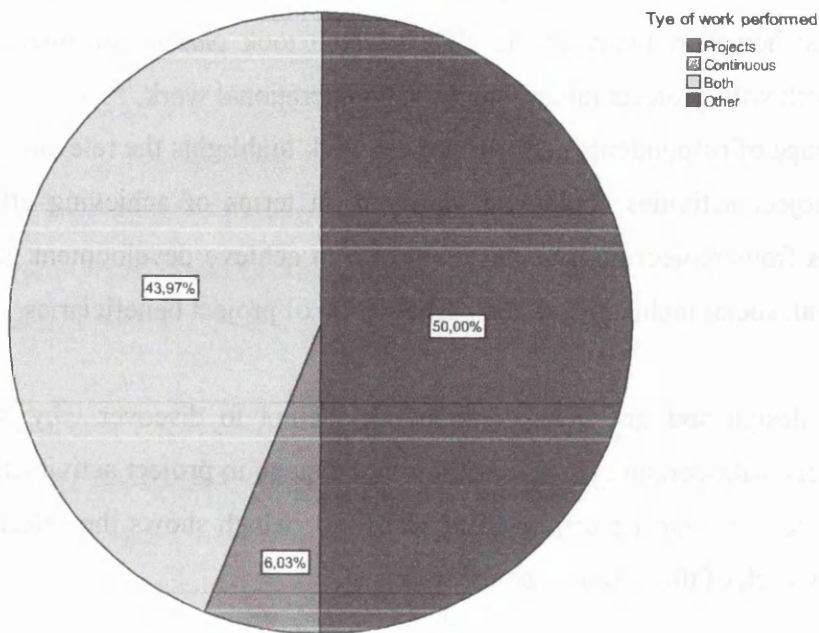
The review of informing literature highlighted a wide-ranging critique of the use of the PMA for development activities.¹³⁵ Despite the extensive nature of this critique, the survey data shows no evidence of a shunning of the PMA by the surveyed Ecuadorean development organisations. In fact, the results displayed in Figure 3.4 highlight evidence to the contrary. Thus, the fact that 94% of surveyed organisations use the PMA, either on its own or in combination with continuous process/operational work, has significant connotations for the investigation pertaining to this thesis.¹³⁶

This data demonstrates that despite the academic debate over the value of development project work in comparison to continuous process/operational work, and the move away from projects to the Millennium Development Goals (Green, 2003: 124), project work is prevalent in the survey organisations.

¹³⁵ See Chapter Two's discussion of the PMA beginning on page 40.

¹³⁶ For the purposes of the Spanish translation, process/operational work was termed 'continuous work' on the development organisation survey.

Figure 3.4 – Project and Continuous Activities Performed by Ecuadorean Development Organisations



Type of work performed

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Projects	58	47,5	50,0	50,0
	Continuous	7	5,7	6,0	56,0
	Both	51	41,8	44,0	100,0
	Total	116	95,1	100,0	
Missing	System	6	4,9		
Total		122	100,0		

The present writer argues that the data displayed in Figure 3.4 justifies the research questions presented by this thesis.¹³⁷ Given the prevalence of project work highlighted by the email survey, to investigate how such work is performed is significant to Ecuadorean development.

¹³⁷ See Chapter Two, pages 95-6.

It is possible that some of these NGOs only work with projects in preference to process/operational work in order to secure funding from INGOs and donor organisations; however, many of the NGOs which took part in the interview process choose to work with projects rather than process/operational work.¹³⁸ The fact that such a high percentage of respondents perform project work highlights the relevance of research into how project activities should be managed, in terms of achieving efficiency and effectiveness from project management, but also to achieve development goals such as empowerment, social inclusion and the participation of project beneficiaries.

The survey design and questions included an attempt to discover why organisations working solely with continuous processes do not engage in project activities. The results for survey question four are displayed in Table 3.3, which shows the selections in four categories by each of the seven respondents.

Due to the extremely low percentage of organisations falling in that category, it isn't possible to draw any wide ranging conclusions from the answers provided. However, the results presented in Table 3.3 show that the respondents who do not perform projects believe that either projects are unsuitable to their work or because they have a preference for process/operational activities. Accordingly, respondents didn't express the belief that the methods available for project management or their own institutional capabilities are insufficient for the effective management of projects.

Nevertheless, from analysis of the fourth survey question a trend that will be repeated throughout the survey results first becomes apparent. That trend concerns the unwillingness of survey participants to criticise or be negative about their own organisation. Thus, respondents strongly disagreed with the supposition that their organisation lacks the expertise to perform project activities. In its totality, the data sets provided by questions regarding organisational capabilities indicate that respondents were generally unwilling to be self-critical. The implication of this phenomenon is that

¹³⁸ See Chapter Four, page 159.

the replies of some survey respondents to those questions sensitive to their own organisations' performance and/or practices may not be completely honest.

The thirteenth survey question asked respondents to provide any further comment regarding how, in their belief, Ecuadorean development projects could be managed more effectively. This provided respondents with the opportunity to express views and opinions, and resulted in a rich source of qualitative data. Of the eight responses to question thirteen that directly addressed the subject of project management, some expressed concern over the fit between projects and local development processes.¹³⁹

Despite this concern, only one respondent expressed a desire to see process/operational instead of project development work.¹⁴⁰ Other respondents may hold the same opinion without having expressed it for the benefit of this survey, but this solitary response with regards to process versus project, reflects the fact that nearly 94% of respondents to question three perform at least some project work.

The self-management of development projects by local actors was mentioned directly by five respondents and indirectly by a further four.¹⁴¹ The most compelling case for the move towards autonomous local project management was provided by Case number 57 (by email):

Community involvement from formulation. But this is sometimes not possible due to lack of investment from donors. Projects should distance themselves from paternalism, and generate capacities for self-management. They should foment the idea that local communities are the managers and accompany them in the initial stages towards their own sustainability. The NGO is just the facilitator of this.

¹³⁹ Case 28 (by interview) '*Projects should form part of local development plans, and focus on evident necessities and priorities in the community*', case 30 (by interview) '*Projects should be linked to community processes*', and case 56 (by email) '*Projects should be designed to fit the local development framework*', are typical of the comments received.

¹⁴⁰ Case 2 (by interview) '*Development should be thought of as systematic and continuous processes rather than projects*'.

¹⁴¹ For example: Case 45 (by email) states '*Required are citizen participation, self-management from a participatory strategic plan*'.

Table 3.3 – Reasons why Project Activities are not Performed

PMA is not suitable

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	3	2.5	42.9	42.9
	Agree	1	.8	14.3	57.1
	Don't Know	1	.8	14.3	71.4
	Disagree	2	1.6	28.6	100.0
	Total	7	5.7	100.0	
Missing	System	115	94.3		
Total		122	100.0		

Prefer continuous process work

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	2	1.6	33.3	33.3
	Agree	2	1.6	33.3	66.7
	Strongly Disagree	2	1.6	33.3	100.0
	Total	6	4.9	100.0	
Missing	System	116	95.1		
Total		122	100.0		

Available project methods are not good enough

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Agree	1	.8	14.3	14.3
	Don't Know	1	.8	14.3	28.6
	Disagree	2	1.6	28.6	57.1
	Strongly Disagree	3	2.5	42.9	100.0
	Total	7	5.7	100.0	
Missing	System	115	94.3		
Total		122	100.0		

Organisation lacks expertise

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Agree	2	1.6	28.6	28.6
	Disagree	1	.8	14.3	42.9
	Strongly Disagree	4	3.3	57.1	100.0
	Total	7	5.7	100.0	
Missing	System	115	94.3		
Total		122	100.0		

Notably, reflecting this chapter's earlier discussion of the role of the NGO, this respondent argues that the Ecuadorean NGO should be the facilitator and not the implementer. The development organisation survey thus evidences a perceived need on behalf of some respondents to move towards autonomous management. Since self-management was not specifically mentioned by question thirteen, the fact that nine respondents chose to address this issue is here adjudged to be significant.

3.3.3 Use of Logical Planning and Participatory Methods in Ecuadorean Development

The review of informing literature highlighted the lack of consensus among development writers concerning the merits of combining participatory methods with logical planning approaches such as LFA. Although some advocate the possible benefits of this combination (Ahonen, 1999: 105), others argue that participation and objectives based logical planning approaches have contradictory goals and philosophies (Bakewell and Garbutt, 2005: 12, Wallace et al, 1997: 30). In contrast, the results of the fifth survey question demonstrate that the combination of participatory and logical planning approaches is a common practice for respondent organisations.

As can be seen from Table 3.4, 68 respondents (62.4%) use a combination of both participatory and logical planning methods to manage their project activities. These results also show that only one organisation uses neither logical planning or participatory methods, and one more organisation (Children International) uses a bespoke matrix for project management. Five other organisations also employ a further method for PM, although each of those methods is used in conjunction with either a logical planning or participatory method.¹⁴²

Thus, the results of question five highlight another disjuncture between the development literature and practice in Ecuadorean NGOs. Whilst the literature is tentative towards the

¹⁴² These named methods are project management software, Think Tank, an evaluation and implementation method, operative plans and strategic planning.

combination of logical planning and participatory methods, it is standard practice to employ both approaches in the Ecuadorean development context, at least for the respondent organisations. On the basis of this evidence, the present writer would argue that the informing literature should revisit the practice of combining logical planning and participatory approaches.

Table 3.4 – Project Management Methods used by Ecuadorean Development Organisations

Type of method used to manage projects

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Logical Planning	19	15,6	17,4	17,4
	Participatory	20	16,4	18,3	35,8
	Both	68	55,7	62,4	98,2
	None	1	,8	,9	99,1
	Other	1	,8	,9	100,0
	Total	109	89,3	100,0	
Missing	System	13	10,7		
Total		122	100,0		

3.3.4 Management of the Project Life Cycle

Chapter Two identified gaps in the informing literature pertaining to the management of the project life cycle using methods such as LFA and PRA. Similarly, this chapter has identified a parallel between those approaches and the methods designed for project management in Ecuadorean development. Accordingly, the development organisation survey attempted to discover the nature and attributes of project life cycle management in Ecuador.

The results of the sixth survey question, as displayed in Table 3.5, show that as the project life cycle progresses, fewer respondents perform project life cycle management activities. Thus, project planning and formulation is the activity performed by most NGOs, and monitoring and evaluation is the activity performed by the least.

The present writer hypothesises that the results of survey question six constitute the logical outcome of the availability of project planning methods for Ecuadorean development project management. Conversely, the lack of tools addressing the further stages of the project life cycle has resulted in less management of these phases by Ecuadorean NGOs.

Table 3.6 shows the results from the seventh survey question. This data is somewhat distorted by the fact that some respondents provided multiple answers to question seven.¹⁴³ However, based on the hypothesis that only a single answer of ‘They are well established, we have used them for a long time’, or ‘They are new but well established’ indicates that respondents are completely comfortable with their methods for project management, the data shows that 38.89% of respondents to some extent recognise deficiencies in their working practices. Bearing in mind the respondents’ general aversion to negative assessment of their own organisations, in the present writer’s opinion, this percentage reflects perceived problems with NGO project management.

¹⁴³ A total of twenty respondents replied with more than one answer, fifteen providing two answers, and five providing three answers.

Table 3.5 – Project Activities performed by Ecuadorean Development Organisations

Phases of project cycle Planning & Formulation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	98	80,3	89,9	89,9
	No	11	9,0	10,1	100,0
	Total	109	89,3	100,0	
Missing	System	13	10,7		
Total		122	100,0		

Phases of project cycle Implementation & Control

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	93	76,2	85,3	85,3
	No	16	13,1	14,7	100,0
	Total	109	89,3	100,0	
Missing	System	13	10,7		
Total		122	100,0		

Phases of project cycle Monitoring & Evaluation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	80	65,6	73,4	73,4
	No	29	23,8	26,6	100,0
	Total	109	89,3	100,0	
Missing	System	13	10,7		
Total		122	100,0		

Table 3.6 – Analysis of Project Management Methods

Description of status of current PM processes = Well Established

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	53	43,4	49,1	49,1
	No	55	45,1	50,9	100,0
	Total	108	88,5	100,0	
Missing	System	14	11,5		
Total		122	100,0		

Description of status of current PM processes = New but Established

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	36	29,5	33,3	33,3
	No	72	59,0	66,7	100,0
	Total	108	88,5	100,0	
Missing	System	14	11,5		
Total		122	100,0		

Description of status of current PM processes = Subject to Frequent Change

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	31	25,4	28,7	28,7
	No	77	63,1	71,3	100,0
	Total	108	88,5	100,0	
Missing	System	14	11,5		
Total		122	100,0		

Description of status of current PM processes = No Processes for some Activities

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	10	8,2	9,3	9,3
	No	98	80,3	90,7	100,0
	Total	108	88,5	100,0	
Missing	System	14	11,5		
Total		122	100,0		

Description of status of current PM processes = No Processes at all

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	3	2,5	2,8	2,8
	No	105	86,1	97,2	100,0
	Total	108	88,5	100,0	
Missing	System	14	11,5		
Total		122	100,0		

In terms of project life cycle management, the results of survey question eight, displayed in Figure 3.5 and Table 3.7, show the responsibilities for project planning, implementation and control¹⁴⁴ and M&E according to survey respondents. Despite being directed to mark only one of these options, many respondents opted to select two or more options in preference to the 'Mixture' option. This actually resulted in a source of rich data, although since many respondents did mark the 'Mixture' option, data that lacks uniformity.

¹⁴⁴ For the purposes of the development organisation survey the PMA process of 'Executing' was termed 'Implementation and control', which is a clearer term when translated into Spanish. However, for clarity it is here considered that the terms 'Implementation and control' and 'Execution' are interchangeable and both refer to the PMA process of 'Executing'.

Figure 3.5 shows the results for question eight after the multiple responses have been re-coded into the 'Mixture' category. These figures indicate that NGOs are more likely to collaborate with other development actors after project planning has been completed, and work progresses to the project life cycle phases of implementation and control/execution and M&E. This outcome stands in contradiction to the existence of numerous Ecuadorean participatory project planning methods discussed earlier. As such, the present writer would question whether those methodologies have made a positive impact on participatory project planning activities.

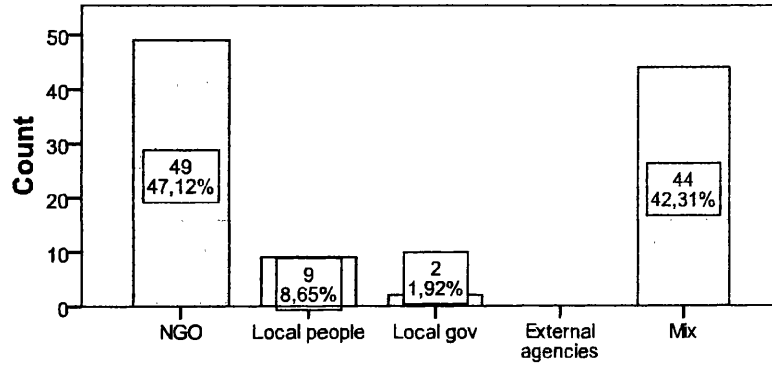
The data displayed in Figure 3.5 also demonstrates that the percentages of local people, local government and external agencies who assume sole responsibility for management in all of the project phases are low. In itself this statistic is unsurprising, as the role of NGOs is very often to coordinate and direct development initiatives. However, the results of question thirteen, discussed later, indicate that respondents feel that there should be more involvement of local communities and beneficiaries in development projects.

Table 3.7 displays an analysis of the multiple responses to question eight. This data indicates an increased involvement of local government and external agencies during project execution and evaluation. For example, the 'NGO Staff' and 'External Agencies' multiple response was provided only once for planning and formulation, but six times for implementation and control/execution, and four times for monitoring and evaluation. A further example is provided by the 'NGO Staff' and 'Local Government' response, which was provided only once for planning and formulation, but four times for implementation and control/execution, and three times for monitoring and evaluation. The performance of project evaluations by external agencies to some extent explains the increased involvement of external agencies in the evaluation phase.¹⁴⁵ The reasons for the increased involvement of local government and agencies during project implementation/execution are not readily apparent; however, the present writer would hypothesise that either a lack of expertise or available methods for the management of project execution by project beneficiaries are contributory factors.

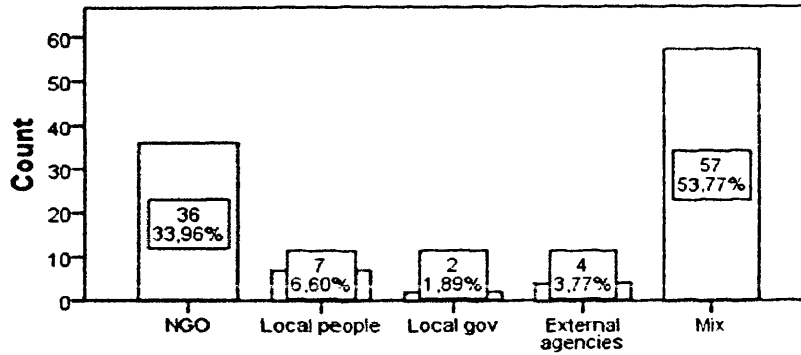
¹⁴⁵ See: Kapoor (2004), and Nelson & Wright (2005).

Figure 3.5 – Responsibility for Project Life Cycle Management

Responsibility for Management of Processes - Planning & Formulation



Responsibility for Management of Processes - Implementation & Control



Responsibility for Management of Processes - Monitoring & Evaluation

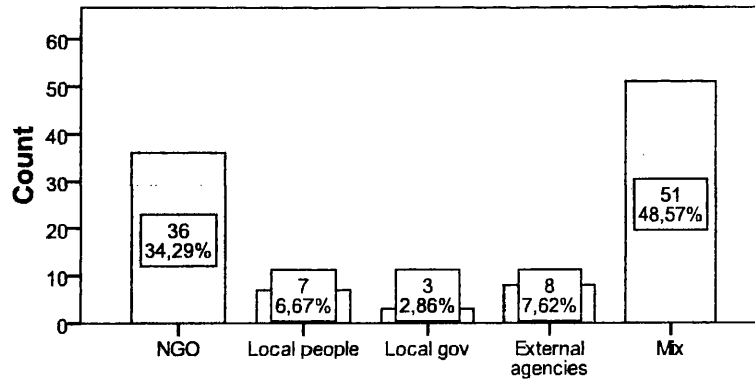


Table 3.7 – Responsibility for Project Life Cycle Management: Analysis of Multiple Responses

	Planning & Formulation (Count)	Implementation & Control (Count)	Monitoring & Evaluation (Count)
NGO Staff & Local People	10	9	6
NGO Staff & Local Government	1	4	3
NGO Staff & External Agencies	1	6	4
NGO Staff, Local People & Local Government	4	5	1
NGO Staff, Local People & External Agencies	1	4	5
Local Government & External Agencies	1	1	1
Local People & Local Government	1	1	3
NGO Staff, Local People, Local Government & External Agencies	2	1	2
NGO Staff, Local Government & External Agencies	1	0	0
Local People, Local Government & External Agencies	0	1	0

The topic of project execution was raised as an issue by twelve people during their responses to survey question thirteen.¹⁴⁶ Furthermore, a lack of local participation in project execution was noted by a number of respondents.¹⁴⁷ The following statement provided by Case 115 (by email) is representative of the majority view:

¹⁴⁶ For example: ‘*Execution, Execution, Execution of projects*’ (Case 33, by interview), ‘*Implementation and control is weak, they are still performed by assistance from outside*’ (Case 55, by email), and Case 98 (by email) who asserted that employing foreign technical staff for project implementation ‘*can cost over 50% of the project budget in salaries.*’

¹⁴⁷ ‘*Greater participation of local communities and beneficiaries in implementation and control is needed*’ (Case 88, by email), ‘*they [project beneficiaries] should be trained and included in the management of administration and operations*’ (Case 41, by email), ‘*Local actors should execute projects*’ (Case 82, by email), ‘*NGOs should help to install project teams to implement the project transparently*’ (Case 110, by email).

Projects would be better managed if beneficiaries were involved in project implementation, creating sustainable development as the knowledge stays with beneficiaries.

However, consensus was not achieved on this matter due to the one dissenting opinion provided by Case 40 (by email):

We are sure that projects are managed better if NGOs execute projects in accordance with local needs rather than looking for local government or people in local communities to execute them.

Despite this, all of the other respondents to address the issue of project execution advocated a greater role for project beneficiaries in this phase of project management. The balance of the comments received to question thirteen indicates that the subject of participatory project execution is a prominent issue. Indeed, execution was afforded more attention by respondents than both project planning and M&E.¹⁴⁸

Overall, the survey data pertaining to development project life cycle management evidences a greater emphasis by NGOs on project planning activities. In contrast, the evidence shows that execution and M&E activities are more often performed by a mixture of development actors than planning activities.

3.3.5 Analysis of Project Management Activities and Results

The development organisation survey intended to discover whether participants viewed the project management performed by Ecuadorean NGOs as successful. Accordingly, survey questions nine and ten asked respondents to rate the project management methods they use, and the performance and results of their projects.

As discussed earlier, the survey results revealed that respondents were unwilling to be critical of their own organisations. This trend was also evident in the replies to survey

¹⁴⁸ Only three comments were received concerning planning and formulation and ten direct comments were provided in relation to M&E.

questions nine and ten, as not one respondent rated either their methods or their project performance as 'very poor'. Tables 3.8 and 3.9 display the results for survey questions nine and ten, and show that respondents rated their systems and performance higher for project planning and formulation.

From the data in Tables 3.8 and 3.9 it can clearly be seen that ratings for both project management systems and project performance decrease as the project life cycle progresses. This data indicates that respondents are more confident about the methods they use and their project performance in the planning phase of the project life cycle. When considered in conjunction with the results from survey questions five and eight, these results reveal notable trends.

Question eight showed a higher rate of NGO control and responsibility during project planning. Thus, the combination of results from questions eight to ten, suggests that Ecuadorean development organisations rate their systems and performance as better when their organisations retain more responsibility for project management.

Table 3.10 shows the results of a cross tabulation between the data for questions five and nine. This cross tabulation shows the respondents' ratings for their project methods in comparison with the project management methods they use.

Table 3.8 – Rating of Project Management Methods

Rating of current method Planning & Formulation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	54	44,3	50,9	50,9
	Good	40	32,8	37,7	88,7
	OK	12	9,8	11,3	100,0
	Total	106	86,9	100,0	
Missing	System	16	13,1		
Total		122	100,0		

Rating of current method Implementation & Control

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	37	30,3	34,9	34,9
	Good	54	44,3	50,9	85,8
	OK	13	10,7	12,3	98,1
	Poor	2	1,6	1,9	100,0
	Total	106	86,9	100,0	
Missing	System	16	13,1		
Total		122	100,0		

Rating of current method Monitoring & Evaluation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	34	27,9	32,4	32,4
	Good	45	36,9	42,9	75,2
	OK	23	18,9	21,9	97,1
	Poor	3	2,5	2,9	100,0
	Total	105	86,1	100,0	
Missing	System	17	13,9		
Total		122	100,0		

Table 3.9 – Rating of Project Management Performance

Rating of current performance Planning & Formulation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	63	51,6	60,0	60,0
	Good	34	27,9	32,4	92,4
	OK	8	6,6	7,6	100,0
	Total	105	86,1	100,0	
Missing	System	17	13,9		
Total		122	100,0		

Rating of current performance Implementation & Control

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	41	33,6	39,0	39,0
	Good	46	37,7	43,8	82,9
	OK	17	13,9	16,2	99,0
	Poor	1	,8	1,0	100,0
	Total	105	86,1	100,0	
Missing	System	17	13,9		
Total		122	100,0		

Rating of current performance Monitoring & Evaluation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	36	29,5	35,0	35,0
	Good	43	35,2	41,7	76,7
	OK	20	16,4	19,4	96,1
	Poor	4	3,3	3,9	100,0
	Total	103	84,4	100,0	
Missing	System	19	15,6		
Total		122	100,0		

The data in Table 3.10 indicates that respondents who use a combination of participatory and logical planning methods rate those methods higher than respondents who use only one of the two approaches. For the project processes of planning and formulation, implementation and monitoring and evaluation, the combination of logical planning and participatory methods rates higher than the singular use of either a logical planning or a participatory method. However, for the process of control/execution the sole use of logical planning methods rates slightly higher than the combination of logical planning and participatory methods. Despite this, from the data presented in Table 3.10, the present writer would argue that the combination of logical planning and participatory approaches is favoured over the use of a singular method by Ecuadorean development organisations.¹⁴⁹

¹⁴⁹ However, a cross tabulation between questions five and ten does not show a similar trend for the ratings of the combination of logical planning and participatory methods with project performance. The data from this cross tabulation has not been provided in this section, as it fails to show any real trends in responses to questions five and ten.

Table 3.10 – Cross Tabulation of Method Ratings with Type of Method Used

Rating of current method Planning & Formulation	Very Good	Count	% within Type of method used to manage projects	Type of method used to manage projects					Total	
				Logical Planning	Participatory	Both	Other			
				Count	% within Type of method used to manage projects	Count	% within Type of method used to manage projects	Count		% within Type of method used to manage projects
Good	8	44.4%	7	36.8%	25	37.3%	0	0%	40	38.1%
OK	2	11.1%	3	15.8%	6	9.0%	0	0%	11	10.5%
Total	18	100.0%	19	100.0%	67	100.0%	1	100.0%	105	100.0%

Rating of current method Implementation & Control * Type of method used to manage projects Cross tabulation

Rating of current method Implementation & Control	Very Good	Count	% within Type of method used to manage projects	Type of method used to manage projects				Total						
				Logical Planning	Participatory	Both	Other							
Good	Count	10	52,6%	10	50,0%	34	0	54						
									% within Type of method used to manage projects	2	4	6	0	12
% within Type of method used to manage projects	0	0	2	0	2									
						Poor	Count	0	,0%	3,1%	,0%	1,9%		
% within Type of method used to manage projects	19	20	65	1	105									
						Total	Count	100,0%	100,0%	100,0%	100,0%	100,0%		
% within Type of method used to manage projects	19	20	65	1	105									

Rating of current method Monitoring & Evaluation * Type of method used to manage projects Cross tabulation

Rating of current method Monitoring & Evaluation	Very Good	Count	% within Type of method used to manage projects	Type of method used to manage projects					Total
				Logical Planning	Participatory	Both	None	Other	
Good	Count	8	42,1%	4	25	0	0	34	
	% within Type of method used to manage projects			21,1%	39,1%	,0%	,0%	32,7%	
	Count	10	52,6%	26	100,0%	1	0	45	
OK	Count	6	31,6%	5	10	0	1	22	
	% within Type of method used to manage projects			26,3%	15,6%	,0%	100,0%	21,2%	
	Count	0	,0%	0	3	0	0	3	
Poor	Count	0	,0%	0	3	0	0	3	
	% within Type of method used to manage projects			,0%	4,7%	,0%	,0%	2,9%	
	Count	19	100,0%	19	64	1	1	104	
Total	Count	19	100,0%	19	64	1	1	104	
	% within Type of method used to manage projects			100,0%	100,0%	100,0%	100,0%	100,0%	

3.3.6 Participation in NGO-led Development Projects

On the subject of beneficiary and local participation, the survey results highlight the use of forms of participation that span the spectrum of participatory approaches.¹⁵⁰

The results of survey question eleven, as displayed in Table 3.11, demonstrate a wide variety of participatory practices in Ecuadorean NGO-led development. Despite being asked to only mark one of the available answers, a number of respondents chose to select more than one option for this question. Although the most prominent form of participation in respondent organisations is consultative participation, apart from the option of ‘No participation’, all of the answers scored fairly highly. Thus, the data from survey question eleven highlights a diverse implementation of participatory forms, a fact that will be further evidenced by the interview data presented in Chapter Four. That data will confirm that consultative participation is commonplace in Ecuadorean development, but will also show examples of participation in decision-making, in all aspects of project management, and some examples of self-management.

The fact that the options ‘Participation in all aspects’ and ‘Self-management’ scored so highly indicates that project beneficiaries and local communities enjoy a high level of participatory activity in Ecuadorean development. However, based on the findings for the semi-structured interviews, the present writer will argue that some survey respondents actually used these two selections to categorise consultative forms of participation.¹⁵¹ Thus, it is questionable whether participation in all aspects of development and self-management are as prevalent in Ecuadorean development as the survey results suggest.

When asked to consider which factors they felt would increase local participation in development projects, survey respondents selected ‘More or better training’ more than any other option. The results of survey question twelve are shown in Table 3.12, and highlight that training was clearly prioritised above the other options by survey respondents.

¹⁵⁰ The review of informing literature discussed the typologies of participatory approaches and ideals. See Chapter Two, page 63.

¹⁵¹ See Chapter Four, page 188.

The lowest rated options for question twelve were ‘More or better tools for monitoring and evaluation’ (43.1%), and ‘More or better tools for implementation and control’ (45%). The fact that these two options both rated significantly lower than ‘More or better tools for project planning and formulation’ is inconsistent with the results of questions nine and ten, which showed that respondents rated their methods and performance for the planning phase of the project higher than for both implementation and control/execution and M&E.

Table 3.11 – Participation in NGO-led Projects

Option	Frequency	Valid Percentage
No participation	3	2.8%
Consultative participation	47	43.1%
Participation in decision-making	27	24.8%
Participation in all aspects	44	40.4%
Self-management	36	33.0%

Total responses = 109 survey respondents

Table 3.12 – Improvements for the Increase of Local Participation

Option	Frequency	Valid Percentage
More or better tools for project planning and formulation	60	55.0%
More or better training	85	78.0%
More or better tools for monitoring and evaluation	47	43.1%
More equipment and physical resources	63	57.8%
More or better tools for implementation and control	49	45.0%

Total responses = 109 survey respondents

As such, the present writer would have expected that the project phases which respondents rated lower in terms of methods and performance (implementation and control/execution and M&E), would have scored lower for question twelve than the phase of project planning. However, the results from question eight showed that NGOs have more responsibility during the planning phase than during implementation and control/execution or M&E. When considered alongside the results from question eight, the data from question twelve is consistent with the view that there is currently not enough beneficiary/local participation in project planning.

Participation was identified as a key issue by survey respondents in their answers to question thirteen, as nineteen respondents directly addressed this issue in their replies. Typical comments extolled the virtues of fostering participation in Ecuadorean development.¹⁵² Furthermore, a common factor in the responses regarding participation was the viewpoint that current levels and forms of participation are insufficient.¹⁵³ As such, the replies to question thirteen provide evidence that actual participatory activities do not represent the forms of participation to be found at the higher end of the participatory scale.

From an overall perspective, the present writer would argue that the development organisation survey has highlighted concerns with the application of participatory practices in Ecuadorean development. This argument will be augmented further by the findings of the interview process, discussed in Chapter Four.

¹⁵² For example: '*Community Participation is key*' (Case 22, by interview), '*Facilitate the participation of beneficiaries*' (Case 31, by interview), and '*Local participation is fundamental*' (Case 73, by email).

¹⁵³ For example: '*Communities should have participation in decision-making*' (Case 30, by interview), '*Local participation is poor, they only say what should be done*' (Case 63, by email), and '*Greater participation of local communities and beneficiaries in implementation and control is needed*' (Case 88, by email).

3.4 Conclusions

The data presented in this chapter provides a background for the discussion of Ecuadorean development presented in the ensuing chapters of this thesis. The analysis of secondary data sources demonstrated that the Ecuadorean development context is one in which central government functions are increasingly being decentralised. It is within this context that Chapter Five's analysis and discussion of the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living') is based. Moreover, the prevalence of project activity in organisations responding to the development survey highlights the Ecuadorean development reality relevant to this work's examination of project management methods and processes.

The discussion of Ecuadorean participatory methodologies showed that SISDEL is the only Ecuadorean method to have been designed for the management of the entire project life cycle. However, analysis highlighted that SISDEL lacks sufficient tools for the management of the PMA process of 'Executing', an argument acknowledged by the methodology's creator. As such, the SISDEL methodology reflects the shortcomings of PRA as a project management method, discussed in Chapter Two.¹⁵⁴ Furthermore, the survey results evidenced that respondent development organisations rated their project management methodologies and project performance less highly for the project phases of execution and M&E than for the initial phase of project planning. This is again consistent with the focus on project planning identified during the literary review.

Finally, based on the results of the development organisation survey, the present writer concludes that the nature of participation differs considerably in respondent organisations. Those organisations, which include both national and international NGOs, report an array of participatory practices, from consultative participation to self-management. This quantitative data provides the basis for the next chapter's discussion of the nature of participation in Ecuadorean NGO-led projects.

¹⁵⁴ See page 90.

Chapter 4

NGO Project Management and Participation in Ecuador

In addition to the quantitative information gathered by the development organisation survey and discussed in the previous chapter, the research process for this thesis included the performance of semi-structured interviews with organisations performing development activities in Ecuador. Supplemented by further secondary material, these interviews were designed in order to gather qualitative data concerning participation and project management in Ecuadorean NGO-led projects. The interviews attempted to investigate the project management methods Ecuadorean development organisations use for planning, execution and Monitoring and Evaluation (M&E), and gain insights into the effectiveness and efficiency of those methods, and examine the nature of participation in Ecuadorean development projects.¹⁵⁵

The results of the interview process indicate a number of trends towards traditional project management practices in the Ecuadorean research setting. Moves towards the use of programme management will be discussed, alongside the achievement of International Organization for Standardization (ISO) certification by one national NGO and the use of project committees by a number of development organisations working in Ecuador.

Despite these trends, the interview data highlights a dearth of evidence to show that project execution is performed effectively in Ecuadorean development. Many of the methods employed by NGOs lack processes for the Project Management Approach (PMA) process of 'Executing', and there is evidence to suggest that some NGO employees do not fully understand the purposes of the PMA and project life cycle management.

On the basis of data pertaining to beneficiary participation the present writer will argue that consultation for ideas generation, consensus-building and multi-stakeholder agreement are the predominant forms of participation occurring in NGO-led Ecuadorean development.

¹⁵⁵ A complete list of details of interviewees, interview organisations and dates is provided in Appendix 2.

4.1 NGOs and the Ecuadorean Development Context

Both the email survey and the semi-structured interviews provided significant data to evidence that development organisations working in Ecuador must endure the effects of the changing political climate and a constant lack of funding. In this section it will be argued that these factors have contributed to a situation in which national NGOs are regularly compelled to cease activities.

As highlighted by the methodology section of Chapter One,¹⁵⁶ a substantial percentage of NGOs and foundations were not present at their listed addresses. The interview process showed that many of those organisations are no longer in operation. Interviewees confirmed that Ecuadorean NGO numbers are diminishing, and argued that closures are often due to reductions in central government funding.¹⁵⁷ Furthermore, the evidence shows that central government has imposed restrictions and more rigorous selection criteria on NGOs in order to attain more control of funding invested in the activities of national NGOs.¹⁵⁸

The frustration of NGO staff at reduced central government and donor funding was clearly evident in both the survey and interview data.¹⁵⁹ Just one example of funding scarcity is provided by national NGO *Centro de Estudios de Población y Desarrollo Social* (CEPDS,

¹⁵⁶ See Chapter One, pages 20-1.

¹⁵⁷ Interviewees from national NGOs *Servir* (interview 7, 1st August 2008, Quito), *Corporación de Estudios y Desarrollo Cooperativo* (CEDECOOP, Corporation of Cooperative Studies and Development, interview 8, Sergio Castillo Paez, 5th August 2008, Quito), *Fordes* (interview 11, Héctor Jara Martínez, 12th August, 2008, Quito) and *Fundación Progreso y Desarrollo* (PRODES, Foundation Progress and Development, interview 16, 29th August, 2008, Quito) all confirmed these findings.

¹⁵⁸ CEDECOOP representative, interview 8, author's translation:

What has happened is that over the last few years in Ecuador many foundations have appeared overnight, many of them work with government money, but one doesn't know if they really exist or if they're doing real work, generally they have become private companies and use government funds to do another activity.

¹⁵⁹ For example: Survey case 49, by email: '*Little cooperation and scarce support exist for NGOs who work without capacity*', case 64 (by email) '*Agendas are developed according to international cooperation and multilateral organisations, obliging that local organisations accommodate to the needs of those organisations*', and case 16 (by interview) '*Donors impose their objectives, criteria and methods. As such the NGO is obliged to follow donor conditions and cannot direct the process in the most appropriate way*'.

Centre for Studies of Population and Social Development).¹⁶⁰ The activities of CEPDS were funded by donors from 1989 until 2000, since which point the organisation has failed to secure ongoing support from either the state or international institutions. As a consequence CEPDS has had to relinquish its original mandate of investigation and population studies, to focus on the implementation of development projects.

During the course of Rafael Correa's presidency of Ecuador International NGOs (INGOs) have found their activities to be increasingly hampered by presidential policy.¹⁶¹ This situation is a result of restrictions imposed by the Correa administration intended to make NGOs adhere to the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living').¹⁶² According to the representative from *Ideas en Concreto* (Concrete Ideas, interview 44), an organisation involved in the creation of local development plans for the PNBV, the government's aim is to ensure that all development efforts are linked to the PNBV. Indeed, this is consistent with the new Ecuadorean constitution, which states that observation of the PNBV is obligatory for the public sector and recommended for other sectors (*Asamblea Constituyente*, Constitution of Ecuador 2008, Article 280). Thus, the Ecuadorean government has limited the activities of NGOs by requiring that development initiatives receive approval from an appropriate ministry before they begin.

Additionally, international NGOs (INGOs) have found it increasingly difficult to attract donor funding for development activities in Ecuador.¹⁶³ By 2011, this funding shortage had been exacerbated by the international financial crisis, meaning that INGOs were operating with far smaller budgets than in previous years.¹⁶⁴

¹⁶⁰ Interview 10, 6th August, 2008, Quito.

¹⁶¹ *Terre des Hommes* (TdH) representative (Interview 29, Pierpaolo Biagi, Country Director, 14th November 2011, Quito) '*The government doesn't want us [INGOs] here. It puts obstacles in our way. How can we work at national level when they hate us?*' (original quotation). Terre des Hommes is an Italian implementing NGO.

¹⁶² *Ideas en Concreto* representative (Interview 44, Jose Garcia, Director, 13th February 2012, Quito).

¹⁶³ TdH representative (28th November, 2011, Quito) '*Ecuador is not a priority [for European donors]. They see a country that is rich in natural resources like oil. They prefer to send money to African countries*' (original quotation). From a local [Ecuadorean] perspective the lack of funding coming from overseas was confirmed by the representative from INEC (*Instituto Nacional de Estadísticas y Censos*, National Institute of Statistics and Censuses) (Discussion 1, Claudio Gallardo, 27th August, 2008, Quito).

¹⁶⁴ According to the TdH representative (28th November, 2011, Quito) Terre des Hommes Ecuador, which previously had a budget of US\$500,000 in 2008, was operating on a budget of just US\$200,000 for 2011. A

While INGOs have found it more difficult to operate under Correa's regime, at least one national NGO saw potentials in the central government's approach to development. The representative from national NGO *Conservación & Desarrollo* (C&D, Conservation and Development)¹⁶⁵ argued that the national government should take complete control of all development activity. According to this interviewee, a national development plan is the only way to coordinate the multitude of development activities into an effective overall strategy.

As far as the coordination of development actors and activities is concerned, this point may be valid, but it falls foul of development realities and discourse on a number of fronts. Not least of which is the fact that development debate is oriented towards the decentralisation of power, responsibilities, financing and activities.¹⁶⁶ A reversal of this trend as proposed by the C&D interviewee would be seen as both unwanted and untenable by many people involved in development.

Reduced availability of funding from international sources means that competition is increased for funding from central government. The interviewee from *Fundación de Investigaciones Andino Amazónicas* (FIAAM, Foundation of Andean Amazonian Investigation), a national implementing NGO,¹⁶⁷ argues that the NGOs and foundations that produce results are the ones to survive cuts in expenditure. Nevertheless, the interview research process demonstrated that a large number of Ecuadorean NGOs and foundations have ceased to exist.¹⁶⁸

similar reduction in funding has been endured by *Cooperazione Rurale in Africa e America Latina* (ACRA, Rural Cooperation in Africa and Latin America) (28th October 2011, Quito). ACRA is an Italian implementing NGO.

¹⁶⁵ Interview 35, Alfredo Dueñas, 8th December, 2008, Quito.

¹⁶⁶ See: Muñoz (2005: 62), and Perrault (2003: 69).

¹⁶⁷ FIAAM (interview 18, Salomón Cuesta Zapata, 29th August, 2008, Quito).

¹⁶⁸ As well as highlighting the closure of NGOs, the interview process also yielded results to support the view expressed by the representative from CEDECOOP (interview 8) that those organisations had been set up to take advantage of government funds. As such, many registered addresses visited were in fact residential addresses. Despite this observation, the research also provided numerous examples of foundations and NGOs that are small, have limited equipment and financial resources, and are to some extent restricted by knowledge and training needs, but are nonetheless performing vital development work.

Before the presidential tenure of Rafael Correa, frequent presidential changes resulted in a lack of consistency in the decentralised development sponsored by the state.¹⁶⁹ Since Correa came to power, central government has prioritised reforms to the regional and local government structure for the implementation of decentralised development.¹⁷⁰ The original data evidences a shift in the nature of NGO activities, validating Bebbington's (1997: 127-128) argument that diminishing funds have led to NGOs turning away from implementation to facilitation.

The facilitation role of NGOs was identified as a current issue within Ecuadorean development during Chapter Three's review of the informing literature.¹⁷¹ The changing nature of the NGO's role in Ecuador is highlighted by the following response to question thirteen (Case 50, by email, author's translation):

New to the country is the concept of capacity building of NGOs. The vast majority of NGOs work towards social ends, they should be re-educated to change their vision and re-orientate to become more productive.

This point of view firmly aligns itself with the notion that NGOs should adapt themselves and their activities in order to become facilitators rather than implementers of projects, as outlined by Keese & Argudo (2006: 120) and Bebbington (1997: 127-128). Mitlin et al (2007: 1714) discuss the importance of moving away from '*little d*' localised development, such as project implementation, towards wider development goals, for example the support of social organisations. The evidence presented above suggests that Ecuadorean NGOs are actively engaged in this shift.

¹⁶⁹ Survey case 43 (by email, author's translation):

Good intentions exist but institutional weakness in both public and private organisations. State politics are neither clear nor coordinated resulting in differing tendencies and focus, and a lack of coordination.

Additionally, case 70 (by email) '*each new government wants to stop the projects of previous governments, which stops the continuity of good projects*'.

¹⁷⁰ For example the Alianza Pais representative (Mercedes Ortiz Albuja, 16th September 2010, Quito) discussed how parish councils are being provided with increased central government funding for their development activities.

¹⁷¹ See Chapter Three, page 105.

Two examples of this changing role of national NGOs are provided by the cases of Comunidec and Safiqui. Both of these organisations have switched from project implementation to working with the projects of regional and local governments. Comunidec (interview 1) was contracted by the provincial government of Chimborazo to provide guidance and manage the province's implementation of Participatory Budgeting (PB).¹⁷² Similarly, Safiqui was engaged in an educational and cultural programme with the government of canton Shushufundi.¹⁷³

Both Comunidec and Safiqui constitute cases in which national NGOs previously engaged in the implementation of projects with funds from either central government or international donors have become engaged in the facilitation of regional government projects/programmes. In these circumstances it is the regional governments that provide the funds and define the agenda for the programme or project. The national NGOs are contracted in order to provide professional or expert services, methodological assistance in the case of Comunidec, and expertise in educational and cultural development work in the case of Safiqui. Furthermore, in both cases the facilitation role included managerial assistance.

A concern for a number of interviewees was the practice by donor organisations of imposing tools and methods for project management on national NGOs. Interviewees complained that each big international donor expects national NGOs to adopt their methodologies for project management in order to secure funding.¹⁷⁴ This approach was viewed as restrictive by interviewees:

The institutions have to be criticised, it isn't just LFA but those who introduce LFA and those who introduce the scheme and the structure are the donors, and they infer that participation is a process that has to be spontaneous (FIAAM representative, interview 18, author's translation).

¹⁷² Chapter Five provides an in-depth analysis of the experience of PB in the province of Chimborazo.

¹⁷³ *Fundación Safiqui* (interview 37, José García, Director, 10th December, 2008, Quito).

¹⁷⁴ Foundation Innovar (interview 12, Fausto Andrade & Marco Oviedo, 13th August, 2008, Quito), FIAAM (interview 18), and *Corporación Técnica Sueca* (Swedish Technical Corporation, interview 25, 17th November, 2008, Quito) all addressed this topic in their interviews.

This statement by the FIAAM representative critiques both LFA and the application of participatory approaches from the perspective of methods imposed by donor organisations. Similarly, Chapter Six's examination of two local organisations working with NGO funding will highlight the imposition of project management approaches on local organisations by both national and international NGOs.

Thus, the context within which Ecuadorean NGOs operate is one of scarce financial resources due to a reduced access to funding from both central government and international donor organisations. It is within this context that the ensuing analysis of development participation and project management is made.

4.2 The Project Management Approach in Ecuadorean Development: Issues and Problems

The interview process highlighted two main issues in relation to Ecuadorean project management. Accordingly, this section will firstly examine the failure of development organisations to successfully separate project and process/operational management activities. Secondly, a critique of the PMA emerging from the interview data will be discussed.

The interview data provides evidence that a number of interviewees displayed a lack of understanding of formal project management processes and techniques. Five interviewees who are currently engaged in the management of projects, failed to show any understanding of processes for project execution.¹⁷⁵ Two interviewees mistakenly believed that the monitoring of activities is in itself a process for project execution, and another provided examples of planning techniques to answer questions concerning project execution.

The present writer would argue that this lack of knowledge is detrimental to the pursuit of project management activities. Additionally, it is argued that this situation stems from the lack of attention given to this topic in the informing literature. As such, the lack of discussion of project execution in the global development discourse contributes to a situation in which employees of national NGOs display gaps in knowledge concerning the PMA process of ‘executing’.

Moreover, the practice of organising process/operational work into projects was exhibited by a number of interviewee organisations.¹⁷⁶ According to this phenomenon, development efforts and initiatives are called projects, but those ‘projects’ are structured as one would perform process/operational work even though there are no unique activities to be

¹⁷⁵ When specifically questioned about their processes for project implementation, four of these interview respondents avoided the question by changing the subject and discussing an unrelated topic. The final respondent asked for clarification before admitting that he didn’t know anything about project execution tools and procedures. In traditional project management such tools might include Gantt charts, critical path analysis, exceptions analysis, or regular project management review meetings (Field and Keller, 1998: 62).

¹⁷⁶ These organisations are: PRODES (interview 16), Machangarasoft (interview 6, 29th July 2008, Quito), Children International (interview 6, 21st November 2008, Quito). All of these organisations are implementing NGOs, the first two are Ecuadorean NGOs, and Children International is an INGO.

completed in a set timescale. In the example of *Fundación Progreso y Desarrollo* (PRODES, Foundation Progress and Development, interview 16),¹⁷⁷ each academic year of the foundation's educational work is referred to as a project, retaining the project cycle phases of planning, execution and control.¹⁷⁸ The same activity is evident in *Machangarasoft's* work to provide technologies to local communities, and Children International's (CI) yearly planning and quarterly implementation of project activities. These organisations work with routine activities that are simply planned and monitored on a yearly basis. By comparison, a project seeks to execute a series of distinct activities as it pursues the completion of a final goal (PMI, 2008: 5). At that point the project terminates.

A further example of this practise is provided by *Corporación Participación Ciudadana* (CPC, Citizen's Participatory Corporation).¹⁷⁹ CPC's education projects are managed in a similar manner to CI's projects, with an annual operative plan and quarterly implementation of activities. CPC uses LFA and other project tools to manage this work, monitoring and evaluating activities and results on a quarterly basis.

Such 'projects' are renewed on an annual basis and continue indefinitely. For example Foundation Fabian Ponce's project to provide legal access to refugees, funded by the Ecuadorean ministry of exterior relations, is renewed each year, and at the time of interview, had been in operation for eight years.¹⁸⁰

The present writer would question the validity of using the project approach in this manner. As was highlighted in the review of informing literature,¹⁸¹ the tools pertaining to the PMA's project life cycle are designed in order to manage unique initiatives. Thus, the effect of managing process/operational activities in the same manner is likely to be a loss of effectiveness. For example, the time and resources spent on adhering to quarterly or yearly

¹⁷⁷ PRODES (interview 16, 29th August, 2008, Quito).

¹⁷⁸ PRODES hires and trains teachers before placing them in local communities. At the time of interview they had fifteen teachers giving classes to 600 children in communities within canton Quito.

¹⁷⁹ Interview 21, 5th September, 2008, Quito. CPC is a national NGO implementing projects concerned with participation in democracy and democratic processes.

¹⁸⁰ Foundation Fabian Ponce (interview 15, 27th August, 2008, Quito) is a national implementing NGO.

¹⁸¹ See Chapter Two, pages 40-1.

project documentation such as plans and evaluations could be more effectively spent on ongoing organisational processes.¹⁸²

The interview data also highlights the combination of process/operational and project activities by some NGOs. In this scenario annual operative plans and strategic planning are combined with projects in order to reconcile the project approach with long-term development goals.¹⁸³ This use of strategic planning to combine strings of projects into coherent long-term development initiatives could be considered as a form of programme management,¹⁸⁴ although the interviewees never use this concept to refer to their activities. The literature review discussed the benefits of using a programme management approach to group together interrelated projects and attain a long-term structure for development efforts, thus negating the critique of the project approach for its short-term nature.¹⁸⁵

This practice is evident in the application of Outcome Mapping by the Flemish Association for Cooperation to Development (VVOB), discussed later in this chapter, and Comunidec's methodological shift from projects to the Participatory Budget of Chimborazo (PPCH), analysed in Chapter Five.¹⁸⁶ Similarly, *Yanapuma*¹⁸⁷ has moved to a programme approach, although whereas VVOB's national programme concentrates on education, *Yanapuma* is implementing the programme approach for all aspects of development for the community of Bua. *Yanapuma*'s strategy is therefore representative of Comunidec's PPCH, but focused at community rather than provincial level.

¹⁸² In an example from the original research for this thesis, Chapter Five will show that process/operational work was organised into projects by the Provincial government of Chimborazo. Consequently, the production of a logframe was required for each of the many projects created. This practice constitutes an inefficient organisational process.

¹⁸³ For example *Instituto Latinoamericano* (Latin American Institute, interview 5, Gustavo Endara, 29th July 2008, Quito) and Foundation Maria Luisa Gomez de la Torre (interview 2, Fernando Buendia, 11th April 2007, Quito) both plan and implement their development activities using this mixture of project and process approaches.

¹⁸⁴ Programme management seeks to integrate numerous projects into a coherent long-term management strategy. See: Maylor et al (2006: 63) and the definition of programme management provided in Chapter One, page 3.

¹⁸⁵ See Chapter Two pages 46-7.

¹⁸⁶ The PPCH, which is managed by the provincial government of Chimborazo, plans, implements and evaluates programme activities on a yearly basis for 13 development areas including education, health, production and basic services.

¹⁸⁷ *Yanapuma* (interview 14, 20th August, 2008, Quito) is a national implementing NGO.

By comparison relatively few of the interview organisations exhibited a complete move away from the project approach. CARE Ecuador¹⁸⁸ was the only interview organisation working with Millennium Goals at the time of interview. Also, the Netherlands Development Organisation (SNV),¹⁸⁹ an INGO and funding organisation, has undergone a transition in practice and policies, in a shift away from project implementation to facilitating national and local organisations by providing training and consultancy services (SNV, 2002: 4). SNV's transition reflects emerging development discourse in a number of ways and is tied to six policy changes.¹⁹⁰ For example, the policy change '*From project management and implementation to process and change facilitation*' describes how SNV's new philosophy is to perform process/operational activities in place of projects and programmes. This is representative of the literature review's discussion of project versus process.¹⁹¹ Additionally, the policy change from poverty alleviation to '*the struggle against poverty*' is a concept inherent in rights-based approaches.¹⁹²

Thus, SNV constitutes an INGO funding organisation that has pursued the move from implementation to facilitation in Ecuadorean development discussed in Chapter Three.¹⁹³ The present writer welcomes this change in practice from INGOs but would argue that the result is a need for effective project management by the national and local NGOs that assume responsibilities for project implementation/execution. As such, SNV's policy shift leaves a vacuum relating to project implementation/execution, which must be filled by Ecuadorean development organisations.¹⁹⁴ It is further argued that in consideration of

¹⁸⁸ CARE Ecuador (interview 4, 9th July 2008, Quito).

¹⁸⁹ SNV (interview 22, 9th September, 2008, Quito).

¹⁹⁰ SNV's (2002: 7) six policy changes are as follows:

- From poverty alleviation to the struggle against poverty
- From interventions to local ownership and responsibility
- From project management to process facilitation
- From SNV programs to a portfolio of client driven activities
- From implementers to change facilitators
- From isolated knowledge transfer to the facilitation of knowledge exchange

¹⁹¹ See Chapter Two, page 46.

¹⁹² See: Molyneux & Lazar (2003, cited by Gready & Ensor, 2005: 20).

¹⁹³ See Chapter Three, page 105.

¹⁹⁴ This argument is made using the logic that SNV's policy transitions have not dispensed with the need for project implementation and management. To the contrary, the ensuing discussion will show that project activities remain and must be managed by national partner organisations.

changes such as those affected in SNV, this work's focus on local and beneficiary project management becomes more pertinent.

However, analysis uncovers some ambiguities in SNV's policy shift, the first being that their new approach is still results-oriented. Whereas the paradigm shift from projects to process could be seen as linked to a move from results to impacts and changes (Jackson & Kassam, 1998: 57), SNV still targets the results and therefore performance created by development initiatives.

Secondly, SNV dismisses projects as '*rigid and inflexible*', and heralds its new process approach as containing '*a variety of more dynamic and flexible concepts of process facilitation for understanding and managing complex change*' (SNV, 2002: 7). However, one of SNV's ongoing practices is to train their partner organisations in project management (SNV, 2002: 15). So SNV's dismissal of the project approach for development is therefore not complete, and would seem to acknowledge an argument made in the literature review section.¹⁹⁵ In Chapter Two, the present writer argued that despite moves to process/operational work and critique of the '*serious disjuncture*' between projects and long-term development goals (Wallace et al, 1997: 34), at least some development work remains as being suitable for management by project. When SNV's further policy change '*from interventions to local ownership*' is considered alongside this analysis, the present writer would argue that SNV's policy changes highlight the relevance of investigating participatory project management.

Thus, the interview evidence highlights issues concerning the separation of project work and process/operational activities.¹⁹⁶ In fact, the interviewee from *Terre des Hommes Italia* (interview 29) addresses this issue by asking whether it is even possible to separate the activities of projects from the activities performed in process/operational work. Literally

¹⁹⁵ Chapter Two, page 46.

¹⁹⁶ This separation of project and process/operational work should be completed on the grounds of the definitions provided in Chapter Two (see discussion beginning on page 40). As such, if an initiative is unique with time and resource restrictions it should be managed using the Project Management Approach. Conversely, if the nature of the work is repetitive and ongoing, management should be by process rather than project.

speaking this is possible, but speaking figuratively this interviewee relates a real problem in separating project from process in terms of a holistic approach to development management.

4.3 Project Management Methods and Systems

Following the analysis of development project management methods made in Chapter Two of this thesis, the interview process aimed to analyse the use of project management methods and systems in the Ecuadorean development context. This section will discuss the findings pertaining to Ecuadorean project management methods and will show that many of the options in use lack tools for participatory project management and execution.

Existing methodologies for project management attracted a strong critique during the interview process, with the following quote from the interviewee from CEPDS (interview 10) echoing the argument made by the present writer in Chapter Two:¹⁹⁷

Existing methods are not profound enough, especially for people who have limited experience in the management of projects (author's translation).

This point receives further consensus from the Comunidec interviewee,¹⁹⁸ who states the importance of methods and processes for the management of the entire project life cycle:

In the hour of truth it is necessary to have tools otherwise people don't know how to work (author's translation).

Thus, Ecuadorean development practitioners have recognised the need for project methodologies that can adequately manage the project life cycle. However, in terms of the solution to project life cycle management, the interview data evidences varied approaches and thinking.

For example, the interviewee from FIAAM (interview 18) envisages the development of improved methods as an organic and inclusive process that is part of development itself. In such a manner, beneficiaries themselves design methods for planning, M&E and execution

¹⁹⁷ See Chapter Two, pages 43/61/93. In this discussion, the present writer argued that logical planning and participatory approaches rely on experienced project managers to execute projects, due to the non-existence of processes for the execution phase.

¹⁹⁸ Comunidec (interview 1, Victor Hugo Torres Davila, 28th February 2007 and 5th March 2007, Quito) is a national NGO involved in project implementation and the design of development management methodologies.

as the project progresses. This suggestion is indicative of FIAAM's view that project management should be a longer and more thorough process. Thus, the FIAAM representative describes the performance of 'process projects', which are afforded the amount of time and resources necessary for participatory processes to be performed thoroughly and with attention to participation 'as an end' activities. In this manner, FIAAM has dedicated two years to a project that could have been performed in a more cursory manner in just one year, with each phase of the project life cycle being allowed time for participatory processes to develop. This approach stands in contrast to the participatory workshops discussed later in this chapter, which allow for a participatory process of just two or three days. Although FIAAM's practices are contradictory to the traditional project management goal of performing project activities in a time efficient manner,¹⁹⁹ they are more conducive with empowerment through participation as advocated by Abbot and Guijt (1998: 34). Thus, FIAAM extends investigatory and project processes in order to encourage greater participation from project beneficiaries.

This bespoke approach to project management may well gain approval from Chambers (1994A: 959), who is against the manualisation of project methods, and advocates the use of the menu of participatory tools in a bespoke manner according to particular development contexts. However, such approaches raise issues related to funding and also to the availability of project facilitators who are skilled enough to oversee this process. The benefit, according to FIAAM, is that the method is derived from the understanding of the realities of the local community.

In a philosophical juxtaposition to FIAAM's approach is the use of '*control management*' by national NGO *Machangarasoft* (interview 6). Control management is considered by *Machangarasoft* to be the efficient provision of information and communication during project execution, which therefore enables a more effective execution of project activities. This view is linked to traditional project management methods such as PRINCE2 (OGC, 2005: 69/285), which use processes and procedures for both control and communication

¹⁹⁹ As evidenced by the use of activity planning tools such as the Critical Path Method (CPM) and the Programme Evaluation and Review Technique (PERT) (Maylor, 2003: 199).

during execution. As such, *Machangarasoft*'s alliance with traditional project management stands in contrast to FIAAM's brand of development project execution and management.

4.3.1 The Combined Use of Logical Planning and Participatory Approaches

The results from the development organisation survey highlighted the large proportion of foundations and NGOs that use a combination of logical planning and participatory methods to formulate, plan and manage their projects. The interview process provided additional data concerning exactly how this combination is used by Ecuadorean NGOs and development foundations.

The interview data shows that this combination of methods is employed in two distinct ways by Ecuadorean NGOs. The first of these is to use LFA to define the outlines of projects, which are then subjected to participatory processes.²⁰⁰ As such, one interviewee describes LFA as the '*theory*' and participatory methods as the '*practice*'.²⁰¹ Thus, a logframe is completed as the first stage in project planning, and participatory methods are then used to consult beneficiaries and local people, who help to define the project further as well as creating indicators for project success. However, when LFA and participatory activities are performed in this sequence, the present writer argues that the project has already been defined before local or beneficiary involvement. Thus, the extent of participation in this combination of LFA and participatory methods is limited to operational considerations, with beneficiaries not having the opportunity to have an input into the strategic direction of the project.

Conversely, other Ecuadorean development organisations employ a process whereby the logframe is completed after participatory tools have first been used locally to identify

²⁰⁰ NGOs to use the combination of LFA and participatory methods in this manner include national implementing NGOs *Fundación Fordes* (interview 11), *Fundación Educate* (interview 38, Iván Hernández, 12th December, 2008, Quito), CEA (*Coordinadora Ecuatoriana de Agroecológica*, Ecuadorean Coordinator of Agricultural Ecology, interview 42, 8th January, 2009, Quito), and INGO CARE Ecuador (interview 4).

²⁰¹ *Fundación Fordes* (interview 11).

problems and solutions.²⁰² Using this formula, NGOs such as *Instituto de Estudios Ecuatorianos* (IEE, Institute of Ecuadorean Studies) create participatory spaces to ensure that the development project ‘emerges from locally felt needs’.²⁰³ Following the participatory diagnostics process, which ‘defines the problem’, LFA is then employed by the NGO to ‘define the project’.²⁰⁴

However, the combined use of LFA and participatory methods in this manner presents some issues. The first of these issues is the extent of beneficiary or community involvement in participatory project planning. Of all the organisations to follow the process described above, *Fundación Camari*²⁰⁵ was the only interview organisation to conduct participatory LFA workshops. Accordingly, beneficiaries in *Camari*’s participatory planning process not only identify problems and solutions, but have active involvement in the creation of the logframe through the definition of objectives and indicators. Conversely, the other interview respondents described a process in which NGO staff use the participatory data to construct the logframe at head office, with local people having no participation in the creation of the logframe document.

This usage of participatory methods reflects the standard definition of ‘*participation as consultation*’ for the generation of project ideas, but falls short of further participatory

²⁰² NGOs to use the combination of LFA and participatory methods in this manner include: CIDES (*Comisión Interamericana de Desarrollo Social*, Inter-American Commission of Social Development, interview 9, 6th August, 2008, Quito) IEE (*Instituto de Estudios Ecuatorianos*, Institute of Ecuadorean Studies, interview 28, 21st November, 2008, Quito), SERPAJ (*Servicio Paz y Justicia*, Peace and Justice Service, interview 33, Gualdemar Jiménez, 3rd December, 2008, Quito), *Fundación Camari* (interview 32, 3rd December, 2008, Quito), and *Fundación Alternativa* (Foundation Alternative, interview 20, Alejandra Caicedo, 4th September, 2008, Quito). All of these organisations are national implementing and investigatory NGOs.

²⁰³ These participatory spaces are essentially participatory workshops in which beneficiaries perform diagnostics and planning activities (IEE, interview 28).

²⁰⁴ SERPAJ (interview 33).

²⁰⁵ *Fundación Camari* (interview 32, 3rd December, 2008, Quito, author’s translation):

The project is formulated not by raising a baseline or by asking [the beneficiaries], we make LFA participatory for the beneficiaries, so that the beneficiaries participate in what is going to be done, in this way we achieve empowerment...they [the beneficiaries] participate in the methodology, we put up a blackboard and explain the general objective, the specific objective, they actively participate, and so we continue making and forming the logframe with the direct participation of the beneficiaries.

Fundación Camari is a national NGO implementing projects concerning the creation of micro-enterprises and the distribution and retail of the goods produced by those enterprises.

forms such as functional and interactive participation, and self-mobilisation.²⁰⁶ This is due to the fact that beneficiaries and local people are consulted as part of a participatory diagnostics study, before NGO staff take over the project planning process to produce the logframe.

Figure 4.1 - The LFA Project Planning Process

The sequence of tools used to analyse and plan an LFA project, which culminates in the completion of the logframe, commences with the creation of the 'problem tree' in the problem analysis phase (Jackson, 2000: 4). The problem tree aids problem analysis by listing problems in a diagram according to whether they are causes or effects of the main problem (Jackson, 2000: 4).

In the objectives analysis stage the problem tree is converted into an 'objectives tree'. The problems are restated as objectives turning the negative condition into a positive envisioned future condition which will exist after the intervention. The structure of the objectives tree should be identical to that of the problem tree, with the linkages between objectives defining means-end instead of cause-effect relationships (PARTICIP GmbH, 2000: 18).

The final stage of the analysis phase is strategy analysis, where decisions are made concerning which objectives will and won't be pursued as part of the project. Objectives that are infeasible are rejected, and the chosen objectives are placed into the logframe as the overall goal, purpose and outputs according to the means-end relationships stated in the objectives tree (Jackson, 2000: 5; PARTICIP GmbH, 2000: 19).

During the planning phase the logframe is completed using the sequence displayed in Appendix 24. The logframe represents the vertical and horizontal logic which is inherent in the LFA process; the vertical logic signifies the means-end relationships transposed into the logframe from the objectives tree, whilst the horizontal logic defines the measures for verification of project progress against each level of objectives (Crawford & Bryce, 2003: 364-6).

Sources: Jackson (2000), PARTICIP GmbH (2000) and Crawford & Bryce (2003).

²⁰⁶ See: Mikkelsen (2005: 59).

A second issue to arise from the use of participatory methods to discover a locally felt need, followed by LFA to create a project plan concerns the logic inherent in the logframe. When NGOs take the results of participatory studies and fit them into the logframe, the LFA process is not true to the logic underpinning the methodology. The review of informing literature discussed how the LFA's logic has been adjudged to be an asset of LFA planning.²⁰⁷ However, this logic is tied to the completion of LFA's problem tree, objectives tree and strategy analysis. These activities are further explained in Figure 4.1.

The interview data therefore highlights that the combination of LFA with participatory methods in Ecuadorean development project planning is, in the present writer's opinion, a flawed practice. Of those organisations using a combination of LFA and participatory methods, all but one operate a process whereby NGO staff complete the logframe either before or after participatory methods are used. This means that local people and/or project beneficiaries do not have the opportunity to participate in either the strategic or operational planning of the project, depending on whether LFA is used before or after participatory methods. Ultimately this means that the type of participation in such projects is consultative in nature.

4.3.2 Logical Planning Methods

The review of informing literature highlighted the substantial critique of logical planning methods such as LFA.²⁰⁸ Furthermore, the emergence of participatory methods such as PRA has been partly attributed to the perceived shortcomings of LFA (Wallace et al, 1997:28). In contrast, despite an evident critique of the LFA, the interview data shows that this approach has in some cases become institutionalised within Ecuadorean development organisations.

²⁰⁷ See Chapter Two, page 54.

²⁰⁸ See Chapter Two, pages 49-54.

A number of interviewees admitted using LFA solely in order to meet donor needs and to secure funding.²⁰⁹ To some extent this explains the completion of logframes by NGO staff in combination with the use of participatory methods for project planning. However, also evident from the interview data is the fact that many Ecuadorean NGOs have embraced the use of LFA.²¹⁰ The interviewee from Foundation *Educate* (interview 38) praises international donors that encourage the use of LFA as a standard tool, adding that its familiar format facilitates the planning of development interventions. This opinion is representative of the argument for making LFA an ‘industry standard’ for development project planning, discussed in the literature review.²¹¹

Such complicity with the employment of LFA is further evidenced by the fact that some NGOs have extended or adapted the approach so that it fulfils a larger role in their administrative processes. For example, *Fundación Camari* (interview 32) extends the logframe to include more information concerning project activities and results, and exports this data to another matrix for project execution; as such LFA constitutes the key tool in the management of the project life cycle for *Camari*. Another example is provided by *Coordinadora Ecuatoriana de Agroecología* (CEA, Ecuadorean Coordinator of Agricultural Ecology, interview 42), for which the logic of LFA forms not just the essential method for the management of projects, but also the basis for strategic planning. CEA’s strategic plan comprises of objectives and results logic and in the interviewee’s own words the project logframe ‘*continues the logic of the strategic plan*’.

Children International²¹² provides a further example of the institutionalisation of LFA. The bespoke project management matrix used by Children International contains logic similar

²⁰⁹ The interviewees from CARE (interview 4), Yanapuma (interview 14) and *Conservación & Desarrollo* (interview 35) and VVOB (interview 41), a mixture of INGOs and national NGOs, all use LFA for this purpose.

²¹⁰ For example, the interviewee from IEE (interview 28, author’s translation) declares:

There are requirements to complete with LFA and it effectively facilitates implementation, monitoring, subsequent evaluation, it is a tool that facilitates work in that one can see it and resort to it to see where we need to go, this is very useful. And it also serves for measurement because it is a flexible tool, one can change what one writes at the start.

²¹¹ See: Mikkelsen (2005: 45), and Wallace et al (1997: 30).

²¹² Children International (interview 27, 21st November, 2008, Quito).

to LFA, as it breaks down an overall strategy into the objectives, indicators and activities intended to achieve that strategy.²¹³ The CI matrix is an elaboration of the logical planning approach with extended functionality to address execution in more detail. As such, the CI ‘implementation’ matrix is a monitoring tool, which focuses on the project management process and project results. The method is also relatively new and untried, being in its first year of operation as the interview was conducted.

In terms of LFA analysis, the above adoptions and augmentations of LFA demonstrate an affiliation with the logic and structure of the logical planning approach. An argument for LFA’s flexibility could also be made on the basis of these organisations’ ability to modify LFA to fit their administrative practices.²¹⁴ However, the present writer would argue that the need to design additional tools or procedures is not representative of an effective and flexible system.²¹⁵ As such, the flexibility of LFA on the evidence of the CI and *Camari* examples is here disputed.

Innovar,²¹⁶ a national implementing NGO, has taken the institutionalisation of LFA one step further by imposing the method on the local and grassroots organisations with which it works. Such organisations are required by *Innovar* to sign and adhere to a strategic plan that details the objectives and results that they are expected to achieve during the execution of the project. In this manner LFA is used to standardise *Innovar*’s development interventions, as each level of the chain of development organisations imposes LFA on the next, from donors to national NGO, and subsequently from the national NGO to local organisations.

²¹³ The Children International interviewee describes the CI matrix as more focused on the performance of activities and the achievement of objectives during project execution compared to LFA, this is done by creating further matrices for the project execution phase.

²¹⁴ This argument would contradict the critique of LFA and logical planning methods as ‘inflexible blueprints’, which was discussed in Chapter Two (see page 49).

²¹⁵ For example, traditional project management systems such as PRINCE2 (OGC, 2005) and BS6079 (British Standards Institute, 2002) enable some processes and tools to be omitted according to the project context. However, the entirety of the tools contained within these methods represents a total solution for project management, without the need for further processes.

²¹⁶ *Innovar* (interview 12, Fausto Andrade & Marco Oviedo, 13th August 2008, Quito, Ecuador).

Thus, the above cases provide examples of NGOs in Ecuador that have embraced LFA, and have incorporated the use of the approach into their corporate cultures, structures and practices. Despite this, the interview data also shows some critique of LFA from national and international NGOs working in Ecuadorean development. This critique largely echoes the criticism of LFA and logical planning methods discussed in the review of informing literature.²¹⁷ For example, the FIAAM interviewee²¹⁸ claims that it is difficult to apply a standard scheme to distinct nationalities such as Shuar²¹⁹ and Huaorani,²²⁰ and the many indigenous Ecuadorean Kichwa²²¹ speakers, thus making it hard to adapt LFA to the thinking of these diverse groupings. This argument supports the critique on the cultural adaptability of LFA provided by Wallace et al (1997: 30) and Bakewell and Garbutt (2005: 12).

The balance of the interviewee opinion accepts that LFA is suitable for sectoral and strategic approaches, but less applicable to local participatory development.²²² This argument is made due to a perceived lack tools and processes for project management.²²³ Conversely, logical planning methods were adjudged by the same interviewees to hold potential for providing a strategic overview of the goals, objectives and impacts of development initiatives in sectors such as health and education.

However, despite the critique of LFA presented above, cases such as IEE (interview 28), *Camari* (interview 32) and *Innovar* (interview 12) demonstrate that LFA has become an integral tool to the management of development activities for many Ecuadorean national

²¹⁷ See Chapter Two, page 59.

²¹⁸ FIAAM (interview 44) is an NGO performing projects in the Amazon region of Ecuador, and is partly dedicated to the improvement of development methods that '*imply the participation of communities within development through their own self-management of activities*' (author's translation).

²¹⁹ The Shuar nationality is an indigenous people living in the Amazonian region of Ecuador and Peru, the language of the Shuar people is also called Shuar (Hands around the world, available online, accessed 06/07/10).

²²⁰ The Huaorani nationality is an indigenous people living in the Ecuadorean Amazonian provinces of Napo and Pastaza. The Huaorani people number around 4000 and speak the Huaorani language (The peoples of the world foundation, available online, accessed 06/07/10).

²²¹ The Kichwa language is a member of the Quechua language family, category Quechua II. Kichwa is spoken by indigenous residents of Ecuador and Columbia (quichua.net, available online, accessed 06/05/10).

²²² For example, the interviewees from INGOs CARE (interview 4) and Terre des Hommes (interview 29) both share this opinion.

²²³ For example, the interviewees from VVOB (interview 41) and Terre des Hommes (interview 29) both argue that LFA does not provide an effective basis for project monitoring and evaluation.

NGOs, in scenarios in which further organisational processes are designed to complement LFA. Such practices can be viewed as moves towards the use of LFA as an industry standard.²²⁴

4.3.3 Bespoke Project Management Methods and Outcome Mapping for Programme Management

In addition to participatory methods and LFA, there are many variations and customised methods for project management being used by Ecuadorean development organisations. This section will analyse the *Sistema de Monitoreo y Acompañamiento*'s (SIMONA, System of Monitoring and Accompaniment) attempt to incorporate local community management of project execution into a project management methodology, and show how Outcome Mapping has been used to integrate short-term projects into a programme management approach. The compliance by one Ecuadorean foundation with ISO international quality system standards will also be discussed, along with the bespoke methods used by other national and international NGOs.

The use of traditional project management techniques has been taken to a higher level by *Esquel*.²²⁵ This national implementing NGO has attained the international project management quality standard ISO 9001: 2000 for quality management systems.²²⁶ *Esquel*'s quality standard process includes a flowchart of project management techniques and spreadsheets to manage the project life cycle as it moves through its phases. The requirements, procedures and documentation with which *Esquel* have conformed in order to gain ISO certification are displayed in Table 4.1.²²⁷

²²⁴ See: Mikkelsen (2005: 45), and Wallace et al (1997: 30).

²²⁵ *Esquel* (interview 30, 2nd December, 2008, Quito).

²²⁶ *Esquel* interviewee (author's translation):

We are the only NGO in Ecuador that has a quality management system with international certification.

This may be correct, as no further organisation participating either in the email survey or the interview process claimed to hold the ISO 9001: 2000 standard.

²²⁷ Specific details of *Esquel*'s project management method/technique were not made available to the present writer.

ISO 9001 incorporates a 'Plan-Do-Check-Act' cycle for continuous improvement of the organisational management system.²²⁸ However, since it is a generic standard, ISO does not address issues specific to development and NGOs, such as the participation of beneficiaries/local people in project management activities. *Esquel's* ISO certification is therefore a move towards traditional project management practice, and can be seen as a shift away from participatory project management methods such as PRA.²²⁹ The case of *Esquel* does however demonstrate an increase in professionalism in Ecuadorean development.

It is here argued that VVOB's (interview 41) use of the Outcome Mapping methodology also reflects traditional project management thinking. Outcome Mapping, designed by the International Development Research Centre in Canada (Earl et al, 2001:1), is a method designed for use in development projects and programmes. Outcome Mapping is based on the conceptual shift from the assessment of impacts, to changes created by the intervention.²³⁰

²²⁸ Zuckerman (available online at www.projectmanagerplanet.com, accessed 06/07/10), ISO (available online at www.iso.org, accessed 06/07/10).

²²⁹ Being a generic certification, the ISO standard has no requirement for participation of project beneficiaries. The interviewee from *Esquel* confirmed that project beneficiaries do not participate in *Esquel's* project management activities.

²³⁰ Earl et al (2001: 1):

Outcomes are defined as changes in behaviour, relationships, activities, or actions of the people, groups, and organisations with whom a project works directly.

Table 4.1 – Project Management and ISO Compliance: Requirements, Procedures and Documentation

Source: Principle Based Project Management (available online, accessed 06/07/10)

Section	Requirement	Procedures	Documentation
4.4.1 General (Procedures to control and verify the design)	Maintain documented procedures to control and verify design so requirements are met.	The organization should have a written procedure to describe this process.	Company procedures and business processes that govern the new product development process. Initial cost & time estimates Initial project plan Critical path assessment
4.4.2 Design and development planning	Prepare plans, define responsibilities, assign adequate resources, and update plan as required.	As above	Project approval document Engineering Statement of Work WBS (Work Breakdown Structure) & Milestone plan Test requirements & procedures
4.4.3 Organizational and technical interfaces	Define interfaces, document them, transmit and regularly review.	As above	Project kick-off meeting records Project team organization charts for the engineering team and for the company-wide cross functional 'core team.' Marketing requirements statement Design requirements specs. (Hardware & Software)
4.4.4 Design input	Product requirements including regulations should be identified, documented, and reviewed, including resolution of ambiguous or conflicting requirements.	As above	Trip reports from customer visits Note that the design specification should state that the project shall be ISO compliant.
4.4.5 Design output	Should meet and reference acceptance criteria.	As above	Design specs should have measurable requirements. Documentation of the design in drawings, BOMs (Bills of Materials), software releases.
4.4.6 Design review	At stages, hold formal documented design reviews, with key functions represented, and records maintained.	As above	Project office files of completed PDRs (Project Definition Reports) & CDRs (Critical Design Reviews)
4.4.7 Design verification	Shall be performed and documented.	As above	Test procedures with quantified requirements.
4.4.8 Design validation	Shall be performed under operating conditions and documented.	As above	This must be conducted in a customer environment.
4.4.9 Design changes	All design changes identified, documented, reviewed, and approved by authorized personnel before implementation.	As above	Ensure changes to design specifications are signed by those functions approving the original versions.

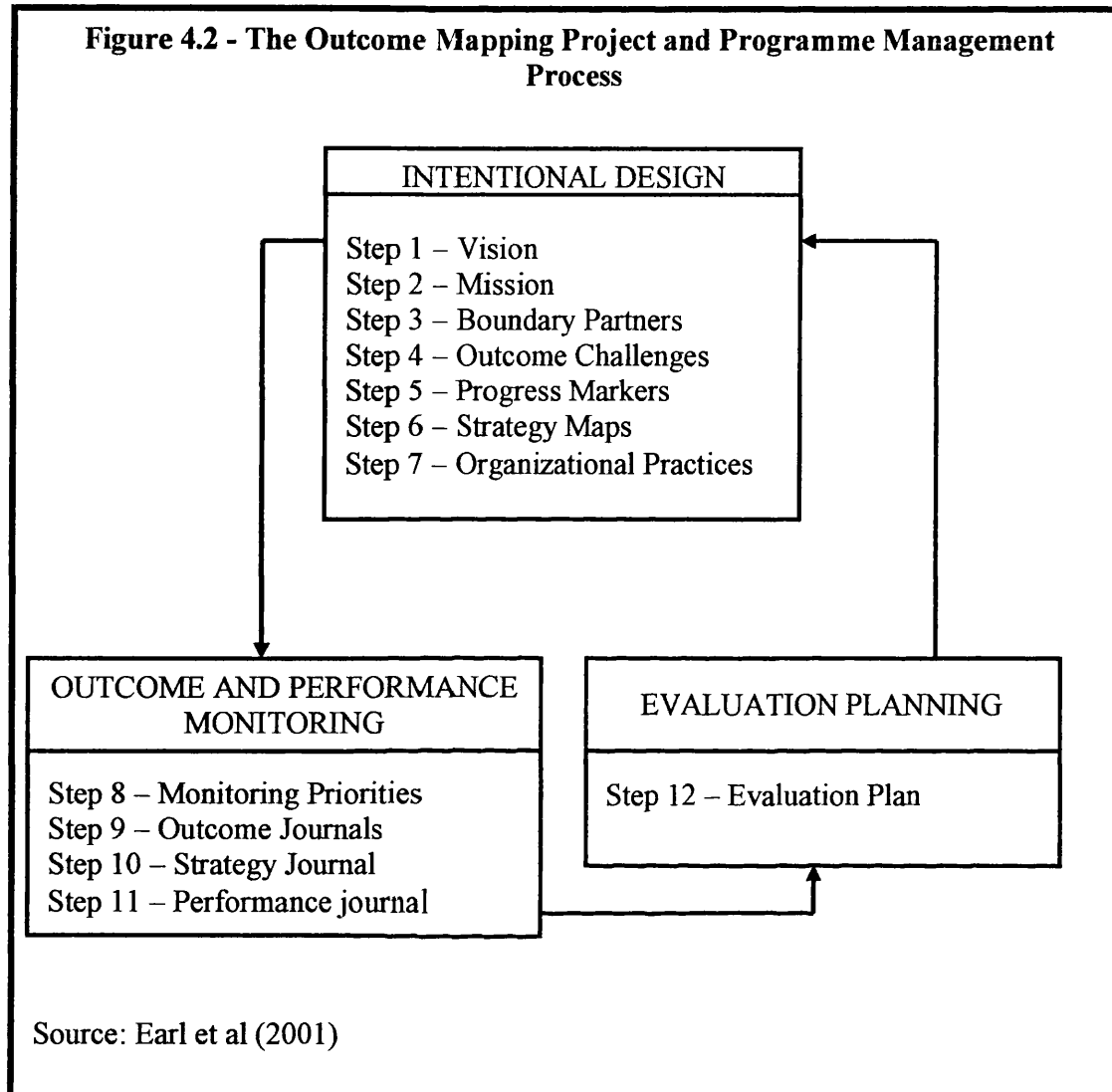
Due to its focus on development context changes and its aim to document all stages of the change process, Outcome Mapping is aligned with rights-based development. The behavioural and relationship changes and programme approach identified by Outcome Mapping echo the long-term sustainable changes central to rights based approaches, although Outcome Mapping does not directly address rights issues.²³¹

Notwithstanding the above, Outcome Mapping is also a methodology for programme management.²³² Accordingly, VVOB decided to employ the Outcome Mapping methodology due to a desire to merge all of their efforts into one initiative, in preference to performing a number of separate project activities. Furthermore, Outcome Mapping extols the need to move towards the self-management of development by local organisations as they ‘*take ownership of program components*’ (Earl et al, 2001: 8).

The Outcome Mapping method provides a structured approach to the performance of participatory planning workshops, reflecting the manualisation of participatory planning condemned by Chambers (1994: 959). Having created a baseline for programme work through its planning approach, Outcome Mapping then provides a process and tools for the monitoring and evaluation of programme work against this baseline (Earl et al, 2001). Notably, Outcome Mapping does not address the execution of programme activities. Instead, monitoring and evaluation tools such as the ‘performance journal’ and ‘evaluation plan’ focus on the collection of M&E data and the systematisation of programme experiences (Earl et al, 2001). The Outcome Mapping process for project and programme management is displayed in Figure 4.2.

²³¹ See: Earl et al (2001) and Jones (2005: 86).

²³² Chapter Two discussed the role of programme management as an extension of project management. See Chapter Two, pages 46-7.



An application of Outcome Mapping by Ecuadorean environmental NGO *Ecopar* encountered distinct problems with project execution. ‘*Aprendizaje Participativo en el Bosque de Ceja Andina*’ (Participatory Learning in the Ceja Andina Forest, Ambrose et al, 2006: 277) describes Outcome Mapping as an extremely useful tool in establishing a learning process, and for the creation and analysis of roles and responsibilities between actors.

Despite this positive assessment, the project to manage Andean forests in the province of Carchi²³³ reported several problems in maintaining local participation during project execution. Parish councils refused to participate during execution due to a ‘*lack of experience*’, and most local communities stopped participating during execution due to a ‘*lack of technical support*’ (Ambrose et al, 2006: 258/272).

Aprendizaje Participativo en el Bosque de Ceja Andina does not associate these issues with the use of Outcome Mapping, but rather identifies capacity building as a prerequisite for local participation in project execution. It does however recommend the prioritisation of ‘*small and tangible*’ projects so that participating communities can see the benefits and are inspired to participate in larger initiatives (Ambrose et al, 2006: 272). Whilst this fits the ‘participation as an end’ strategy of building of self-esteem and motivation in local communities,²³⁴ it is contradictory to the principle of affecting long term change central to Outcome Mapping (Earl et al, 2001: 1).

The execution of programme activities will be managed by agency staff in the course of VVOB’s education programme,²³⁵ which may well prevent the execution problems encountered by *Ecopar*’s use of Outcome Mapping. However, Outcome Mapping does not address execution as a specific project management discipline. This could be due to the fact that Outcome Mapping was designed for programmes and large projects, and therefore is necessarily dependent on NGO staff and technical experts to guide project execution. In VVOB’s case, this is done through the use of traditional project management tools such as Microsoft Project.²³⁶

The review of informing literature highlighted the lack of execution tools in development project management systems such as LFA and PRA.²³⁷ SIMONA, used by the United Nations Development Program (UNDP) for its Small Grants Program (SGP), is another example of a method that pays little heed to the PMA process of ‘Executing’. SIMONA, is

²³³ See map provided in Appendix 3.

²³⁴ See: Mayoux and Chambers (2005: 276).

²³⁵ As outlined by the VVOB interviewee (interview 41).

²³⁶ VVOB interviewee (interview 41).

²³⁷ See Chapter Two, page 94.

used during all Ecuadorean Small Grants Programme projects, and has the following purpose as described by Quintero:²³⁸

Identify, evaluate, explain and communicate in a timely manner the problems and obstacles that compromise the attainment of planned products and the attainment of objectives (author's translation).

Despite this remit, SIMONA is an M&E system providing no references for the execution of project activities. In effect, SIMONA is a document flow to be used by NGOs, which are contracted by UNDP SGP, to assess the progression of SGP projects, using standard forms at intervals along the two year execution process. The key features of SIMONA are displayed in Figure 4.3.

SIMONA's standardisation of documents allows UNDP to contract NGOs to perform M&E work and report findings in a predetermined manner. Many of the standard documents are checklists to be completed by evaluating NGOs, and are accompanied by processes for workshops and field visits.²³⁹ The document flow is representative of traditional project management process flows such as the British Standard for project management BS6079 (British Standards Institute, 2002: 48).

Due to the number of SGP projects funded by the UNDP, SIMONA appears to be an attempt to standardise the project management process, so that no intervention or involvement is needed from UNDP during project execution. Such standardisation, especially in terms of the two year execution period, would be seen by some as ignoring the complexities of development work. Accordingly, contributions to the informing literature argue that it often isn't possible to force interventions to fit a strict time frame of two years and subsequently achieve long-term goals such as sustainability and empowerment.²⁴⁰

Although SIMONA may suit the needs of the SGP, claims for '*local strengthening*' based on participation seem tenuous, as the SIMONA process is led by assessing NGOs. SIMONA does not provide similar standardised processes for project execution, which is

²³⁸ Quintero Andrade (available online at www.pnud.org.ec/ppd, accessed 10/01/09).

²³⁹ Quintero Andrade (available online at www.pnud.org.ec/ppd, accessed 10/01/09).

²⁴⁰ See: Wield (2003: 184).

the responsibility of project beneficiaries. It could however be claimed that due to the small size and nature of SGP projects, processes for execution aren't necessary.

Figure 4.3 - Key Features of SIMONA

Described as a participatory system that combines M&E with a process of 'accompaniment' for NGO visits

Activities

- | | |
|--------|---|
| Year 1 | Starter workshop
First and second field visits
First 'interchange of experiences' workshop
Third field visit |
| Year 2 | Fourth and fifth field visits
Second 'interchange of experiences' workshop
Sixth and final field visits |

Monitoring System

- 1) Project identification
- 2) Community perceptions
- 3) Accomplishment of global indicators and primary focus
- 4) Annual Operative Plan – Advancement and quality of objectives, activities and products

Baseline

- For both quantitative and qualitative data

All of the above processes have standard forms to document the outcomes of field visits and workshops, and to record M&E information.

Source: Quintero Andrade (available online, accessed 10/01/09)

The absence of project execution tools and processes in methodologies for Ecuadorean development project management is further exemplified by the public sector standard provided by *El Secretario Nacional Tecnico de Desarrollo de Recursos Humanos y Remuneraciones del Sector Publico* (SENRES, The National Technical Secretary of the Development of Human Resources and Remunerations of the Public Sector). SENRES provides a government standard project management process for the management of public sector development projects, the adherence to which is compulsory for all organisations performing such work (SENRES, 2006).

Despite the definition of a project management life cycle with the phases of ‘Planning’, ‘Organisation’, ‘Execution and management’ and ‘Control’, the SENRES (2006) process for the management of government projects provides nothing more than a series of inventories for the management of activities and products. The first of these documents is termed ‘Manual of processes’ and breaks project work down into ‘Administrative units’, listing the products and tasks that relate to those units, and provides a matrix for recording details pertaining to ‘Persons responsible’, ‘Actual time (for completion)’ and ‘Delay time’.²⁴¹

The SENRES process bears similarities to both LFA and Gantt charts. The structure of administrative units, products and tasks is similar to LFA’s structure of goals, objectives and activities, although it is orientated to the creation of quantitative products. The documents for ‘Manual of processes’ and ‘Raising of procedure’ are akin to the Gantt chart, as the process attempts to list and organise the project’s activities (SENRES, 2006). However, these task listings are missing elements of critical path analysis and further activity information on costs and expected start and finish dates, both of which are inherent to Gantt charts.

²⁴¹ The other SENRES inventories are the ‘General inventory of primary products’, which contains a listing of the ‘Mission’ and ‘Objectives’ for each product, and the ‘Raising of procedure’, which is an inventory of tasks, and also has information for ‘Persons responsible’, ‘Actual time (for completion)’ and ‘Delay time’. These inventories are supported by further documents entitled ‘Matrix portfolio of products’ and ‘Chain of institutional value’ (SENRES, 2006).

The SENRES project management process therefore contains some tools for the monitoring of projects activities and tasks, but doesn't combine these with further tools for the management of planning, execution or evaluation activities. In fact, evaluation isn't even included in the SENRES project life cycle.

This section has analysed and discussed the various project/programme management methods employed by Ecuadorean development organisations. Aside from LFA and variations on logical planning methods, the methods of SIMONA and Outcome Mapping, and ISO standards are used in various development organisations in Ecuador. *Esquel's* conformance to the ISO's international quality system standards emphasises how this NGO has looked beyond LFA to employ traditional project management practices and standards for the pursuit of development projects.

The analysis of Outcome Mapping, SIMONA and SENRES showed that all of these methodologies are lacking procedures for the management of the PMA process of 'Executing'. The literature review discussed how both logical planning and participatory methods to a large extent ignore project execution, the logic of LFA in particular devaluing the importance of the execution process.²⁴² The interview data evidences that this same flaw is observable in the Ecuadorean development context.

In addition to these omissions, each of the methods analysed in this section is designed for different purposes. As such, a comparative analysis between them is difficult. For example, the intention of Outcome Mapping is to facilitate the management of development programmes comprising of various sub-projects and activities. In comparison, SIMONA represents an attempt to guide the pursuit of small-scale one-off community projects. It is therefore to be expected that the Outcome Mapping method contains significantly more processes and techniques for the completion of project phases such as planning and evaluation. Furthermore, ISO 9001, not a method in itself but rather a standard for quality systems, extols professional project management practice in general but does not consider

²⁴² See Chapter Two, pages 52/90.

the complexities of development projects. Finally, the SENRES method attempts to provide a standard formula for Ecuadorean public projects funded by central government.

As both SIMONA and SENRES constitute administrative procedures, and ISO 9001 is a measurement of quality systems, the only tool considered by the present writer to represent a project management method is Outcome Mapping. Notwithstanding the lack of execution processes outlined above, Outcome Mapping is alone among the systems analysed in providing tools and procedures for project/programme life cycle management. However, since Outcome Mapping is primarily aimed at programmes and large projects, it is here argued that none of the methods analysed in this section represent tools for the participatory management by local people of small to medium sized local projects.

4.4 Beneficiary Participation in NGO Projects

The interview data provides an insight into the practice and management of participation in local contexts by national and international NGOs in Ecuador. This section will discuss these participatory processes, and will show that participation in Ecuadorean development often means participatory consultation for ideas generation, consensus-building and stakeholder agreement. Despite this, more advanced types of participation will also be highlighted, demonstrating an array of participatory forms being practiced in Ecuador. The typologies of different forms of participation relating to the ensuing analysis were discussed in the literature review.²⁴³

The interviewee from the *Instituto Ecuatoriano para el Desarrollo Social* (INEDES, Ecuadorean Institute for Social Development),²⁴⁴ with over 40 years of experience working in Ecuadorean development, testifies to a shift away from paternalistic projects to those that encourage communities to be protagonists and take responsibility. This interviewee believes that the need for organisations such as her own is beginning to diminish. However, the present writer would argue that participation in NGO-led projects does not constitute a complete split from paternalism, as final authority and control in many of the projects discussed in this chapter often remains with the NGO.

Interview data indicates that levels of knowledge and ability to participate vary between Ecuador's regions. According to the Yanapuma representative, local communities are more organised and have higher social capital in the Andean region than in the coastal and Amazonian regions.²⁴⁵ Chapter Six will demonstrate that this social capital has been gained through years of participation in organised society and NGO-led development initiatives.²⁴⁶ Interviewees argue that such organisation and social capital in the Andean region is a result

²⁴³ Chapter Two, pages 63-4.

²⁴⁴ INEDES (interview 19, 2nd September, 2008, Quito) is a national implementing NGO.

²⁴⁵ Yanapuma (interview 14) has worked with a number of communities in all three regions of Ecuador.

²⁴⁶ Chapter Six will discuss the case of Planchaloma in Cotopaxi province, in which the indigenous women's organisation OMICSE has been working for a number of years in the areas of indigenous and women's rights and community development, as well as working with implementing INGOs on numerous projects.

of the strength and work of the indigenous movement.²⁴⁷ Chapter Six will also show that the indigenous movement comprises of provincial and local organisations with activities throughout the Andean region of Ecuador.

The interview data evidences that the practice of participation in Ecuadorean development has been problematic. In arguing that the '*spirit of participation*' is often missing from Ecuadorean development, the Yanapuma interviewee (interview 14) provided a critique of the use of participatory workshops for project planning.²⁴⁸

The Yanapuma interviewee thus identifies the principal way in which participation is implemented by Ecuadorean NGOs in grassroots development initiatives, namely through the use of two or three day workshops during project formulation. Such participation is reflective of Oakley's (1991: 7) participation as a means, in this case for project planning, rather than as an end to the development project. In this model, participation is expected to occur '*spontaneously*' as workshop attendees perform participatory activities (FIAAM, interview 18), although the representatives of NGOs such as FIAAM and Yanapuma relate that participation is actually the result of hard and continuous work.

The example of Chivuleo²⁴⁹ demonstrates that the attendance of democratic meetings, where participants are able to both voice their opinions and vote, do not foster participatory ideals such as empowerment. In Chivuleo big attendances are ensured by a system of fines

²⁴⁷ Yanapuma representative (interview 14), Terre des Hommes representative (interview 29).

²⁴⁸ Yanapuma representative (interview 14, original quotation):

Well, this bland academic model of participatory workshops where you go and do a two day process. to me, is a complete waste of time, We've done it three times, but for me the basis of the whole question is 'who is the community?' What we've found, especially working with Bua, which is one of the most extreme cases, is that the perceived unity of the community doesn't exist as such, just the fact that you're talking to this group of people and this person gets pissed off, and you talk to that person and someone else gets pissed off. So once you get inside the community you realise that this whole academic participatory process is fundamentally flawed.

²⁴⁹ As discussed by a representative from SNV and the Chivuleo community (interview 23, 9th September, 2008, Quito).

for non-participants, community leaders dominate discussions, and the majority participates in a passive manner, by listening and voting on actions.²⁵⁰

The interview data shows that consultation is often a substitution for both participation as a 'means' of project management and as an 'end' result of the project's activities. For example, participation is used by the *Corporación de Estudios y Desarrollo Cooperativo* (CEDECOOP, Corporation of Studies and Cooperative Development, interview 8) in order to 'obtain ideas concerning how to do the activities of the project'. Thus participation is used to generate ideas for possible project activities and build consensus among project beneficiaries. Evident from the interview data is the tendency to use participatory practices in a manner described by the IEE representative (interview 28) as '*spaces for discussion and analysis*'. This means that participatory workshops and meetings are used as forums for the identification and examination of problems, solutions and development activities.

Similarly, the '*participatory project formulation*' process used by CARE (interview 4, author's translation) employs a form of participatory consensus-building in order to create agreement concerning courses of action to be taken:

[S]o we go to meet with them [indigenous peoples], with the representatives, to say in view of these financial opportunities what we could be able to do, which are the most important themes that you [the indigenous peoples] find, and so we continue together facilitating the dialogue to construct a proposal.

Two important issues are highlighted by this process. Firstly it is often only the representatives of communities, in this case indigenous populations, who are involved in the participatory formulation of projects. Secondly, those representatives are presented with a number of proposals and ideas, from which they have to choose the most important topics. In terms of the ideology of participation, both these issues are problematic. From an empowerment perspective, 'lowers' are absent from participatory practices that only include community leaders (Chambers, 1997: 106). Moreover, when beneficiaries are presented with a selection of possible projects or interventions from which they must

²⁵⁰ Similarly, the FIAAM representative (interview 18) argues that meetings and participatory processes are dominated by community leaders.

choose their preferred course of action, their opportunities to be creative in the identification of courses of action are limited.

Further examples provided by national NGOs *Instituto Latinoamericano* (Latin American Institute, interview 5), CEPDS (interview 10), IEE (interview 28), CPC (interview 21) and CEA (interview 42) all evidence that participation in Ecuadorean NGO-led projects often occurs only as a form of consultation in consensus-building and multi-stakeholder agreement.

Additionally, during the interviewee process it was noted that two NGOs marked their processes as having a high level of participation on the survey, but this was not borne out by the content of the interview. For example, the *Comisión Interamericana de Desarrollo Social* (CIDES, Inter-American Commission of Social Development, interview 9)²⁵¹ marked their projects as having participatory consultation, participation in decision-making and self-management. However, when asked to explain how local people participated in decision-making and the self-management of development projects, the interviewee replied:

We always want to listen to the people; our philosophy is not to go and impose projects but to lead projects that come from the needs of the people (author's translation).

Similarly, *Funhabit* (interview 17) marked their projects as having participation in decision-making processes, but when questioned about this answer, remarked '*it is necessary to consult the people about where we have to go*'.

These answers can be seen to be true to the ideology of consultative participation through consensus-building and multi-stakeholder agreement.²⁵² However, they do not suggest that participation exists in the form of decision-making or self-management, as was originally indicated by the survey responses. The reason for these discrepancies could either be due to the NGOs in question trying to portray their organisations in a favourable light (in

²⁵¹ CIDES (interview 9, 6th August, 2008, Quito).

²⁵² See the typology of participation provided in Appendix 11 for a description of 'participation by consultation'.

connection with development discourse), or to a lack of understanding of the different types of participation.

Despite the many examples of participatory consultation for the generation of ideas and consensus-building discussed above, the interview data also evidences instances of more advanced participatory processes in Ecuadorean development. For example, the FIAAM representative (interview 18) claims that his organisation's strategy of extending the length of development project interventions has been successful in ensuring that the planning process incorporates diagnostics activities with the goal of participation 'as an end' for target communities.²⁵³ However, as demonstrated by FIAAM's (interview 18) practices, increasing the amount of beneficiary participation can increase the time required to perform project activities, and consequently the costs connected with project execution.

4.4.1 Participatory Project Execution in Ecuador

The theme of how development projects are executed in the Ecuadorean development context is central to research questions raised by this thesis. The interview data shows that the extent to which local people and project beneficiaries are involved in the execution of NGO-led projects varies considerably. Interviewee attitudes towards the involvement of local people and beneficiaries in the PMA process of 'Executing' will be analysed in this section, along with a review of current NGO practice in the area of participatory project execution. Whereas project execution is here defined as the activities performed in order to implement the project plan, participatory project execution constitutes the involvement of local people and/or project beneficiaries in those activities.

The interview data evidences the perception that project execution is badly executed in Ecuadorean development. While extolling the planning capabilities of Ecuadorean NGOs, the representative from Foundation Maria Luisa Gomez de la Torre (interview 2) argues that the management of project execution activities is a particular weakness of Ecuadorean

²⁵³ In the further examples of Foundation PRODES (interview 16) and *Serpaj* (interview 33), participatory processes are used in project execution and M&E. Thus, a greater involvement of beneficiaries is evident during the project life cycle.

organisations, a view that is shared by the interviewee from by Foundations *Stratega* and *Educate* (interview 38, author's translation):

In Ecuador generally we are bad implementers; I'm talking about the public sector, the private sector and NGOs.²⁵⁴

The present writer would argue that this bias towards planning to the detriment of execution is reflective of the available methods for development project management. The literature review showed that such a tendency is a characteristic of both logical planning and participatory methods, which offer scant regard to execution activities.²⁵⁵

Specific cases providing evidence that the role of execution is misunderstood in Ecuadorean development are provided by *Infodesarrollo* (Infodevelopment, interview 31)²⁵⁶ and national foundation *Fordes* (interview 11). At the time of interview, *Infodesarrollo* envisaged the adoption of a monitoring and evaluation system for impacts and results, but the *Infodesarrollo* interviewee mistakenly inferred that those M&E processes constitute tools for project execution.

Additionally, while the foundation *Fordes representative* extolled the virtues of the organisation's '*implementation mechanism*', the further description of this mechanism as a system of goals, objectives and indicators is representative of a logical planning M&E system, as it is designed to monitor project performance against specified indicators. These

²⁵⁴ This argument receives agreement from the interviewee from Children International (interview 27), who notes that many Ecuadorean projects either remain stuck in project planning or encounter serious problems during execution. Additionally, the CARE representative (interview 4, author's translation) states:

The theme of execution and evaluation is one of the most critical themes, but also one of the weakest.

The CIDES representative (interview 9) provides further consensus by admitting that daily project management is a specific weakness of his organisation.

²⁵⁵ This contention is made on the basis of the review of informing literature provided in Chapter Two (page 82), and the discussion of project management methodologies used in Ecuadorean development provided in Chapter Three (see the discussion beginning on page 108).

²⁵⁶ *Infodesarrollo* is a network of 28 development organisations, which will eventually operate using uniform processes, including those for project management.

two cases therefore demonstrate the substitution of project execution processes and tools with M&E activities.

However, when they function well, M&E systems do provide the information necessary to control the execution of project activities,²⁵⁷ and the views expressed by the interviewee from Foundation *Ciudad* (City, interview 34, author's translation) show that sometimes formal execution and control processes or methods may not be necessary:

There is always implementation from the organisations and actors for concrete activities even though there might not be methods for doing this.

This understanding of execution as an informal but instinctive process of systematically reviewing the project's activities is geared to the achievement of project goals and objectives. Such informal approaches to project execution may be appropriate for small and simple projects. However, the traditional project management definition of a project as being a '*unique endeavour*' (Maylor, 2003: 4), means that larger projects require processes for the execution of more complicated initiatives that have never before been attempted.²⁵⁸

The interview data does not evidence a concerted effort by INGOs to involve project beneficiaries and local people during project execution. To the contrary, execution activities are often the sole remit of INGO staff.²⁵⁹ The previous section analysed VVOB's use of Outcome Mapping, showing that programme management activities are performed solely by NGO staff. CARE Ecuador (interview 4) is another INGO which does not seek to encourage participatory project management. CARE's combination of project and process work, measured by MDG indicators, does not attempt to involve beneficiaries or local people in the execution of development projects.

²⁵⁷ See: Mikkelsen (2005: 263).

²⁵⁸ This is also the definition provided by the Project Management Institute (2008: 5), which contends that uncertainty is inherent in projects due to their uniqueness, and as such they must be managed differently to process/operational work.

²⁵⁹ For example, *Gesellschaft für Technische Zusammenarbeit* (GTZ, German Technical Cooperation, interview 26, Manfred Ebertseder, 17th November 2008, Quito, Ecuador) places German support personnel at project level to manage project execution activities.

However, despite the *Esquel* interviewee's (interview 30) assertion that administration and management should be left to the experts, the interview process provided many examples of local and beneficiary involvement, to a greater or lesser extent, in the execution activities of national NGO projects.

One practice emerging from the interview evidence which can be associated with traditional rather than development project management is the use of management committees to steer projects on a tactical level. For example, CPC (interview 21) supports project execution with fortnightly meetings to review progress, address issues and problems that have arisen in the intervening period, and set agendas for the upcoming period. *Corporación Técnica Sueca* (Swedish Technical Corporation, interview 25)²⁶⁰ provides an example of an INGO that creates a project team to manage execution activities, although those teams are composed of members of local level NGOs. The teams meet on a regular basis to analyse project progress against a project baseline produced during the planning phase.

This management of the execution process is akin to the Project Board approach to project management central to the PRINCE2 project management system (OGC, 2005: 49). Another NGO to employ a committee approach to project execution is Foundation Safiqui (interview 37). In contrast to CPC, Safiqui includes project beneficiaries in their committee meetings. However, it is often community leaders who are involved in the project team, which could lead to the reinforcement of local power structures as discussed in Chapter Three's analysis of the *Sistema de Desarrollo Local* (SISDEL, System of Local Development).²⁶¹ The implication is that such initiatives will fail to achieve participation as an empowering end goal of the development project, at least for the majority of local people.²⁶²

Further NGOs to use project teams for the participation of local people and beneficiaries in project execution are *Terre des Hommes Italia* (interview 29), *Conservación & Desarrollo*

²⁶⁰ *Corporación Técnica Sueca* (17th November 2008, Quito, Ecuador).

²⁶¹ See: Chapter Three, page 109. This phenomenon is also discussed by Miosse (2001: 21).

²⁶² See: Oakley (1991: 7), and Nilsson, & Woodford-Berger (2000, cited by Mikkelsen, 2005: 61).

(interview 35) and FIAAM (interview 18).²⁶³ However, in all of these examples local people are only participants in execution, the process being guided and managed by NGO staff as the NGOs retain overall control.

Another common factor is the selection of participants by national implementing NGOs. Both *Conservación & Desarrollo* and FIAAM pick the local people to be involved in project execution according to their ability, which could result in a reinforcement of existing power relations, as discussed by Mosse (2001: 21).

The *Fundación Alternativa* representative (Foundation Alternative, interview 20)²⁶⁴ was the only interviewee from an Ecuadorean NGO to demonstrate a complete understanding of project execution and the role of the project manager in traditional project management practices. This interviewee discussed the necessity of having someone at the development location whose role is to manage the execution of project activities on a daily basis. According to this interviewee, when this is not the case and the project is ‘left loose’, execution is likely to suffer from delays and problems. This opinion embodies the traditional view of the PMA process of ‘Executing’ (PMI, 2008: 55-9).

Fundación Alternativa was also the only interviewee organisation to use participatory Gantt charts during project execution. The Gantt chart is extensively employed in traditional project management, often used in the form of a computer programme such as Microsoft Project.²⁶⁵ Such computerisation would indicate a limitation of opportunities for the use of Gantt charts in local communities, but *Fundación Alternativa* (interview 20) has successfully employed Gantt charts using ‘Whiteboard, markers and paper’. Although this entails the continuous redrawing of Gantt charts to include revisions, an activity that the computerisation of Gantt charts avoids, *Fundación Alternativa* has found that this activity

²⁶³ The FIAAM interviewee describes the organisation’s experiences of using ‘receptive groups’ to execute projects at local level:

They themselves take charge of their own system of management, and in this system there are flaws, it is not perfect, there are failures, but in any case it’s a management process that feeds directly into the base group (author’s translation).

²⁶⁴ *Fundación Alternativa* (interview 20, Alejandra Caicedo, 4th September, 2008, Quito).

²⁶⁵ See: Field and Keller (1998: 420).

in itself can facilitate participation, as beneficiaries become more aware of how the project works and learn about the execution process. According to the *Fundación Alternativa* interviewee (interview 20, author's translation), this in turn enables beneficiaries to propose changes to the project during implementation in the context of a 'living' project:

One thing I have learned in project execution is that although a project is written using computers, it lives during execution, and implementing a project as a living thing you realise how the project functions, and that the project can change according to what people want.

This analysis of the process of project execution is closely aligned to traditional project management, which views execution as a core activity in the management of projects.²⁶⁶ The argument that the project is an entity that adapts to proposed changes is also aligned with the traditional project management process of 'change management' (Mantel et al, 2001: 229, Field & Keller, 1998: 326-327).

The interview data demonstrates that, although levels of participation of beneficiaries and local people in Ecuadorean development project management vary considerably, such participation is actively pursued and encouraged by a number of national NGOs in the Ecuadorean context. This reflects a development climate in which NGOs are shifting from implementation to facilitation activities, and which led the Comunidec interviewee (interview 1, author's translation) to state:

The ideal situation in my opinion is that projects have to be executed directly by the people but supported by NGO experts...that rural people should be those who manage, those who execute the project, but the methods have to be revised by the NGOs.

This opinion supports the notion that NGOs should adopt a support role for locally managed projects with capacity building and facilitation activities.²⁶⁷ The logical question ensuing from these comments concerns how a greater involvement of beneficiaries during project execution can be encouraged, and whether it is a viable development strategy.

²⁶⁶ See: PMI (2008: 55-9).

²⁶⁷ See: Keese Argudo (2006: 120), and Bebbington (1997: 127).

The solution according to two interviewees²⁶⁸ is the local development of project management methods. Thus, according to FIAAM's representative (interview 18), the themes of training and project methods are tied together in as much as the output from training sessions should be projects tools, adjusted to the development context and the needs of beneficiaries. This '*generation*' of tools through training and participation is an interesting concept, but requires facilitation by NGOs specialising in this activity, such as FIAAM. It is a view that is consistent both with Chambers' (1994A: 959) call for the modification and not standardisation of methods, and with the current trend of NGOs as facilitators rather than implementers.²⁶⁹

Furthermore, the interviewee from *Corporación de Desarrollo Social Arenillas* (Corporation of Social Development of Arenillas) argues that current methods are designed '*outside of the local reality*' and therefore exclude local people from the execution process. This view is consistent with the argument discussed in the literature review that LFA is incompatible with local realities (Wallace et al, 1997: 30).

Some of the experiences described in this section have illustrated that project beneficiaries and local people in Ecuador are often involved in the management of project execution, although this frequently takes the form of guided participation rather than local self-management of development. As such, this chapter will now move on to consider the possibilities for self-management of development projects by local people in Ecuador.

4.4.2 Possibilities for the Self-Management of Projects by Beneficiaries and Local Communities

One of the themes of this research project, as defined in Chapter Two, is to analyse the possibilities for the greater participation in and self-management of development projects by project beneficiaries and local people.²⁷⁰ The interviews with Ecuadorean development

²⁶⁸ The interviewees from FIAAM (interview 18) and *Corporación de Desarrollo Social Arenillas* (Corporation of Social Development Arenillas, Email reply 1, David Olaya, 9th December 2008).

²⁶⁹ See: Keese & Argudo (2006: 120), and Bebbington (1997: 127-128).

²⁷⁰ See Chapter Two, pages 95-6 for the research questions for this thesis.

organisations therefore raised this topic for discussion. The general consensus of interviewees is that self-management is certainly possible, but is hindered by numerous problems, including issues of beneficiary self-esteem and a lack of access to sources of funding.

The majority of national NGO interviewees expressed the opinion that greater participation of beneficiaries is both desirable and attainable.²⁷¹ In contrast, the interviewee from INGO *Terre des Hommes Italia* (interview 29) was more sceptical about the possibilities for autonomous local self-management of development projects. Although *Terre des Hommes Italia* (interview 29) create community teams to assist in project execution, this interviewee regards self-management of the execution process by local teams as '*possible but not realistic*'.

Potential obstacles to augmented beneficiary involvement include computerisation and levels of education. The use of computer software for project management was seen by the CPC representative (interview 21) as a barrier to the participation of beneficiaries with a low standard of education. Moreover, education was identified as a barrier to self-management by the *Yanapuma* representative (interview 14). However, a greater problem according to this interviewee is the lack of self-esteem in local communities:

[W]ith Bua [a local community] they have a lack of self-esteem as an indigenous people who feel oppressed, as indigenous people they feel that their values and culture are not recognised and valued. They feel stupid, there's a lot of work to do, in terms of self-esteem, and then giving them the confidence that, yes, they can participate meaningfully (original quotation).

The points raised by the *Yanapuma* representative in relation to the Bua community address a key issue in terms of the potential for the self-management of development by local people. There are a number of factors that would influence the likelihood of success of such an augmentation of local involvement. The first of these, as identified by the *Yanapuma*

²⁷¹ The *Esquel* interviewee (interview 30) was alone in his argument that administration and bureaucracy should be left to the experts, and that it is not the work of beneficiaries and local people to perform such tasks. The most popular view, as expressed by the representatives from CEPDS (interview 10), FIAAM (interview 18), IEE (interview 28) and *Serpaj* (interview 33) was that with sufficient capacity building in the area of management and organisation, local people can manage their projects on an autonomous basis.

interviewee, is the preparation and previous experience of local people in development activities. The case studies provided in Chapters Six and Seven will demonstrate that local people in the Andean region of Ecuador often possess significant organisational experience and capacities. However, according to the *Yanapuma* representative, Bua's lack of organisation and cohesion is typical of many communities in coastal Ecuador.

Thus, a lack of self-esteem in communities like Bua is likely to hinder attempts to increase social capital in local organisations. In fact, the experiences of *Fondo Agil* (Agile fund, interview 24)²⁷² show that many communities and local organisations do not currently possess adequate project planning and management skills.²⁷³ The interviewee from *Fondo Agil* relates that of the 80% of failed applications for funding, many are disregarded due to poor preparation of the planning document, or because aspects of the project are badly thought out.

Chapter Three discussed the common opinion of survey respondents that training is the most essential requirement for augmented beneficiary participation.²⁷⁴ This opinion was further expressed by a total of ten interviewees, including nine interviewees from national NGOs such as *Comunidec* (interview 1) and *FIAAM* (interview 18), and one international NCO (*CARE*, interview 4). The following opinion, expressed by the interviewee from Foundations *Stratega* and *Educate* (interview 38, author's translation), is indicative of the view expressed by interviewees that potential for augmented participation exists, but confirms that training is a key activity:

They [the people] are very capable, but what they need at first is for you to lead them by the hand until you let go, like a child when at first it begins to walk by itself, but afterwards leaves running.²⁷⁵

²⁷² *Fondo Agil* (interview 24, 17th November 2008, Quito, Ecuador).

²⁷³ The *Fondo Agil* appropriates funds received from international donors to local communities and NGOs. Application for funds is made through the completion of a standard report which applicants use to describe problems, objectives and activities related to their projects.

²⁷⁴ See Chapter Three, pages 148-9.

²⁷⁵ In the opinion of the same interviewee, local people often lack the opportunities for further participation during project execution.

Furthermore, the possibility for self-management of development projects could also depend on the specific nature of the project itself.²⁷⁶ Economic initiatives involving micro-enterprises represent the area in which self-management could be considered easiest. As such, the obvious rewards and benefits for participants provide a motivation that isn't as easy to achieve with, for example, long-term health and education projects (Manosalvas, 2009: 13). Chapter Seven will discuss case studies of tourism and economic projects performed in Ecuadorean community development.

One example of community self-management of an economic project to emerge from the interview process is supplied by the work of national NGO CIDES (interview 9, author's translation):

In Esmeraldas [an Ecuadorean province] we have made it happen that a community that didn't know how to do business, today can trade and sell products...it isn't just giving them ideas and concepts, but helping them with methodologies so that they can develop.

Additionally, the semi-structured interviews provided numerous examples of projects in which local people and beneficiaries do engage in the self-management of development initiatives. One such example is provided by the work of Foundation PRODES (interview 16), which shares projects between the NGO and local organisations.²⁷⁷

The leader of the European Commission's mission to Ecuador²⁷⁸ raises a practical problem with the self-management of development projects by beneficiaries and local people and organisations. When the commission issues funds for development projects accountability for those funds is required; the commission achieves this accountability by making NGOs responsible for projects and their funding. The commission would therefore not commit

²⁷⁶ The interviewee from CARE Ecuador (interview 4) argues that themes such as the management of environmental projects or water system projects are more appropriate for beneficiary management than health projects. The interviewee from *Infodesarrollo* (interview 31) agrees that the possibility for self-management depends upon the nature of the project.

²⁷⁷ Attributes of the shared project include financing, in the form of local contributions to project costs, and capacity building in the area of self-management. The final aim is a fuller contribution by project beneficiaries.

²⁷⁸ European Commission mission to Ecuador (discussion 3, Jose Luis Martinez, 21st October, 2008, Quito).

funds to projects entirely managed by beneficiaries or local people and/or organisations. Other donor organisations²⁷⁹ would hold the same reservations about allocating funds directly to local people and/or organisations, a factor which poses a significant barrier to the attainment of funding for locally managed projects.

Although donor preference for LFA provides one example of how funding organisations are seen as unresponsive to changing development practices,²⁸⁰ it is possible that donors could assign funds directly to beneficiaries in future. The *Fondo Agil* (interview 24) and UNDP Small Grants Programme²⁸¹ provide two cases of donor organisations that do currently assign funds to local organisations. The present writer would also argue that as local people and organisations demonstrate an ability to manage funding responsibly donor attitudes may begin to change.

Access to funding sources and the self-esteem of local people are the two major obstacles to local self-management of development projects to be identified in this section. Although training and social capital were also identified as important issues, the interviewees did generally believe that self-management goals were possible. In fact, the examples provided have shown that in some cases local organisations are moving from paternalistic NGO-led initiatives, to projects in which the local people are cast in the role of protagonists.

²⁷⁹ Such as funding INGOs SNV (interview 22) and GTZ (interview 26).

²⁸⁰ See: Bornstein's (2003: 393) discussion of donor behaviour.

²⁸¹ UNDP SGP (discussion 5, María Alicia Eguiguren, 18th December, 2008, Quito).

4.5 Conclusions

The interviews conducted with international and national NGOs performing activities in Ecuadorean development have revealed a number of key issues pertaining to project management and participation in Ecuador. Firstly, in a context displaying a prevalence of project activity the interview data highlighted concerns relating to the application of project management by national NGOs. Evidence shows that some interviewees lacked understanding of project management fundamentals, and that some organisations performing development work in Ecuador fail to effectively separate project and process/operational work. The present writer argues that the logical result of these phenomena is for projects to experience losses in efficiency.

In relation to the methodologies employed to manage the execution of NGO-led development projects, the interview data reveals a number of trends. In addition to the institutionalisation of LFA by a number of national NGOs, the data also shows trends towards programme management and traditional project management techniques such as ISO certification and the use of project boards for the management of project execution. However, an analysis of the bespoke methodologies used for Ecuadorean development project management, as well as the Outcome Mapping methodology for programme management, has shown that these methods lack sufficient tools and processes for management of the PMA process of 'Executing'. On the basis of these findings, the present writer would argue that the practice of project management by national NGOs in the Ecuadorean context is problematic. Evidence shows that deficiencies in knowledge and methodologies exist, although in relation to the latter, this is reflective of the deficiencies of global methods for development project management identified by this work.

In terms of the participation of project beneficiaries and local people in NGO-led development projects, the interview data shows that participatory consultation for ideas generation, consensus-building and stakeholder agreement is the predominant participatory form in interview organisations. The interview data evidences some instances of the participation of local people in the entire project management life cycle; however, in many

cases participation constitutes the involvement of local people in project diagnostics and formulation. Indeed, the ensuing chapters will build on the evidence provided by the interview data to show that participation ‘as an end’ activities are largely absent from Ecuadorean development.

Chapter 5

Participatory Governance and Programme Management

The first of five case studies to be analysed during this thesis pertains to the implementation of Participatory Budgeting (PB) by the provincial government of Chimborazo. This chapter will discuss how programme management has been coupled with PB in Chimborazo, highlighting two major issues. Firstly, a significant lack of programme management expertise will be evidenced by the research data, leading the present writer to question the effectiveness of programme management in Chimborazo. Secondly, the nature of participation will be identified as a type of participatory democracy fed by a system of representation in which elected representatives take part in participatory governance activities on behalf of communities, parishes and cantons.

Chimborazo's PB follows in the footsteps of a number of similar initiatives in Latin America, beginning with Porto Alegre in Brazil (Comunidec, 2008: 72); according to estimates provided by Cabannes (2004: 27), in 2004 there were 250 cities that had applied or were applying participatory budgeting techniques. Despite this prevalence of PB activity, consensus does not exist concerning how the nature of participation in Latin American PB initiatives can be analysed.²⁸² One option is provided by the seven principles of 'good' participation in local planning proposed by Ridder and Pahl-Wostl (2005),²⁸³ an effective model for the assessment of stakeholder participation. However, on the basis of data from the Chimborazo case study the present writer will argue that application of Ridder and Pahl-Wostl's principles underlines how the benefits of participation are assumed by the representatives in local PB democracy rather than the wider population.

Following the analysis of PB in the province of Chimborazo, an examination of current Ecuadorean decentralisation legislation will demonstrate that the Chimborazo experience

²⁸² Cameron (2005: 367-8):

[Q]uestions about how municipal democracy can be most effectively analysed have received very little explicit attention.

²⁸³ See Figure 5.3.

has connotations for every local government in Ecuador. The *Plan Nacional para el Buen Vivir* (PNBV, The National Plan for Good Living), currently being implemented by President Rafael Correa's administration, couples programme management and participatory governance in a national development plan obligatory for every province, canton and parish in Ecuador. The similarities between the PNBV and the PB of Chimborazo mean that the findings discussed in this chapter are currently relevant to all levels of Ecuadorean local government.

On the basis of a final analysis of the evidence discussed in this section, this chapter will critique the nature of citizen participation fostered by instances of participatory governance in Ecuador.

5.1 The Participatory Budget of Chimborazo

During 2007, the present writer observed efforts to implement PB activities in Chimborazo, as the provincial government attempted to combine the use of annual operative plans with project and programme management.²⁸⁴ This section will describe the problems associated with project management and participation observed during that research period.

5.1.1 Introduction to the Participatory Budget of Chimborazo

Chimborazo is an Andean Province in the centre of Ecuador, with a population of 403,632 inhabitants according to the 2001 census (Vasquez and Saltos, 2006: 107), although by the time of the 2010 census that figure had risen to 458,581 (INEC, 2010).²⁸⁵ In 2006, the provincial government of Chimborazo embarked upon a PB initiative officially known as the *Presupuesto Participativo de Chimborazo* (PPCH, Participatory Budget of Chimborazo).²⁸⁶ The purpose of the PPCH is to facilitate the participatory allocation of provincial government funds for expenditure on development projects and public works (Chimborazo Provincial Government, 2006: 19).

The PPCH seeks to upscale to provincial level previous experiences of PB in Chimborazo at cantonal level.²⁸⁷ The PPCH's objectives 'Change the local political culture, from one of formal democratic representation to a participatory democracy' and 'From vertical public management to public management with citizen participation' clearly show that participatory public planning and management are key goals of the PPCH (Chimborazo Provincial Government, 2006: 19).

²⁸⁴ The study period began on 4th April 2007 with a visit to the provincial government in Chimborazo. A total of eight visits were made to provincial capital Riobamba between April and October 2007. The research process is discussed in more detail in the methodology section of Chapter One, pages 24-6.

²⁸⁵ See map in Appendix 3.

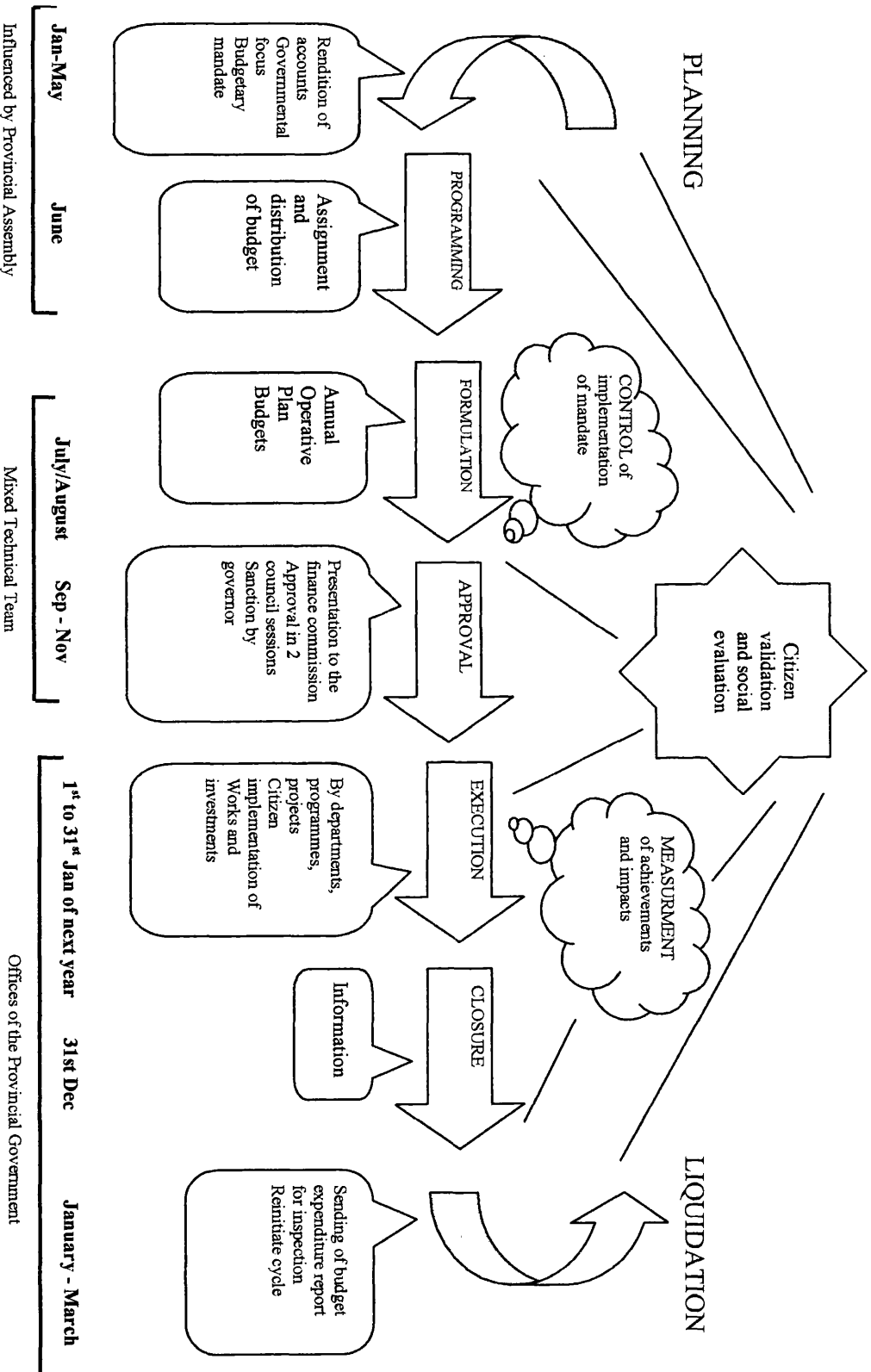
²⁸⁶ The official manual for the PB uses the name *Presupuesto Participativo de Chimborazo* and the acronym PPCH (Chimborazo Provincial Government, 2006: 26).

²⁸⁷ The Prefect of Chimborazo province when the PPCH was introduced in 2006, Mariano Curicama, was the Mayor of Guamote when PB was implemented at cantonal level. Canton Guamote is located in the province of Chimborazo (Comunidec, 2008: 74).

The first step of the PPCH was the creation of a methodology for the planning and implementation of the PB. This process included an analysis of previous PB experiences, the construction of a map of the province's 'social actors', and the elaboration of a strategic plan (Chimborazo Provincial Government, 2006: 26).

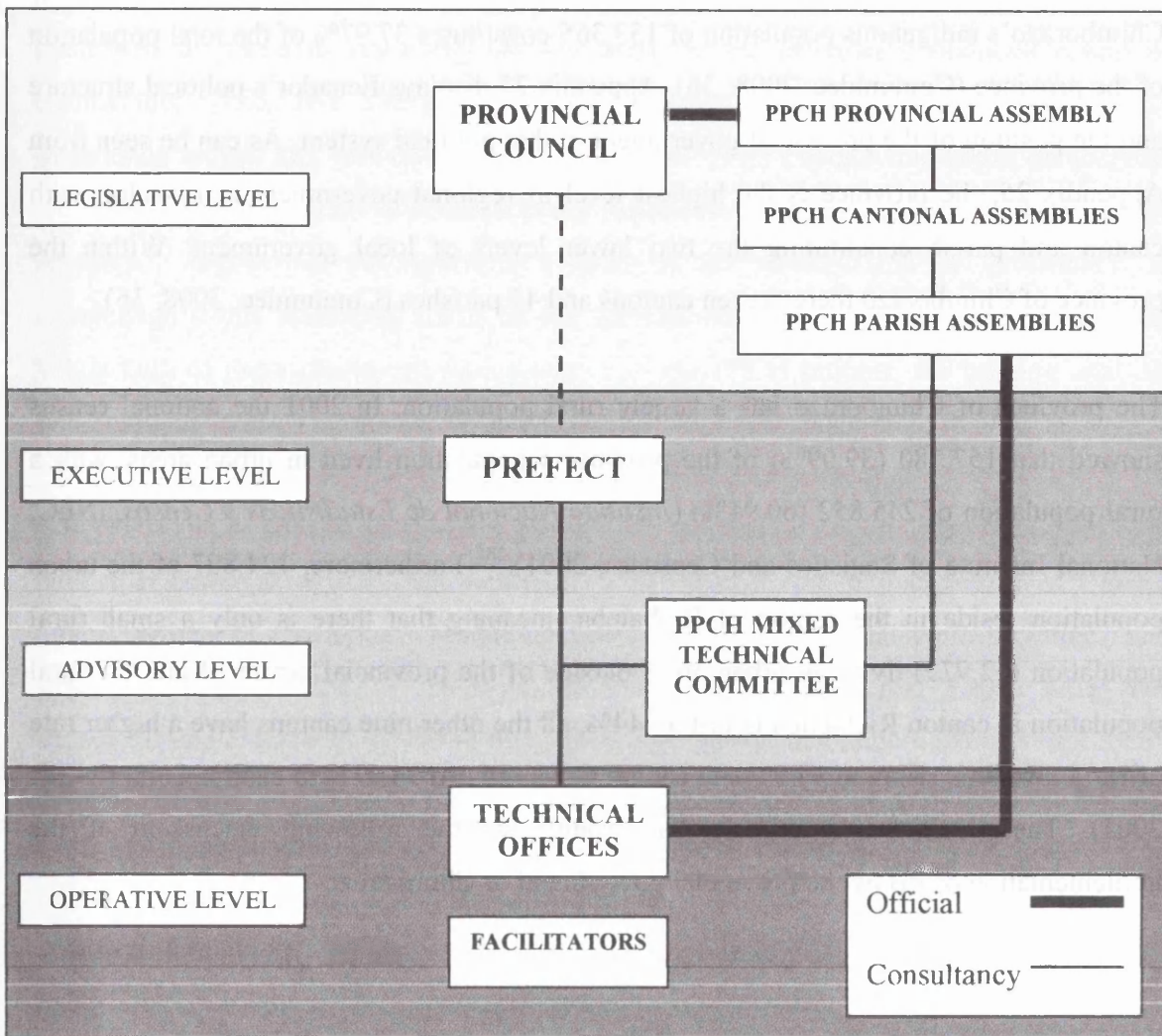
The resulting methodology is displayed in Figure 5.1, which shows the cyclical flowchart of annual PPCH activities. The participation of Chimborazo's citizens is principally in the planning stage of each year. The levels of provincial, cantonal and parish government are used as the stages for participatory assemblies in which citizens provide their budgetary mandate. These assemblies can be seen in the PPCH operational flowchart displayed in Figure 5.2, and provide the basis for the Annual Operative Plan (AOP). The phases of the annual cycle subsequent to the participatory division and assignation of provincial funds are implemented by employees of the provincial government in the form of a mixed technical team and departmental offices. During the phases of formulation, approval, execution and closure, citizen participation takes the form of monitoring, control and evaluation.

Figure 5.1 - PPCH Annual Flowchart of Activities



Source: Chimborazo Provincial Government, 2006: 70, author's translation.

Figure 5.2 – PPCH Operational Flowchart



Source: Chimborazo Provincial Government, 2006: 59, author's translation.

5.1.2 Geographical, Demographic and Political Background

The province of Chimborazo is situated in the central Andean region of Ecuador. Chimborazo's indigenous population of 153,365 constitutes 37.97% of the total population of the province (Comunidec, 2008: 36). Appendix 25 displays Ecuador's political structure and the position of the provincial government in that political system. As can be seen from Appendix 25, the province is the highest level of regional government in Ecuador, with canton and parish constituting the two lower levels of local government. Within the province of Chimborazo there are ten cantons and 45 parishes (Comunidec, 2008: 36).

The province of Chimborazo has a largely rural population. In 2001 the national census showed that 157,780 (39.09%) of the province's population lived in urban areas, with a rural population of 245,852 (60.91%) (*Instituto Nacional de Estadísticas y Censos*, INEC, National Institute of Statistics and Censuses, 2001).²⁸⁸ Furthermore, 124,807 of the urban population reside in the canton of Riobamba, meaning that there is only a small rural population (32,973) living in urban areas outside of the provincial centre. While the rural population in canton Riobamba is just 35.44%, all the other nine cantons have a higher rate of rural dwellers, rising to 94.57% in canton Guamote and 94.87% in canton Colta (INEC, 2001). These statistics provide a background for the following discussion of the implementation of PB by the provincial government of Chimborazo.

²⁸⁸ INEC (available online at www.inec.gov.ec, accessed 22/06/10).

5.1.3 Participatory Budgeting in Ecuador and Latin America

The PPCH attempts to implement a participatory democracy in which people are invited to contribute to decisions regarding the allocation of the province's financial resources (Comunidec, 2008: 66). The systematisation document produced as part of the PPCH experience argues that participatory proposals seek to go beyond traditional democracy, which ends at the election of officials at the ballot box (Comunidec, 2008: 66). Similarly, Abakerli²⁸⁹ argues that PB represents a focus on the '*demand side of governance*' in comparison to the traditional focus on the services supplied by government institutions. While both of these claims are representative of the PPCH process, the ensuing analysis will highlight issues with the nature and depth of popular participation in the PPCH.

The PPCH can be seen as an up-scaling of the implementation of participatory budgeting in municipal councils across Latin America.²⁹⁰ In Ecuador, the municipalities of Cuenca (Azuay province), Guamote (Chimborazo province), Cotacachi (Imbabura province), and Bolivar (Carchi province)²⁹¹ have all implemented PB (Cameron, 2005: 372). The successful implementation of PB in the canton of Guamote in Chimborazo was essentially the forerunner of the PPCH, being based on the same principle of redistribution of financial resources to the poorest parishes of the canton (Cameron, 2005). Furthermore, in a study of the PB experiences of Guamote, Cotacachi and Bolivar, Cameron (2005: 382-383) concludes that the success of PB in Guamote and Cotacachi was largely due to the fact that indigenous controlled municipal councils were successful in securing funding and technical support from outside agencies. In contrast, the municipality of Bolivar, controlled by a non-indigenous government, was not able to attract such funding. Thus, the successful application of PB at municipal level by an indigenous government in the canton of Guamote was up-scaled to provincial level when the indigenous *Pachakutik* party gained control of the provincial government of Chimborazo (Comunidec, 2008: 72-73).

²⁸⁹ Abakerli (n.d.: 10, available online at <http://siteresources.worldbank.org>, accessed 1/09/10).

²⁹⁰ Appendix 25 shows the political structure of Ecuador, Municipal governments operate at the canton level.

²⁹¹ See map in Appendix 3.

In the context of Ridder and Pahl-Wostl's (2005: 192) argument that improved local level planning and project implementation is achieved through a process of '*good governance, decentralisation and eventually participation*', the application of PB has been viewed as an efficient response to the historic problems of clientelism, corruption and racism evident in Ecuadorean local governments with weak administrative capacities.²⁹² However, Abakerli (n.d., 372) argues that, previous to PB, decentralisation of central government funds had not facilitated or encouraged transparency or democracy, but merely increased competition for control of Ecuadorean local governments. Despite this, the move away from clientelism and towards effective decentralisation is also considered by Comunidec (2008: 142) to be one of the key successes of the PPCH.

The case of Chimborazo also continues a history of high financial commitment in Ecuadorean participatory budgeting. In 2007, the first year of the PPCH, Chimborazo provincial government spending increased by \$713,853, from \$4,568,900 the previous year to \$5,282,753. However, Comunidec (2008:139) argue that in real terms the investment in the PPCH represented 45.57% of the total provincial government annual budget for 2007. This is due to amounts previously committed to projects in execution and the public debt of the Chimborazo provincial government (Comunidec, 2008:140). Aside from the aforementioned elements, spending areas not included in the PB are ongoing fixed costs and investment in capital assets (Comunidec, 2008:140). Thus, investment in the PPCH constitutes an increase of more than 15% in investment by the Chimborazo provincial government, and also represents a substantial financial commitment to PB. Accordingly, the PB of the PPCH is to be spent on programmes and projects related to the five axes listed in Figure 5.4.

In a review of PB spending in 25 municipalities, Cabannes (2004: 33) found the average participatory budget to be around 20% of the total municipal budget; however, this was due to the comparatively high PB allocations of Ecuadorean and Colombian municipalities.²⁹³

²⁹² See also: Abakerli (n.d., available online, accessed 1/09/10).

²⁹³ Cabannes (2004) reviewed the experiences of 25 municipalities in Europe and Latin America. In Latin America, case study locations were in the following countries: Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Mexico, Paraguay, Peru, San Salvador and Uruguay. The review cases covered the period between

Discounting Ecuador and Colombia the average PB was between two and ten percent of the total municipal budget (Cabannes, 2004: 33). In comparison, the Cotacachi participatory budget stood at 58% of total budget in 2002,²⁹⁴ with the Chimborazo figures providing further evidence of this trend in Ecuadorean PB spending. Therefore, in the Ecuadorean context, commitment to the principles of democratic PB is matched by significant percentages of local governments' total budgets. The differences in PB spending can be partially explained by financial crises and falling currency valuations in Brazil and Argentina during the research period, and 'personnel and maintenance' expenses (Cabannes, 2004: 33). However, the present writer would agree with Cabannes' (2004: 35) argument that higher PB spending in Ecuador also reflects a greater political commitment to the principles of PB.

The PPCH attempts to address the unequal distribution of financial resources within the province as displayed in Table 5.1. In 2004, over 48% of the province's financial resources were distributed to the canton of Riobamba, home of the province's capital city of the same name. Conversely, Chimborazo's rural cantons received very little of the distributed financial resources in 2004. The data displayed in Table 5.1 also shows that the percentage of indigenous residents in canton Riobamba is relatively small (24.35%) compared to cartons such as Guamote (93%), Colta (85.46%) and Alausi (54.36%). Moreover, further statistics show that Chimborazo's rural and indigenous populations do not have a similar quality of life to *mestizo* (mixed race) residents of Riobamba. *Sistema Integrado de Indicadores Sociales de Ecuador* (SIISE, Integrated System of Social Indicators of Ecuador)²⁹⁵ statistics show that poverty, based on the failure to satisfy basic needs, stood at 27.3% for the urban population of Chimborazo, and 92.7% for rural residents in 2001. Further SIISE statistics show that illiteracy among rural and indigenous inhabitants of the province is far greater than the corresponding statistic for rural and mestizo inhabitants.

1989) and 2004. Cabannes (2004: 29) defines the period between 1989 and 1997 as 'experimentation', the period between 1997 and 2000 as 'Brazilian spread', and the period from 2000 onwards as 'expansion and diversification'.

²⁹⁴ Cabannes (2004: 33) states that Cotacachi's participatory budget was expected to reach 72% in 2003.

²⁹⁵ SIISE (2001) available online, accessed 15/04/10.

Although urban illiteracy was 8.5% and mestizo illiteracy was 0.04% in 2001, 23% of rural inhabitants, and 38.2% of the indigenous population were illiterate.

Table 5.1 – Cantonal Distribution of resources in 2004 and 2007 for the province of Chimborazo and Percentages of Indigenous residents in the Cantonal Populations

Canton	2004	2007	% of Indigenous Residents in the Population
Riobamba	48.15%	19.74%	24.35%
Alausi	4.60%	14.34%	54.26%
Chambo	2.23%	5.82%	23.74%
Chunchi	1.74%	6.86%	7.00%
Colta	7.50%	12.22%	85.46%
Cumanda	3.86%	5.68%	6.00%
Guamote	5.85%	12.22%	93.00%
Guano	8.69%	9.96%	13.76%
Pallatanga	15.16%	6.55%	27.36%
Penipe	2.22%	6.60%	1.61%

Source: Comunidec (2008)

It is precisely these imbalances between the financial expenditure in the primarily mestizo urban centre of Riobamba, and rural cantons with a high percentage of indigenous residents, that the PPCH aims to change (Comunidec, 2008: 138). Table 5.1 shows that the expenditure for 2007, the first year of the PPCH, was significantly affected by the PB process. Provincial government expenditure in canton Riobamba fell from 48.15% to 19.74%. By contrast, expenditure in rural cantons increased. Although this restructuring of local government expenditure could have created a backlash from residents of Riobamba,²⁹⁶ there is no evidence to suggest that this was the case. To the contrary, the prefect²⁹⁷ responsible for the PPCH, Mariano Curicama of the *Pachakutik* party, was returned to office in 2009 with 51.14% of the total provincial vote.²⁹⁸ During its formulation and approval the PPCH did meet with political opposition, although both the Prefect and the

²⁹⁶ In fact, in Cotacachi the allocation of funds according to needs and social justice was not pursued so as to avoid such a backlash from the town centre elite (Cameron, 2005: 381).

²⁹⁷ Prefect is the name for the leaders of the provincial governments in Ecuador.

²⁹⁸ *Consejo Nacional Electoral* (2009, CNE, National Electoral Council, available online at <http://app.cne.gov.ec/resultados2009>).

President of the consortium of the parish councils of Chimborazo dismissed this opposition as people seeking to maintain the traditional system and thus profit from clientelism.²⁹⁹ The funding from the World Bank for the establishment of PB³⁰⁰ may also have served to lend legitimacy to the provincial government and the PPCH in a manner similar to the legitimacy attained by the indigenous municipal governments in Guamote and Cotacachi through funding from international donors (Cameron, 2005: 376). Thus, despite some political opposition, the new format for the distribution of the province's expenditure was explicitly agreed during the PPCH planning and formulation process (Chimborazo Provincial Government, 2006: 63).

5.1.4 Participatory Processes of the PPCH

Participation in the creation of the PPCH was greatest in the introductory phase, as the total number of workshop participants amounted to 1,165 people.³⁰¹ However, as planning proceeded only 800 people were included in the cantonal work tables from 5th to 11th February 2007, and just 160 people were included in the provincial forums on the 22nd of February. These participants were delegates from communities, parishes and cantons selected to represent the wider populations of those geopolitical areas (Comunidec, 2008: 107).

The PPCH's mandate was approved on 28th February 2007. As such, it is here noted that the participatory planning process was extremely short, as the entire provincial PB exercise

²⁹⁹ Jose Carrasco, President of the consortium of the parish councils of Chimborazo, argues that these councillors have profited from the traditional practice of clientelism in which public works are championed, selected and performed by politicians on the basis of securing votes.

Mariano Curicama, Prefect of Chimborazo, issued a rebuke to opposition councillors for attempting to influence the direction of the PPCH to meet their own needs and requirements, maintaining that the vision of the PPCH is one of democratic governance.

Both of these views were published by Comunidec (2008: 97).

³⁰⁰ World Bank grant TFESSD 055593 Andean Social Initiative Grant to Chimborazo Government and Comunidec for the 'Establishment of participatory budgeting at provincial level'. A Grant of \$280,000 was made for the period of September 2005 to June 2008 (Abakerli, n.d.: 7, available online, accessed 01/09/10).

³⁰¹ Of those participants, 800 (68.67%) were male, 365 (31.33%) were female, 575 (49.36%) were indigenous, and 590 (50.64%) were *mestizo*. The average number of representatives per canton was 116. Data from Comunidec (2008: 106).

was completely in less than a month. Furthermore, since those who participated in the final two stages of PPCH planning did so as representatives of social and political organisations,³⁰² it could be argued that the participatory process sought only to use existing power structures, through the participation of community leaders in PPCH planning. As such, the planning process did not include ordinary members of the province's communities in participatory planning activities. Similarly, the PPCH operational flowchart in Figure 5.2 demonstrates that no attempt has been made to include wider participation during the course of PPCH implementation and operation, participatory consultations being made only with the local assemblies at provincial, cantonal and parish levels.

The Chimborazo case contrasts with the fact that PB in the municipality of Cuenca is run by 1,100 elected representatives from communities and rural parish organisations, responsible for controlling the implementation of PB (Cabannes, 2004: 37). These people are representatives from parish and community associations voted for by the general electorate. However, those voters are not themselves permitted to enter PB debates, this being the responsibility/privilege solely of the elected representatives. Given these circumstances, it is pertinent to question whether PB in Cuenca is actually greatly different to normal democratic local government. The present writer would suggest that the principal difference is the increased amount of people participating in the budgetary allocation process, which in the case of Cuenca amounts to 1,100 people. Accordingly, the Cuenca PB can be seen as an enlargement of the local government budgeting process with an augmented base of elected representatives.

In comparison with Cuenca, the number of participants for the provincial level PPCH (1,165 for the initial workshops, 800 for the cantonal work tables, 160 for the provincial forums) appears to constitute a very selective participatory process. Reflecting Cabannes' (2004: 37) position that PB should be accompanied by the population's empowerment and education in civic awareness; it is here argued that the PPCH has fallen short of achieving a

³⁰² The Chimborazo provincial government (2006: 51) lists PPCH participants as: Community leaders, Second grade organisations, Third grade organisations, Parish councils, Parish assemblies, Cantonal committees, and representatives from NGOs, the church, universities, institutes and professional guilds. Definitions of second and third grade organisations are provided in Chapter Six, page 250.

full and empowering participation of the province's citizens. Further to this argument, Tola's (1999: 157) analysis of participation between citizens and the municipal council in the canton of Chordaleg (Azua province),³⁰³ includes the explicit recommendation that citizen participation is included in the project execution phase.

Despite this, if the PPCH is analysed against Ridder and Pahl-Wostl's (2005: 189) principles for 'good' participation in local level planning, as displayed in Figure 5.3, it is also argued that many of these conditions have been met by the PPCH.

Figure 5.3 – Principles of 'Good' Participation in Local Planning

- The role of stakeholders and/or the public must be clearly defined and communicated
- Stakeholders or the public involved should have visible direct benefits
- The process should be transparent
- Stakeholders involved should be representative
- Stakeholders should be involved from the beginning of the process
- Stakeholders should receive an adequate and timely feedback showing the results and how their inputs were used
- Participation should lead to learning and capacity enhancement

Source: Ridder & Pahl-Wostl (2005)

For example, the PPCH annual flowchart depicted in Figure 5.1 and the operational flowchart shown in Figure 5.2 are indicative of a planning process that is representative and has clearly defined roles for stakeholders, who are involved from the beginning of the process. In addition, the publication of the PPCH manual and rendition of yearly accounts suggest a transparent planning process. However, the potential benefit of learning and capacity enhancement through participation can only be received by those representatives of social organisations and community leaders present during participatory meetings and

³⁰³ See map of Ecuador in Appendix 3.

activities. Accordingly, it is here argued that the participatory ideal of ‘putting the last first’ was not pursued by the PPCH.³⁰⁴

Additionally, Ridder and Pahl-Wostl (2005: 188) argue that participation should continue into the phases of execution and monitoring and evaluation. The PPCH has no processes for the participatory execution of projects and programmes, such activities being the responsibility of provincial government employees, therefore failing to meet the criteria of this additional principal. This is despite the fact that the annual flowchart of activities depicted in Figure 5.1 identifies ‘Citizen implementation of works and investments’ as inherent to the execution phase of the PPCH. On this basis the present writer argues that even though the PPCH meets many of Ridder and Pahl-Wostl’s principles for good participation in local planning, it does not facilitate ‘as an end’ participation or ensure citizen inclusion during the entire project life cycle.

5.1.5 The PPCH and Programme Management

In order to plan and implement the participatory proposal, provincial government activities were organised into the five axes and 22 programmes displayed in Figure 5.4. The 22 programmes are all related to one of the axes,³⁰⁵ for example there are eight programmes related to the ‘social’ axis. Each programme is managed on a yearly basis through an AOP and contains a number of projects to be completed within the operational year (Chimborazo Provincial Government, 2006: 36-39).

The planning, formulation and approval of PPCH programmes and projects for one year takes place between January and September of the previous year.³⁰⁶ As such, the annual execution of programmes and projects for the PPCH follows the project and programme

³⁰⁴ As described by Chambers (1997: 106), the Participatory Rural Appraisal method seeks to empower the ‘lowers’, the most vulnerable people, in the development setting. By comparison, ‘uppers’ are those people who hold a higher political, economic or power status in the development setting.

³⁰⁵ In this context the PPCH’s axes represent divisions within which corresponding development programmes are placed.

³⁰⁶ See Figure 5.1 – PPCH Annual Flowchart of activities.

life cycle of 'Planning', 'Programming', 'Formulation', 'Approval', 'Execution', 'Closing', 'Liquidation' and 'Social Evaluation' (Chimborazo provincial government, 2006: 70).

Figure 5.4 – The Axes and Programmes of the PPCH

Axes

1. Democracy, Governance and inter-culturality to organise social participation
2. Social (education, local development)
3. Integral protection of the population (training and development of work opportunities, and support to cantonal and provincial systems for protection to children, adolescents and the elderly)
4. Production and generation of employment to overcome poverty and drive sustainable development
5. Environment

Programmes

1. City participation
2. Strengthening of inter-culturality
3. Institutional strengthening of local governments
4. Strengthening of social organisations
5. Inter-institutional coordination
6. Formation of human talents
7. Improvement of basic education
8. Alphabetisation and post alphabetisation for rural indigenous sectors and urban populations
9. Connectivity and technological education
10. Capacity and development of opportunities of work
11. Support for cantonal and provincial systems of protection for children, adolescents and senior citizens
12. Strengthening the health system and improvement of infrastructure
13. Priority attention for maternal care
14. Strengthening Andean medicine
15. Decentralisation of the programmes for complementary food
16. Human capacity for management and production
17. The formation and activation of social capital
18. Intensification, diversification and value aggregation of production – 'Chimborazo *Emprende* (engage)'
19. Installation and management of productive infrastructure
20. 'Chimborazo *Verde*' (Chimborazo Green) for production of vegetables
21. Valley management
22. The construction of a provincial environmental authority and decentralised management

Sources: Comunidec (2008) & Chimborazo provincial government (2006)

This programme and project cycle is representative of both traditional project management and development project cycles, as it incorporates the stages of closure and liquidation often found in traditional projects, along with the social evaluation representative of development projects.³⁰⁷

Despite these similarities, the PPCH cycle has three phases that essentially relate to traditional project planning. Planning, programming and formulation are all concerned with the planning of development projects, and combine to require a total of eight months of planning during each annual cycle of the PPCH.³⁰⁸

The data presented in Chapter Four demonstrates the evident practice of transforming process/operational work into projects, which is performed by a number of Ecuadorean NGOs.³⁰⁹ In the same manner, the PPCH, through its organisation of all provincial development activities into programmes and projects, provides further evidence of this pattern.

An analysis of the proposed projects for the AOP of 2008³¹⁰ demonstrates that many process/operational activities had been redefined as projects. In fact, if one accepts the definition of a project presented in this work,³¹¹ as a unique venture with budgetary and time restrictions, then many of the initiatives proposed by the Chimborazo programme managers are not projects at all.³¹² Examples of such projects include planned repairs to roads and bridges, teacher training and procurement activities for schools, and the organisation of festivals and cultural days within the province.

³⁰⁷ See: Crawford, (2003B: 7), and the Project Management Institute (2008: 64).

³⁰⁸ See Figure 5.2 – PPCH Annual Flowchart of activities.

³⁰⁹ See Chapter Two, pages 40-2 for definitions of project management and process/operational management. See Chapter Four, page 159 for the interview evidence here referenced.

³¹⁰ These projects were provided by the Comunidec representative, in the form of an excel spreadsheet on 10th April 2007.

³¹¹ See Chapter Two, page 40.

³¹² The programme managers are the Chimborazo government employees charged with management of the individual PPCH programmes. As will be described in this section, many of the programme managers had little previous experience in the management of programmes and projects.

It is therefore argued that, in order to facilitate participatory planning, the PPCH has unnecessarily reorganised process/operational work into projects. As has been argued elsewhere in this thesis,³¹³ the incorrect use of the project approach in order to manage process/operational activities is likely to result in losses in terms of efficiency and effectiveness. Based on this argument, the PPCH's organisation of process/operational activities into projects will result in such losses.

5.1.6 PPCH Implementation

The PPCH became a reality on February 28th 2007, when its 20 year mandate was accepted by the Chimborazo provincial government (Comunidec, 2008: 111). At this juncture the government was faced with the task of creating and implementing the first AOP. The initial instance of participatory observation in Chimborazo for this thesis took place on the 4th of April 2007, at a progress meeting between the PPCH programme managers and representatives of facilitating NGO Comunidec. A number of issues, which were to continue during the study, arose for the first time during this meeting. These issues, namely an apparent lack of project and programme management knowledge, a failure to adapt to the culture of the PPCH, and a dependence on facilitating NGO Comunidec, all concerned the readiness of the provincial government to implement the PPCH's programme management approach.

It was evident that, despite the late stage of the change process from process/operational work to programme management, the programme managers were unprepared for the implementation of the PPCH. Although a positive attitude towards the PPCH from all participants in the meeting was observed, during the discussion many of the programme managers showed a lack of knowledge, not just concerning the management of programmes, but even the most basic understanding of how to create and execute a project. An example was provided by one programme manager, who showed his frustration by exclaiming:

³¹³ See Chapter Four, page 160.

We have 24 ideas for projects, but what is ridiculous is that we don't have as yet one single project³¹⁴

In response to this, it was necessary for the Comunidec representative to explain that those ideas could be turned into project plans by thinking about objectives and activities, and that those project plans would either be accepted and executed, or rejected.³¹⁵ In traditional project management, programme managers are experienced project managers who advance into the management of strategic programmes by demonstrating a proven track record in the management of projects (Project Management Institute, 2008B: 8). The Chimborazo programme managers were traditional functional managers who rose through the provincial hierarchy on the basis of expertise in their particular fields, such as health, architecture and education.³¹⁶ However, in accordance with accepted knowledge concerning the Project Management Approach (PMA) and programme management,³¹⁷ it is argued that their lack of programme or project management expertise presented a significant obstacle to the potential success of the PPCH's implementation. The magnitude of the task facing the programme managers was further demonstrated by the number of projects to be created for the following year. In addition to 25 participatory studies, each of which identified potential projects in the province, there were a total of 300 'ideas' for projects put forward by the government's individual departments.³¹⁸

Another issue to arise during the same meeting, and to continue during the course of the study, was the extent to which the change process was driven by the Comunidec representative. Although Comunidec was contracted by the provincial government to facilitate and oversee the transition from process/operational work to the PPCH's

³¹⁴ Chimborazo provincial government programme manager, progress meeting 4th April 2007.

³¹⁵ Comunidec representative, progress meeting 4th April 2007.

³¹⁶ A functional manager being the head of a department such as finance, marketing or production (PMI, 2008: 29).

³¹⁷ The programme management Body of Knowledge (PMI, 2008B: 12) states that the programme manager's role is to support and guide the implementation of individual projects, as well as ensuring that the project structure and processes enable individual teams to pursue their objectives. Further, the body of knowledge identifies programme management skills, knowledge and competencies as key to the programme manager's role. An effective programme manager should therefore possess the skills required for strategic programme management in addition to those necessary for the tactical guidance of individual projects.

³¹⁸ Conversation with the Comunidec representative, 10th April 2007.

programme approach, it became clear that government officials were completely reliant on Comunidec to assume this role.³¹⁹

These issues were also evident at a further meeting on the 11th of April. The Comunidec representative again had to explain basic issues concerning the execution of the PPCH, clarifying that the programme managers were responsible for the implementation of the AOP.³²⁰ During the meeting one of the programme managers commented:

We are spending so much time on the PPCH that there is no time for other activities³²¹

This comment highlighted a failure to acknowledge that the working practices of the provincial government had changed from process/operational work to management of activities entirely based on programme management. By this stage in the PPCH process all of the programme manager's efforts were supposed to be focused solely on the planning of the PPCH's projects for the forthcoming year.³²² The fact that programme managers were engaged in other activities indicated that the corporate culture of the Chimborazo provincial government had still not been fully aligned with the goals and philosophy of the PPCH. The 'other' activities identified by the Chimborazo programme manager included some administration activities not incorporated into the PPCH, but also process/operational activities which should have ceased and been reorganised in order to make way for the PPCH's programmes and projects.³²³ The gravity of this situation was not lost on the Comunidec representative who later conceded:

After all this time and all this process, they still don't get that there is only the PPCH; there is nothing more, every activity should be part of the PPCH.³²⁴

The data gathered during these meetings highlights that the PPCH initiative was struggling to impose a new corporate culture on the working practices of the Chimborazo provincial

³¹⁹ Progress meeting 4th April 2007.

³²⁰ Comunidec representative, progress meeting 11th April 2007.

³²¹ Chimborazo provincial government programme manager, progress meeting 11th April 2007.

³²² Informal conversation with the Comunidec representative, 11th April 2007.

³²³ Chimborazo provincial government programme manager, 11th April 2007.

³²⁴ Informal conversation with the Comunidec representative, 11th April 2007.

government. The ex-director of planning disclosed that this was the first time during the 26 years he had worked for the provincial government that an annual operative plan had been used to manage operational activities (Comunidec, 2008: 124). This offers an insight into why programme managers were having difficulties adapting to the PPCH, and indicates a lack of planning for the transition from process/operational work to programme management.

In order to remedy the problems described above, at a meeting on the 14th of April 2010, the Comunidec representative proposed a re-structuring of the provincial government at operational level. The new organisation structure was to be composed of an operational team for each programme, supported by a management team and the programme manager. The final decision supporting this proposal was eventually unanimous, although the decision-making process provided another example of the influence leveraged by NGO Comunidec over the direction of the PPCH. At one point, the Comunidec representative claimed that this type of structure was encouraged by the World Bank.³²⁵ Although this statement could not be verified, it does represent a projectised organisational structure employed in traditional project management.³²⁶ In such an organisation, the project teams report to the project or programme manager rather than to a functional line manager on a full-time basis.³²⁷ Figure 5.5 displays the six types of organisation in which projects are performed according to Maylor et al (2006). This diagram is entirely consistent with the PMI's five types of organisation, although Maylor et al divide the projectised organisation into two categories, 'project-led organisation' and 'project-based organisation'. Since the provincial government of Chimborazo still retains functional departments, its new structure can be characterised as that of a 'project-led organisation'.

An important characteristic of a projectised/project-led organisation is the performance of projects by dedicated project teams that do not report to line managers, but rather high-level

³²⁵ Comunidec representative, progress meeting 14th April 2007.

³²⁶ The Project Management Institute (2008: 28, 30) identifies a scale of five types of organisation in which projects are performed, 'Functional', 'Weak matrix', 'Balanced matrix', 'Strong matrix' and 'Projectised'. In a functional organisation the project has the least amount of influence as the project manager has little or no authority and project management is performed on a part-time basis. This influence increases throughout the scale until the project manager achieves high or almost total authority in a projectised organisation.

³²⁷ PMI (2008: 31).

project directors (Maylor et al, 2006: 664). In traditional project management circles it is considered that the projectised organisation provides the highest level of facilitation for the implementation of projects and programmes (PMI, 2008: 30). The provincial government's new organisational structure is therefore representative of the approach to project and programme management used in traditional industries.

Over the ensuing months the Chimborazo provincial government's programme managers participated in a series of training workshops designed to improve their capacities for programme and project management. However, a lack of commitment from the programme managers was evident during the training process. Scheduled training sessions were twice cancelled on the day they were due to take place,³²⁸ and on other occasions many of the programme managers were either not in attendance, or only remained for a portion of the sessions.³²⁹ For example, on the 30th of July, a training session scheduled to begin at 9am actually started at 3pm, and on the 23rd October 2007, only one attendee remained for the entire duration of the session.

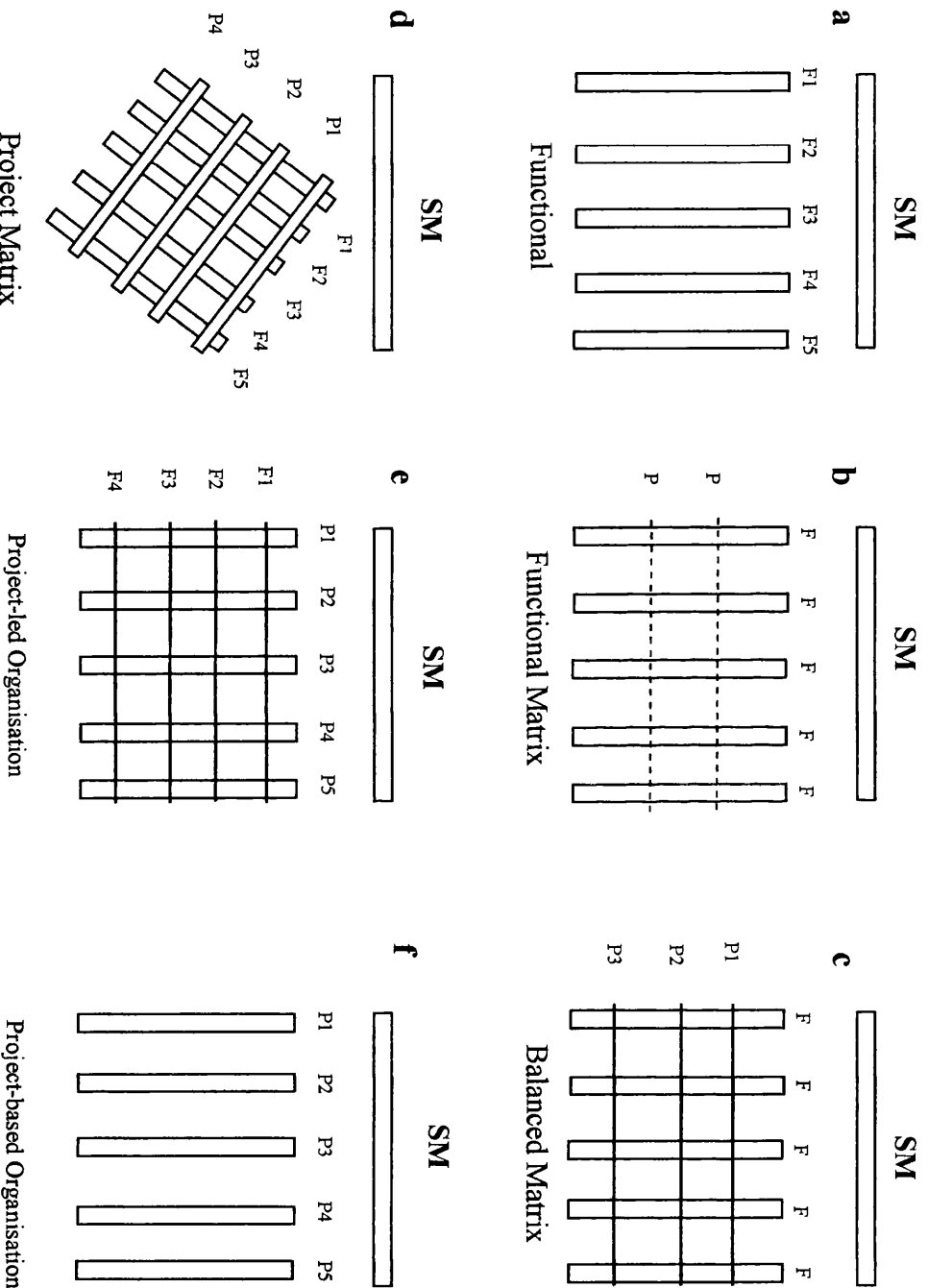
The poor attendance of programme managers at training sessions was often caused by commitments to other activities,³³⁰ but this only served to demonstrate that the provincial government was still failing to adapt to its new organisational culture, in which the programmes and projects of the PPCH encompassed the only activities to be performed by operational level government employees.

³²⁸ The project management training sessions arranged for 22nd June 2007 and 15th August 2007 were both cancelled without prior notice.

³²⁹ The three training sessions to take place were a one day session on Monday 2nd July 2007, a three day session between Monday 30th July and Wednesday 1st August 2007, and a three day session between Monday 22nd and Wednesday 24th October 2007.

³³⁰ These activities included administration work not incorporated into the PPCH, training, and process/operational activities for the year 2007, Chimborazo programme manager, Tuesday 23rd October, 2007.

Figure 5.5 - Different Organisational Structures



Key: F1-F5 = Various functional organisation departments (e.g. Marketing, Finance, R&D) P1-P5 = Major projects within the organisation. SM = Senior Management

Source: Maylor et al (2006)

During the observation period changes in key personnel began to be made by the Chimborazo provincial government, as the director of planning was replaced.³³¹ In 2010, a follow-up to the original observation exercise was obstructed by the fact that further changes had been made within the provincial government organisation structure. The facilitation services provided by NGO Comunidec were supposed to finish in July 2007; however, with the provincial government still not prepared to take full charge of the PPCH, this deadline was extended for a further six months.³³²

When the observation period finished in October 2007, it was evident that programme managers and other provincial government staff were still not fully prepared to commence implementation of the PPCH's activities. The issues that had been apparent since the beginning of the study, namely a lack of commitment to the shift from process/operational work to programmes management, and an overdependence on the facilitating NGO, were still evident.³³³ Through participatory processes at parish, cantonal and provincial level, backed up by the release of informative literature such as *Manual del Presupuesto Participativo de Chimborazo* (Manual of the Participatory Proposal of Chimborazo),³³⁴ the shift to participatory governance had been accepted by the electorate of the province. However, the evidence provided by the case study data shows that the transition from process/operational work to programme management was struggling to impose organisational culture changes within the provincial government.

In 2008, Comunidec hailed the PPCH as a success, although Comunidec's evaluation of the PPCH was based on the changes created by the PB rather than results achieved. Thus, the PPCH's evaluation focused on the change in distribution of investment from urban to rural areas, the change to a transparent and participatory political culture from clientelism, and a change away from institutional bureaucracy to an organisation designed for programme management (Comunidec, 2008: 137-148). However, this evaluation is both subjective and grounded in the highly political nature of the PPCH, which is linked to the indigenous

³³¹ Comunidec (2008: 124).

³³² Comunidec representative, 14th April 2007.

³³³ Observations made between Monday 22nd and Wednesday 24th of October, 2007.

³³⁴ Provincial Government of Chimborazo (2006).

political movement and the *Pachakutik* party. It is however paradoxical that no evaluation has been made of people's participation in the PPCH by the Chimborazo government or Comunidec. As mentioned earlier, the fact that *Pachukutik* and the Prefect responsible for the PPCH have retained political power in the province provides an indication that the PPCH retains support with the province's electorate. Moreover, data provided in Chapter Six will evidence the loyalty of indigenous people to *Pachukutik* and the indigenous movement.³³⁵ Given such loyalty, an indigenous population of almost 38%, and a rural population of almost 61% in areas to which provincial government spending has been redirected, it is unsurprising that *Pachukutik* has retained power in Chimborazo.

The statistics presented in *El Presupuesto Participativo del Gobierno Provincial de Chimborazo* (The Participatory Proposal of the Provincial Government of Chimborazo, Comunidec, 2008: 128-129) provide an indication that delays were experienced in the implementation of the PPCH's first annual operative plan. These statistics show that as of September 2008, only 12.34% of the projects planned for that year had a status of 'awaiting completion'. A further 14.31% of projects had a status of 'in execution', while 36.65% of projects were 'pending', and 36.70% were 'in documentation'. These figures reveal that only 26.65% of projects for the year 2008 had advanced to the execution phase by September.

LFA is the tool of choice for the planning of the PPCH's projects, and Microsoft Project is used to plan and monitor activities and expenditure during the project execution phase.³³⁶ The application of these tools is performed by provincial government employees, demonstrating that the participation of Chimborazo's citizens in the PPCH is minimal once the participatory budget has been set. It is thus argued that the PPCH provides further evidence of the trend for participation for consensus building and decision-making during planning activities, identified in Chapter Four's discussion of participation in Ecuadorean NGO-led development.³³⁷

³³⁵ See Chapter Six, page 275.

³³⁶ Provincial Government of Chimborazo (2008: 147).

³³⁷ See Chapter Four, pages 187.

Whether the provincial government of Chimborazo can overcome the issues related to the transition from process/operational work to programme management remains to be seen. However, the following discussion of the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for Good Living) will demonstrate that the experiences and lessons from the PPCH are currently relevant to every province, canton and parish in Ecuador.

5.2 The Ecuadorean National Plan for ‘Good Living’

Subsequent to his first election as Ecuadorean president in 2007, Rafael Correa embarked upon sweeping changes to Ecuador’s central and regional government system. Encompassed by these reforms is a national development plan, the implementation of which is mandatory for all levels of government in the country. That development plan is called the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for Good Living) and bears strong similarities to the PB of Chimborazo, as both combine the use of programme management with participatory governance. This section will examine the legislature surrounding the PNBV, and analyse its implications for Ecuadorean local government.

5.2.1 Constitutional Reform and Good Living

The first step of Correa’s ‘*Revolución ciudadana*’ (Citizens’ revolution) was to propose a new constitution, which was ratified by the Ecuadorean people in 2008 (*Secretaria Nacional de Planificación y Desarrollo*, National Secretary of Planning and Development, SENPLADES, 2009: 18). Following approval of the 2008 constitution, Correa called presidential elections in 2009 and succeeded in winning an unprecedented overall majority in the first round of voting (SENPLADES, 2009: 80).³³⁸

The mandate of the new Ecuadorean constitution includes the creation of a national development plan with the following remit:

The national development plan is the instrument to which public policies, programmes and projects will be subject. Programming and execution of the state budget, the investment and assignment of public resources, and the coordination of responsibilities between the central state and decentralised autonomous governments is also subject to the national development plan. Observation of the plan will be obligatory for the public sector and recommended for other sectors.

(Constitution of Ecuador 2008, Article 280. Author’s translation).

³³⁸ On the 27th of April 2009 Correa achieved 51.99% (3,584,236) of the votes in the first round of that year’s presidential election.

Evaluation for the national development plan took a period of 31 months between 2007 and 2010 (SENPLADES, 2009: 18). This process included spaces for ‘*participation and social control*’ performed in seven planning zones between June 2008 and March 2009 (SENPLADES, 2009: 21).³³⁹

From this diagnostics and analysis emerged the *Plan Nacional para el Buen Vivir 2009-2013* (National Plan for ‘Good Living’ 2009-2013). The concept of ‘good living’ incorporates a philosophic rejection of traditional development thinking.³⁴⁰ Instead of a focus on economic growth measured through factors such as Gross Domestic Product, the PNBV strives to achieve ‘the complete life’, a term derived from the Andean indigenous peoples’ concept of *sumak kawsay*. Thus, the PNBV uses ten principles of ‘good living’ to guide Ecuadorean development. These principles often embrace the idealistic, for example ‘Towards a harmonic relationship with nature’, and ‘Towards living together in solidarity, fraternity and cooperation’ (SENPLADES, 2009: 33-42, author’s translation).

In addition to the ten principles for ‘good living’, the PNBV also outlays twelve national objectives for ‘good living’ and twelve strategies for the period 2009-2013. The twelve national objectives, which address areas such as citizens’ rights and social cohesion, are both philosophical and general in nature. A typical example of this is provided by the third objective ‘Improve the quality of life for the population’ (SENPLADES, 2009: 137-315, author’s translation).

In comparison the twelve strategies for the period 2009-2013 are more specific, often address the national economy, and constitute implementable policies for the pursuit of the principles and national objectives.³⁴¹

³³⁹ These participatory spaces included public consultations, participatory workshops and dialogue between social and institutional actors (SENPLADES, 2009: 21). SENPLADES does not provide statistics showing the amount of people who participated in these participatory spaces.

³⁴⁰ The dominant concept of ‘development’ has entered a profound crisis, not just due to the colonial perspective from which it was constructed, but also due to the poor results that it has generated the world over.

(SENPLADES, 2009: 31, author’s translation)

³⁴¹ The twelve strategies proposed by the National Plan for ‘Good Living’ for the period 2009-2013 are as follows (SENPLADES, 2009: 101-136, author’s translation):

For each of the twelve objectives the National Plan for ‘Good Living’ defines policies, lines of action (sub-policies) and goals. Thus, the framework of objectives, sub-policies and goals defined within the PNBV constitute a national development plan. As the following section will describe, the PNBV also provides a framework for decentralised regional and local government.

5.2.2 The PNBV, Decentralisation and Autonomous Local Development

From the philosophical, strategic and objective-based national plan outlined above, the PNBV establishes a framework for decentralised development performed in an autonomous fashion by local governments in Ecuador’s provinces, cantons and parishes.³⁴²

For the purpose of PNBV implementation, two new codes were passed by the Ecuadorean congress. The first of these is the *Código Orgánico de Organización Territorial, Autonomía y Descentralización* (COOTAD, the Organic Code of Territorial Organisation, Autonomy and Decentralisation) 2011, and the second is the *Código Orgánico de*

-
1. Democratisation of the means of production, (re)distribution of wealth and diversification of the forms of ownership and organisation
 2. Transformation of the pattern of the economy’s specialisation, through the selective substitution of importations for good living
 3. Increase in real productivity and diversification of exportations, exporters and world destinations
 4. Strategic and sovereign insertion into the world [market] and Latin American integration
 5. Transformation of superior education and transfer of knowledge through science, technology and innovation
 6. Connectivity and telecommunications for the information and knowledge society
 7. Change the energy matrix
 8. Investment for Good Living within the framework of macroeconomic sustainability
 9. Inclusion, protection and social solidarity, and the guarantee of rights within the framework of the constitutional state of rights and justice
 10. Sustainability, conservation and knowledge of natural patrimony and the fomentation of community tourism
 11. Development and territorial order, de-concentration and decentralisation
 12. Citizens’ power and citizens as social protagonists

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Decentralisation is planted as an integral and multidimensional goal in the country [Ecuador], which challenges the structure and practice of public management, and which should tend towards management that corresponds with geographic differences and potentials, the search for economies of scale, adequate financial reporting, but above all, a true response to the needs of the population, in which each and every Ecuadorean is an active agent of the process.

(SENPLADES, 2009: 399. Author’s translation).

Planificación y Finanzas Públicas (COPFP, the Organic Code of Planning and Public Finances) 2011. On the basis of these codes, *Gobiernos Autónomos Descentralizados* (GADs, Autonomous Decentralised Governments) are permitted to develop the management of their territories only through the adherence to the regional planning strategies outlined by the PNBV (SENPLADES, 2011: 9).

In order to comply with the procedural requirements of the national development plan, regional development plans must be completed by each local government. Additionally, the completion of provincial, cantonal and parish plans must be performed by GADs in a uniform manner. The ‘Guide of contents and processes for the formulation of Development Plans and Territorial Structuring of provinces, cantons and parishes’ (SENPLADES, 2011) provides details of the processes and documents to be completed by GADs.

According to SENPLADES (2011: 18), the provincial plans are not ‘hierarchically superior’ to the regional plans for lower levels of government, but rather ‘referential instruments’. However, development plans for all levels of local government must be presented using the same format.³⁴³ Furthermore, proposals must be constructed in accordance with the six development ‘systems’ specified by the PNBV,³⁴⁴ and should follow SENPLADES’ five stages for the participatory formulation of development plans.³⁴⁵ For the purposes of

³⁴³ The common format constitutes a discussion of the results of a diagnostics study, followed by the presentation of the proposed future development strategy and the management model to support that strategy (SENPLADES, 2011: 18).

³⁴⁴ The six systems established by SENPLADES (2011: 20-1) are:

1. Environmental
2. Economic
3. Socio-cultural
4. Political-institutional
5. Human settlement
6. Mobility, energy and connectivity

³⁴⁵ The five stage process of participatory formulation (SENPLADES, 2011: 16, author’s translation):

- Organisation of participatory instances [within groups]: Assembly and Council of planning, technical planning team
- The formulation of the strategic and systems diagnostics
- The formulation of the Development Plan: objectives, structural model, and management
- The formulation of the Plan of Territorial Structuring: policies, strategies, management tools and programmes and projects for territorial development

execution and control of local development plans, SENPLADES' (2011: 23) guide proposes a baseline that is directly linked to the system of indicators contained within the national planning system. As the following section will describe, codes passed by Ecuador's national assembly direct regional and local governments to employ the programme management approach in order to plan and implement activities relating to the six systems stipulated by the PNBV.

5.2.3 The PNBV and Programme Management

Programmes and projects are inherent both to the PNBV and to the activities of GADs at all levels of regional government. The COPFP, article 43, states that territorial plans should contain strategies, a management model, programmes and projects (*Asamblea Nacional*, National Assembly, 2011). The strategies, programmes and projects relate to the six management systems established by SENPLADES. The management model is '*the instrument which will permit the GADs to realise the development plans*' (SENPLADES, 2011: 30), and should contain a number of key features:

For the elaboration of the management model, the GADs should at least detail the specific information of the programmes and projects, the estimated schedules and budgets, petitions, the people responsible for execution, and a system for monitoring, evaluation and feedback that facilitates the rendition of accounts and social control.

(COPFP, article 42, author's translation)

This description of the management model reflects the critique of previous attempts made by GADs to plan and manage regional development expressed by the PNBV.³⁴⁶ Among

-
- Approval and commencement of the Plan by the provincial, cantonal and parish organs of political decision-making

³⁴⁶ SENPLADES (2009: 399, author's translation):

Although the majority of autonomous decentralised governments have developed diverse planning instruments, these have not achieved an effective application in the management of their territories for different causes: those instruments do not have enough quality in their focus or contents, given the scarcity of timely and ordered information; they did not provide mechanisms of management, control and implementation; they did not count on internal political support; they did not keep a relationship with the territorial policies of central government; and fundamentally, because they did

other aspects, this critique identifies the absence of tools and procedures for the management and control of the PMA process of 'executing'. This reflects the argument made by the present writer throughout this work that development project management methods fail to address the process of executing.³⁴⁷ Furthermore, SENPLADES (2011: 72, author's translation) also describes the benefits of an effective system for monitoring, evaluation and feedback:

The information that is generated by the system will permit the relevant groups to adopt measures that allow the acceleration of activities, re-orientate, augment or reduce efforts, with the aim of achieving efficiency of processes and the optimisation of results.

(SENPLADES, 2011: 72, author's translation)

The activities described by SENPLADES, namely the adjustment of work and activities according to progress measured against a plan, again reflect both the traditional PMA approach to the 'executing' process, and the present writer's critique of current international and Ecuadorean development project management methods. The ensuing section will examine the PNBV in comparison with the PPCH.

not count on the appropriation of public and private actors in their [the planning tools'] respective environments.

³⁴⁷ For example, see the discussion provided in Chapter Two's literature review, page 94, Chapter Three's analysis of SISDEL, pages 119-20, and Chapter Four's critique of bespoke Ecuadorean methods, page 174.

5.3 Comparative Analysis of the Participatory Budget of Chimborazo and the National Plan for ‘Good Living’

Implementation of the PNBV, including the preparation of plans at provincial, cantonal and parish levels, is currently in progress as this work is being written. In this section, details of the development plan for the parish of Conocoto will be used to highlight similarities between the implementation of the PNBV and the PB of Chimborazo.³⁴⁸ The two major themes to be discussed are the nature of the participation supported by these initiatives and the use of axes, programmes and projects in decentralised local development.

Participatory Budgeting is not a compulsory aspect of the PNBV, but rather an optional component of the local development strategy. However, both the PB of Chimborazo and the PNBV are forms of participatory governance based on the concept of citizen participation in the planning and implementation of local government development activities. COOTAD (article 295) states that the GADs should contain participatory elements and outlines the system of citizen participation displayed in Figure 5.6 (*Asamblea Nacional*, 2011B).

Clearly stated within COOTAD’s system of citizen participation is the necessity for local governments to provide mechanisms for participation in all of the PMA’s processes. However, evidence suggests that levels of participation in Ecuadorean local government are low. In 2008, INEC (*Instituto Nacional de Estadísticas y Censos*, National Institute of Statistics and Censuses) performed a ‘National Survey of Citizen Participation’, conducting interviews with 14,938 Ecuadorean citizens. The breakdown of interview cases by area can be seen in Table 5.2.

³⁴⁸ Conocoto is an urban parish located in canton Quito and Pichincha province (see map in Appendix 3) with a population of 53,137 inhabitants (*Parroquia de Conocoto*, Conocoto Parish, 2011: 134). The Conocoto parish plan was completed in December 2011. Conocoto was selected for study due to the parish’s location in canton Quito, enabling comparison with both the PPCH and, the case studies analysed in Chapter Five.

Figure 5.6 - COOTAD System of Citizen Participation

- Deliberate about development priorities in their respective constituencies, such as know and define the objectives of territorial development, lines of action and goals.
- Participate in the formulation, execution, implementation and evaluation of development plans and territorial organisation, and in general, in the definition of proposals for public investment.
- Elaborate government participatory budgets
- Participate in the definition of public policies

Source: National Assembly (2011) COOTAD, Article 304, author's translation.

Table 5.2 – National Survey of Citizen Participation 2008 (Elaborated and performed by INEC): Survey Cases

Area	Cases
Quito	1,237
Guayaquil	1,907
Cuenca	1,094
Machala	1,091
Ambato	961
Rest of the Urban Andean region	1,576
Rest of the Urban Coastal region	2,280
Urban Amazonian region	704
Rural Andean region	1,834
Rural Coastal region	1,616
Rural Amazonian region	638
Total	14,938

Source: SENPLADES (2011, author's translation)

The results from the survey evidence the levels of citizen participation in neighbourhood/rural committees, producers' associations, voluntary and women's organisations, collectives and assemblies, and municipal government.³⁴⁹ Table 5.3 shows

³⁴⁹ Further analysis of results from the National Survey of Citizen Participation 2008 is provided in Chapter Six. See page 278.

the percentage of survey respondents to have participated in municipal calls for the participatory elaboration of a cantonal development plan.

Table 5.3 - Ecuadoreans who have attended Calls for Participation

Area	Yes	No
Quito	0.9%	99.1%
Cuenca	0.4%	99.6%
Ambato	0.5%	99.5%
Rest of the urban Andean region	0.5%	99.5%
Rural Andean region	2.2%	97.8%
Guayaquil	2.3%	97.7%
Machala	1.3%	98.7%
Rest of the urban coastal region	2.5%	97.5%
Rural coastal region	2.2%	97.8%
Urban Amazonian region	1.1%	98.9%
Rural Amazonian region	3.0%	97.0%
TOTAL	1.36%	98.64%

Source: Sarzosa (2011: 99, author's translation)

Aside from the total percentage of participation in municipal calls, it can be seen that the lowest area percentage of just 0.4% belongs to Cuenca. On the basis of this evidence, it is clear that PB in the city of Cuenca has not proven successful in creating an elevated level of citizen participation in comparison with the other geographical areas of Ecuador.³⁵⁰

Table 5.4 displays a breakdown of how many times the 'yes' respondents had attended calls for participation, the data clearly showing that most survey respondents attended calls for participation on less than four occasions. Conversely, a small percentage of respondents attended participatory calls on ten or more occasions. As such, this evidence shows that it is often the same very small number of participants who attend calls for participation.

³⁵⁰ The province of Chimborazo, home of the PPCH, is located in the Andean region. As such inhabitants of the province could belong to either the 'Rest of the urban Andean region' category or the 'Rural Andean region' category.

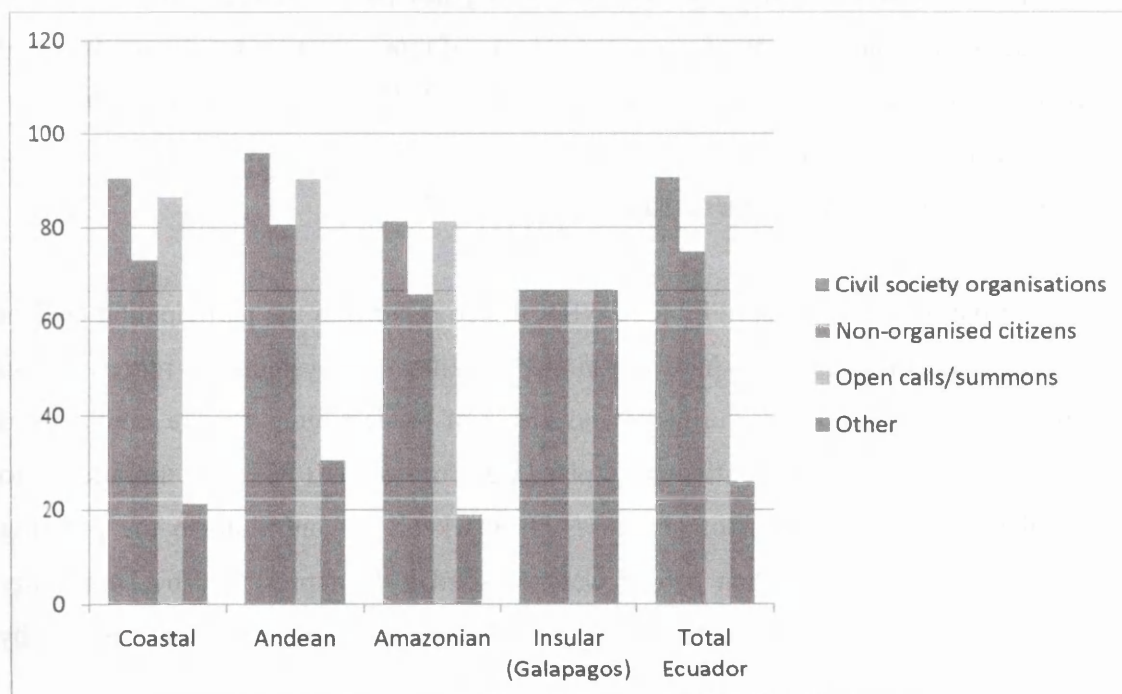
Table 5.4 – Breakdown of how many times Participants have attended Calls for Participation

Number of times	Percentage
Between 1 and 4 times	83.13%
Between 5 and 10 times	14.21%
More than 10 times	2.66%

Source: Sarzosa (2011, author’s translation)

The graph provided in Figure 5.7 depicts the participation of civil society organisations and non-organised citizens in the elaboration of cantonal plans according to the findings of the National Survey of Citizen Participation 2008. This graphic provides evidence that civil society organisations have a higher participation than non-organised citizens in the creation of cantonal plans.

Figure 5.7 - Who participated in the Elaboration of Cantonal Plans



Source: Sarzosa (2011, author’s translation)

Data from Conocoto parish shows why involvement of organisations is higher than individuals in the creation of local development plans. Completed in 2011, the Conocoto parish development plan criticises the ‘low’ level of citizen participation encountered during the process of plan elaboration, stating that the apathy of the parish’s inhabitants had been a problem (*Parroquia de Conocoto*, Conocoto Parish, 2011A: 99). However, during an interview performed in February 2012,³⁵¹ the representative from the facilitating NGO *Ideas en Concreto* (Concrete Ideas) confirmed that participation in the plan’s diagnostics and formulation activities was restricted to representatives of parish and community associations and organisations. As such, individual citizens could not participate unless they were chosen as the representatives of an association, organisation or collective. Furthermore, a similarity between Conocoto and Chimborazo’s PPCH is the short duration of time afforded to the participatory diagnostics process. In Conocoto the entire diagnostics and planning process lasted just 45 days (*Ideas en Concreto*, 2011B: 5).

Thus, all of the data provided in Tables 5.3 and 5.4 and Figure 5.7, as well as evidence from the parish of Conocoto, further demonstrate two phenomena highlighted by the Chimborazo case study. Firstly, the low levels of participation in regional government planning activities, and secondly the use of a system of representation for the invitation of participants. Thus, only 160 people participated in the PPCH’s provincial forums, and non-organised citizens have a lower participation than civil society organisations in the elaboration of cantonal development plans (see Figure 5.7).

The type of participation fostered by the PNBV therefore mirrors the participation evident in Chimborazo. However, it is here questioned whether the systems of representation described above fully embody the goals and ideals of participation. By the invitation of existing power holders to the participatory planning process, the PPCH did not attempt to achieve the wider participation of all those citizens keen to contribute to the planning process. In reality it may be that people were satisfied to be represented by community leaders, or even disinterested in participating themselves.³⁵² Notwithstanding this reality, by

³⁵¹ Jose Garcia, Managing director, *Ideas en Concreto*, 6th of February 2012, Quito.

³⁵² Indeed the case studies provided in Chapters Six and Seven will provide evidence to this effect.

only allowing selected representation, the PPCH has not empowered ordinary people to participate in local decentralised development of the province of Chimborazo's participatory budgeting initiative. The data provided from the parish of Conocoto shows that this formula for systems of democratic representation has been repeated during PNBV planning.

There are also clear similarities between the structures of the PPCH and local government development created by the PNBV. While the former is based on a set of five axes, the latter is centred on six systems.³⁵³ Terminology aside, these structures are extremely similar, not just in the presence of environmental, political, social and economic elements, but also in that both axes and systems act as divisions within which development activities are placed. Those activities take the form of programmes and projects for both the PPCH and the PNBV. This is evident from the PPCH structure shown in Figures 5.4, and the contents of local development plans, as defined by the PNBV, displayed in Figure 5.8.

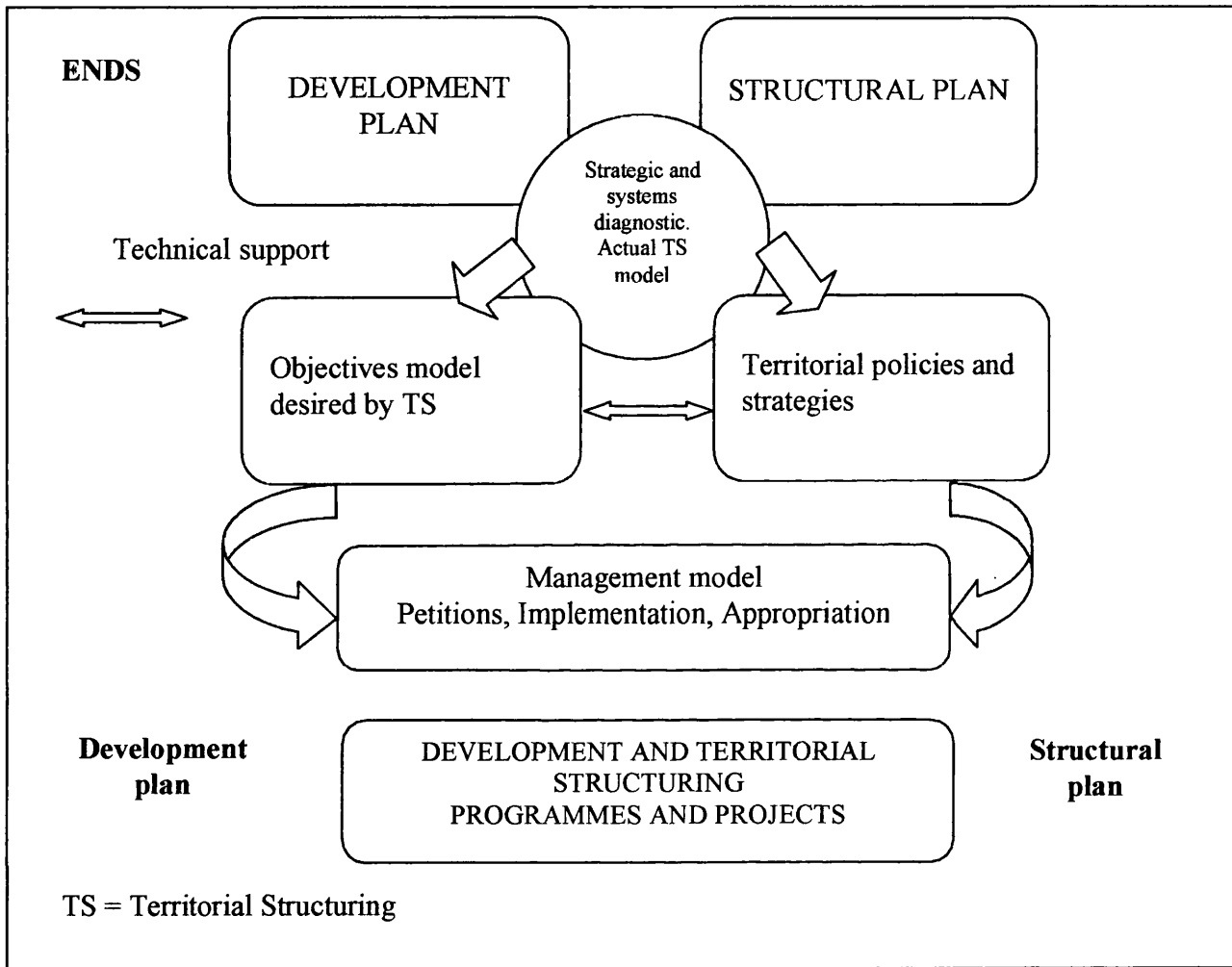
Furthermore, execution of both the PPCH and the PNBV's local development plans is managed through the use of an Annual Operative Plan (*Parroquia de Conocoto*, 2011A: 99). Given these similarities, this work's findings in relation to the PPCH assume relevance for each and every Ecuadorean local government now faced with implementation of the PNBV and local development plans.

During the Chimborazo case study it was evident that the attention to the processes for securing a democratic mandate and the participatory selection of priorities and programmes was not complemented by a strong attention to the changes in organisational structure and activities required within the provincial government by the PPCH. As a result, government employees were seen as displaying a lack of knowledge about, and commitment to, the implementation of the PPCH's programme approach. Furthermore, the evident dependence of government employees on the facilitating NGO, Comunidec, presented concerns about their ability to manage the PPCH by themselves, and led to an extension of Comunidec's

³⁵³ The PPCH's five axes can be seen in Figure 5.4, and the PNBV's six systems can be seen on page 231 of this chapter.

contract with the provincial government. These findings reflect Barrera's (1999: 188) argument that deficiencies in Ecuadorean regional government institutional capacity pose a barrier to the successful decentralisation of central government functions.

Figure 5.8 – Contents of Local Development Plans



Source: SENPLADES (2011, author's translation)

As described above, the PNBV identifies mechanisms for the timely management of projects and programmes as a particular weakness of Ecuadorean local government, and requires the elaboration of a management model with a system for monitoring, evaluation and feedback by all GADs. This area has been identified in earlier chapters of this work as

an omission from current approaches to development project management. Accordingly, the PNBV's description of the management model's system for monitoring, evaluation and feedback is reflective of traditional project management requirements for the process of 'Executing'.³⁵⁴

However, the PNBV leaves the elaboration of the management model to individual GADs. Based on experiences in Chimborazo, it is here argued that there will be deficiencies in the resultant management models. The PPCH case study demonstrated a lack of programme management knowledge and experience in Chimborazo. As such, if the government for a province of 157,780 inhabitants does not possess the necessary skills for programme management, the present writer questions whether the governments of cantons and parishes, much smaller in terms of population, will be able to effectively design models for programme management.³⁵⁵

Further evidence is provided by the management model for the parish of Conocoto. The matrix of national, provincial and parish objectives for the strategic area of tourism is displayed in Figure 5.9, along with the programmes and projects for the parish of Conocoto.³⁵⁶ The management model details the national, provincial and parish objectives for each of the six PNBV systems.³⁵⁷ As tourism is just one of four areas within the PNBV 'Economic' system, in its entirety Conocoto's management model comprises of 91 projects within 35 programmes in six strategic areas. Notwithstanding the size and complexity of Conocoto's plan, the management model designed to guide and inform its implementation is simply a spreadsheet with objectives, programmes and projects listed in a hierarchical format.

³⁵⁴ During the 'executing' process changes to expected activity durations and costs and unexpected risks require corrective action by the project team. Thus, processes for managing project execution enable the project team to analyse and respond to such variances (PMI, 2008: 56).

³⁵⁵ For example, the smallest canton in Ecuador, Pablo Sexto in the Amazonian province of Morona Santiago, has just 1,188 residents (SIISE, available online at www.siise.gov.ec, accessed 15/04/10).

³⁵⁶ As of February 2012, information pertaining to provincial policies and parish policy was missing from the Conocoto parish development plan.

³⁵⁷ The PNBV's six systems being: Environmental, Economic, Socio-cultural, Political-institutional, Human settlement and Mobility, and Energy and connectivity.

Figure 5.9 – Conocoto Parish Management Model: Strategic Areas, Programmes and Projects for the Economic System, Strategic Objective: Tourism

PNBV System – Economic

National Strategic Objective: Establish a social economic system based in sustainability and solidarity.

National Policies:

- To drive an endogenous economy for good living which is sustainable and territorially balanced, that will lead to the guarantee of rights and product transformation, diversification and specialisation from the fomentation of various forms of production.
- Drive the activity of small and medium associative economic units and foment demand for the goods and services that they generate.
- Drive the productive conditions necessary to achieve food sovereignty. Promote changes in patterns of consumption, with the aim of reducing the consumption of imported and luxury goods. Generate healthy habits and solidarity, social and responsible practices.

Provincial Objectives:

- Develop the micro, small and medium business as a sector for the generation of massive employment and income, as a source of opportunities for progress, of women's participation and to make the domestic market dynamic. Redress inequalities existing in the access to market opportunities, overcoming the state of neglect in which the sector has been left.
- Reactivate and contribute to the financing of producers in the agricultural sector for an increase in production, augmenting employment and family income, giving priority to food production, to the diversification of agricultural production and the industrialisation of agriculture which promotes sustainable development, elevating productivity and competitiveness.

Provincial Policies:

Parish Objectives:

- Drive the creation of new productive units in relation to the economic dynamic of the territory, providing training and business tools.
- Increase agricultural production and contribute to food sovereignty and the social wellbeing of the parish's small and medium producers.
- Achieve the sustainability of good living
- Organise and train the productive sectors, focusing them on improving their services and customer and tourist service.

Parish policy:

Parish Strategic objective:

- Provide permanent technical assistance and financial and non-financial services to improve processes and local services, generating production alternatives, industrialisation and value added to products and local services.

Programmes: Programmes to strengthen and promote tourism in the parish

Projects:

- Inventory of economic, touristic and natural potential to determine the needs and strengths of the parish
- Design and development of promising touristic products
- Study of the feasibility of implementation and authorisation of the 'route of the haciendas' and spas.
- Improvement of the quality and service of restaurants, training in service and implementation of good manufacturing practices.
- Implementation of the zonal start-up agency for production and tourism
- Coordinate and integrate the parish into the tourism circuits of the municipality of Quito, for example the cycle path.

Source: Author's elaboration and translation from *Parroquia de Conocoto* (2011A: 134), and *Parroquia de Conocoto* (2011B).

The Conocoto management model also provides basic tools for the management of project time and budget. For time management, the model has a schedule for project execution from 2010-2025, an example of which is shown in Figure 5.10. The schedule constitutes a very basic time baseline for project execution, and aside from the ‘projects’ column had no data as of February 2012. As well as being devoid of data, the schedule is also very simplistic in nature.

Figure 5.10 – Conocoto Development Plan’s Schedule for Execution

Priority	Projects	2010- 2013	2014- 2017	2018- 2021	2022- 2025
	System – Economic/Productive				
	Inventory of economic, touristic and natural potential to determine needs and strengths of the parish				

Source: Conocoto parish (2011)

Project finances will be managed using a project budget matrix, which will list the total budget for each project followed by a budget required for every year between 2011 and 2025 (*Ideas en Concreto*, 2011A: 8, author’s translation).The strategy for execution and monitoring of Conocoto’s projects is to:

Consolidate all the projects in a single project file and evaluate compared to a baseline the percentage of advancement of activities and elapsed time
(Conocoto Parish, 2011: 156, author’s translation).

Thus, despite the PNBV’s recognition of the importance and necessary elements of a system to manage the PMA process of ‘executing’, the Conocoto management model has failed to progress from the use of a matrix to measure baseline data for time and budget against the actual progress made during project execution. Chapter Three’s discussion of SISDEL (*Sistema de Desarrollo Local*, System of Local Development) includes a critique of SISDEL’s use of a project baseline for the management of the PMA process of ‘executing’, in which even SISDEL’s designer admitted that the system’s processes for

project execution were not adequate.³⁵⁸ Despite this, the parish of Conocoto intends to employ a similar method for the management not just of projects, but entire development programmes.

The Conocoto management model also contains a 'contingency plan', which is depicted in Figure 5.11. In effect this contingency plan presents a series of 'go/no go' controls such as those used in traditional project management.³⁵⁹ If the answer to the indicator questions is yes then the control is passed and the project can proceed as normal. However, if the answer is no a three strike system is then employed. The first strike is to make an 'attention call', the second is to issue a warning and upon the third strike the execution team is changed.³⁶⁰

Thus, Conocoto's contingency plan provides evidence of the local government's attempt to create a tool to assist the PMA process of 'executing'. The contingency plan reflects the 'management by exception' approach in which project control focuses on the activities that are not meeting planned time and budgetary targets.³⁶¹ However, the present writer would argue that the plan's indicators and contingencies are extremely rudimentary.

During the execution phase time delays and budget overspends can occur due to various internal or external factors, many of which are beyond the control of the project team (Maylor, 2003: 271). As such, an effective project team reacts to such issues and takes remedial action (Mantel et al, 2001: 204). Despite this, Conocoto's contingency plan appears to be primarily concerned with punishing the project team for diversions from planned progress. A more nuanced approach to management of the executing process would facilitate the project team's response to problems rather than issuing warnings for deviations from the project plan (PMI, 2008: 56).

³⁵⁸ See Chapter Three, page 115.

³⁵⁹ Go/No go controls seek verification that project preconditions have been met. If so, the status 'Go' permits the execution of the project to continue without intervention. If not, the status 'No go' requires intervention by the project team. Go/No go controls can be used in all aspects of the project, such as the project plan, the budget and the activity schedule (Mantel et al, 2001: 224).

³⁶⁰ For the second question 'Money is flowing in accordance with the plan' there is no third strike.

³⁶¹ Using the 'management by exception' approach significant variances from the project plan are dealt with immediately by the project team in order to eliminate or reduce adverse effects to efficient and effective project completion (Lock, 2000: 511).

Figure 5.11 – Conocoto Management Model Contingency Plan

Indicators	Yes	No	Contingencies
The technical team is accomplishing its assignment?			<ul style="list-style-type: none"> • If the team is accomplishing its assignment, the plan continues on a normal course • If the team is not accomplishing, for the first failure to complete an 'attention call' will be made, for the second a warning will be issued, and for third the team will be changed
Money is flowing in an adequate manner in accordance with the plan?			<ul style="list-style-type: none"> • If money is flowing in an effective manner, the plan continues on a normal course • If money is not flowing in an effective manner, for the first failure to complete an 'attention call' will be made, for the second a warning will be issued
The timescales set out by the plan are being respected?			<ul style="list-style-type: none"> • If timescales are being met in an effective manner, the plan continues on a normal course • If timescales are not being met in an effective manner, for the first failure to complete an 'attention call' will be made, for the second a warning will be issued, and for third the team will be changed
The execution is being accomplished by the designated personnel?			<ul style="list-style-type: none"> • If execution is being accomplished in an effective manner, the plan continues on a normal course • If execution is not being accomplished in an effective manner, for the first failure to complete an 'attention call' will be made, for the second a warning will be issued, and for third the team will be changed

Source: *Ideas en Concreto* (2011A: 42, author's translation).

Reflecting experiences in Chimborazo, further evidence calls into question the readiness of Conocoto parish to implement programme management. In fact, nowhere in Conocoto's development plan, institutional strategic plan or technical report is there recognition of programme management as a distinct activity to the management of the plan's individual projects. Instead, programmes actually constitute headings under which projects are

categorised. However, as has already been argued, programme management is the coordination of a group of projects in order to obtain additional benefits and control (PMI, 2008: 9).³⁶² Such benefits are not achieved by the mere categorisation of numerous projects under sub-headings, but rather by the performance of the management activities related to project interdependencies.

Furthermore, the evidence indicates a similar lack of knowledge concerning projects and the PMA in Conocoto. Of the six tourism projects listed by the parish's development plan and displayed in Figure 5.10, at least three do not appear to meet the definition of a project as accepted by this work.³⁶³ Using this definition, the present writer would argue that 'Inventory of economic, touristic and natural potential to determine needs and strengths of the parish', 'Improvement of the quality and service of restaurants, training in service and implementation of good manufacturing practices', and 'Coordinate and integrate the parish into the tourism circuits of the municipality of Quito' are process/operational activities rather than projects.

As with the PPCH experience, employees of Conocoto parish council with little previous project or programme management experience are now faced with the implementation of the 91 projects of the Conocoto development plan.³⁶⁴ Since every province, canton and parish in Ecuador is currently undergoing the change from process/operational activities to programme management, such a lack of expertise in project and programme management is likely to prove detrimental to the implementation of the PNBV. This chapter's conclusions

³⁶² The PMI (2008: 10) provides the following definition of programme management:

Program management focuses on the project interdependencies and helps to determine the optimal approach for managing them. Actions related to these interdependencies include:

- Resolving resource constraints and/or conflicts that affect multiple projects within the program
- Aligning organizational/strategic direction that affects project and program goals and objectives
- Resolving issues and change management within a shared governance structure

³⁶³ This definition, provided by the PMI (2008: 5), is as follows:

A project is a temporary endeavour undertaken to create a unique product, service, or result.

³⁶⁴ Jose Garcia, Managing director, *Ideas en Concreto*, 6th of February 2012, Quito.

will now address the issues with programme and project management alongside the nature of participation in Ecuadorean regional and local decentralised development.

5.4 Conclusions

With a focus on programme management and participatory processes, the present writer has argued that experiences from the province of Chimborazo have wider connotations for regional and local decentralised development under the PNBV. Chimborazo's PPCH and the PNBV have been critiqued from the perspectives of traditional programme/project management and the ideals of participation 'as an end' development.

However, this critique should not ignore the context of popular democratic support enjoyed by both *Pachukutik* in the province of Chimborazo, and by President Rafael Correa, support which has been referenced in this chapter. Moreover, the limitations highlighted during this chapter should be considered in the holistic context of participatory democracy. The present writer does not contest Comunidec's (2008: 137-148) evaluation of the PPCH, which celebrated changes from clientelism and bureaucracy to transparency and participatory democracy. Similarly, the introductory notes accompanying Chimborazo's PB mandate for 2013 (Chimborazo Provincial Government, 2012: 2, author's translation) declare:

Despite the fact that today it is common for us to have spaces for meeting and discussion, of dialogue and dissent, seven years ago they did not exist.

In terms of both the original and secondary data pertaining to the PPCH, the above claims are undisputed. Nevertheless, the concerns raised by the PPCH case study are pertinent to Ecuadorean decentralised regional and local development. On the subject of programme management, the present writer argues that the limitations in organisational culture and programme/project management are likely to result in losses in efficiency and effectiveness. When considered from the perspective of the moves towards traditional project management practices evidenced by data from this chapter and Chapter Four, such losses assume significance for local and regional government.

In relation to participation, the data presented in this chapter contributes to the critique of the Ecuadorean application of participatory development discussed throughout this work. Thus, in its entirety, the original data pertaining to this thesis evidences a narrow

application of participation in which 'as an end' participatory development is overlooked in favour of systems of democratic representation.

Chapter Six

Local Ecuadorean Development and Participation in Second Grade Organisations

The case studies presented in this chapter will examine the development activities of two local *Organizaciones de Segundo Grado* (OSGs, Second Grade Organisations). In Ecuador, an OSG is a local or regional organisation that has acquired a statute to represent a group of grassroots organisations (Martinez Valle, 2006: 109).³⁶⁵ Accordingly, an OSG may encompass and represent organisations in a number of communities, parishes or cantons.

The two OSGs analysed in this chapter both operate in rural settings in the Ecuadorean Andean region. The first, *Organización Comunitaria para el Desarrollo Integral de la Niñez y Adolescencia de Pacto* (OCDINAPAC, Community Organisation of Pacto for the Integral Development of Childhood and Adolescence), is a parish level OSG performing activities in a rural part of the province of Pichincha. The second case study organisation, *Organización de Mujeres Indígenas y Campesinas “Sembrando Esperanza”* (OMICSE, Organisation of Indigenous and Country Women “Sowing Hope”), is an indigenous women’s association operating in a rural area of Cotopaxi province.³⁶⁶

Having already investigated the participation of beneficiaries and local people in Ecuadorean NGO-led projects, and the nature of participation in decentralised regional government development, the focus of this thesis will now examine the issues of participation and project management from the perspective of local organisations. The two OSGs analysed in this chapter bear similarities as they both constitute local rural organisations in the Ecuadorean Andean region participating in the projects of national and international NGOs. However, whereas OMICSE is a member of the indigenous movement’s network of regional and local organisations, OCDINAPAC has no such

³⁶⁵ *Organizaciones de Primer Grado* (OPGs, First Grade Organisations) are local/community grassroots organisations such as local associations or committees. Just as OSGs group together OPGs, *Organizaciones de Tercer Grado* (OTGs, Third Grade Organisations) group together OSGs into national confederations, unions etc. This nomenclature is not exclusive to Ecuador, being used in other parts of Latin America (Gomez de la Torre, 2011: 3, Martinez Valle, 2006: 109).

³⁶⁶ See map provided in Appendix 3.

affiliation. These two case studies also examine the local realities of two typical OSGs. OMICSE is a typical member of the Ecuadorean indigenous movement, and the OCDINAPAC case study is representative of the Latin American emphasis on productive development identified by Biekart (2008: 76).³⁶⁷ According, these case studies have wider implications in Ecuadorean development.

Moreover, an examination of the participatory processes of OCDINAPAC and OMICSE will show that both organisations are democratic entities with board members elected to directorial positions, and periodic meetings for participatory decision-making. Building on the evidence provided in previous chapters, data from these case studies will highlight how participation ‘as an end’ development is stymied in favour of functional participation performed ‘as a means’ of decision-making in local organisations.

The case studies will also demonstrate that both organisations manage process/operational activities and have extensive experience of participation in the projects of national and international NGOs. Nevertheless, the present writer will argue that these experiences have not prepared either organisation for the self-management of development projects. Thus, the case studies of OCDINAPAC and OMICSE highlight concerns and issues relating to the potential for local Ecuadorean organisations to assume an augmented role in development project management.

³⁶⁷ See also Chapter Two, pages 68-9.

6.1 Parish Development in Pacto

The rural parish of Pacto, although a two and a half hour bus ride from the nation's capital Quito, falls within the provincial boundary of Pichincha, and the jurisdiction of Canton Quito's municipal government. In contrast to Quito, Pacto is located at an altitude of just 1200 metres, as the Ecuadorean Andes descend to the coastal region (Provincial Government of Pichincha, 2004: 10). Due to this geo-political positioning, locally driven development has gained importance in Pacto, as the small rural parish with a population of just 4,820³⁶⁸ has little political presence in a Province of 2,388,817 inhabitants,³⁶⁹ and a canton with 1,839,853 inhabitants.³⁷⁰ A map of the parish, drawn by workshop participants during the course of the case study, is displayed in Appendix 26. This map depicts the parish centre 'Pacto', and the twenty communities of which the parish is comprised.

Statistics demonstrate that the quality of life for Pacto's inhabitants is worse than for inhabitants in both the canton and the province within which the parish is situated.³⁷¹ For example, the statistics for basic services, displayed in Table 6.1, demonstrate that the residents of Pacto have significantly reduced access to services such as sewerage systems, refuse collection, and electricity in comparison with both canton Quito and Pichincha province.

Further statistics show similar discrepancies in areas such as health, education and formal employment. Table 6.2 shows that the percentage of malnutrition is significantly greater in the parish of Pacto, and that there are just 9.1 health workers for every one thousand people in the parish, in comparison with 61.96 health workers per thousand people in canton Quito.

³⁶⁸ INEC (2001) cited by Provincial Government of Pichincha (2004).

³⁶⁹ According to the 2001 Census (INEC, 2001, cited by Vasquez & Saltos, 2006).

³⁷⁰ INEC (2001, available online, accessed 22/06/2010).

³⁷¹ INFOPLAN (2001, cited by Provincial Government of Pichincha (2004).

Table 6.1 – Basic Service Indicators for the Province of Pichincha, Canton Quito and the Parish of Pacto

Index	Pichincha	Canton Quito	Pacto
Homes with sewerage system	65.20%	71.50%	8.50%
Homes with a refuse Collection service	70.60%	77.10%	10.02%
Homes with electricity	90.70%	94.70%	47.07%
Homes with walls of brick or breezeblock	76.30%	80.30%	16.10%
Homes with adequate flooring	91.70%	93.50%	93.02%
Homes with hygiene services	59.70%	63.90%	10,07%
Average of people per room	1.9	1.8	2.12
People impacted by poverty	44.76%	40.10%	79.38%
Severity of poverty	8.76%	7.55%	19.95%
Destitution	14.61%	12.48%	37.05%

Source: INFOPLAN, Version 1.1, 2001 (cited by the Provincial Government of Pichincha, 2004)

Table 6.2 – Health Indicators for the Province of Pichincha, Canton Quito and the Parish of Pacto

Index of Malnutrition	Pichincha	Canton Quito	Pacto
Chronic malnutrition in children less than 5 years old	45.95%	45.89%	62.52%
Global malnutrition in children less than 5 years old	32.13%	31.19%	44.23%
Health workers for every 10,000 inhabitants	51.89	61.96	9.1

Source: INFOPLAN, Version 1.1, 2001 (cited by the Provincial Government of Pichincha, 2004)

These statistics demonstrate that the parish of Pacto is considerably less developed than Pichincha province and canton Quito. As discussed in Chapter Three,³⁷² the decentralisation of national government functions has led to the view that cantons are the most important level of development. However, the argument that both the provincial and cantonal governments have failed to provide adequate resources to Pacto,

³⁷² See discussion of cantonal and provincial decentralisation, Chapter Three, page 100 onwards.

has led to attempts by residents to seek development opportunities at parish level.³⁷³ It is within this development context that the following analysis of OCDINAPAC is placed.

6.1.1 Parish Development Organisation OCDINAPAC

OCDINAPAC is an independent OSG concerned with development at parish level.³⁷⁴ The activities of OCDINAPAC and its organisational mandate are not tied to the area's socio-political structure or the parish council of Pacto. However, OCDINAPAC covers a geographical area including all of the communities shown in the map of the parish provided in Appendix 26.

For the purposes of this research, in 2009 a participatory diagnostics study was performed in Pacto with the cooperation of OCDINAPAC, according to the research strategy outlined in the methodology section of Chapter One.³⁷⁵ During an initial contact,³⁷⁶ OCDINAPAC representatives expressed a desire to improve organisational capacities and to seek opportunities for the autonomous pursuit of development projects. The diagnostics data will show that OCDINAPAC has participated in a number of development projects in recent years; these projects have however been managed by national NGOs. In addition, the diagnostics data will demonstrate that OCDINAPAC is attempting to drive development in the parish of Pacto, and find funding for initiatives and projects. Such initiatives started in the area of education, but have extended to health, tourism, and economic development.³⁷⁷ OCDINAPAC began life

³⁷³ This view was expressed by OCDINAPAC representatives during a meeting on Saturday 3rd January, 2009.

³⁷⁴ OCDINAPAC came into existence in 1992, at first as an association of sugar cane producers. Since this beginning, OCDINAPAC has diversified to participate in social development projects in the parish. Until the research period, the primary focus had been on education and health initiatives, such as the promotion of education scholarships for children, and health campaigns for eye glasses and canes. Thus, from its initial objectives of advancing the cultivation and production of sugar cane and its products, OCDINAPAC has become an organisation with overall development goals. A formal mission or vision statement did not exist at the time of the research study, but the organisation was attempting to further diversify into community tourism.

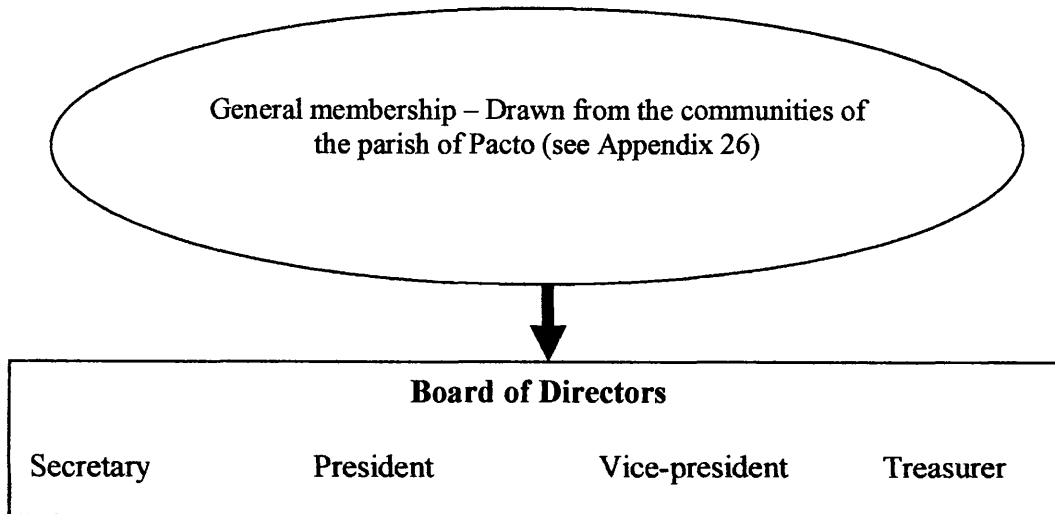
³⁷⁵ A full description of the research methodology for the Pacto case study can be found in Chapter One, beginning on page 27. Research was performed between January and March 2009.

³⁷⁶ Meeting with OCDINAPAC representatives, Saturday 3rd January, 2009.

³⁷⁷ Meeting with OCDINAPAC representatives, Saturday 3rd January, 2009.

in 1992, and is managed by an elected board of directors following the organisation structure displayed in Figure 6.1.³⁷⁸

Figure 6.1 – OCDINAPAC Organisation Structure



Source: Author’s elaboration from interviews with OCDINAPAC

Appendix 27 depicts a historical timeline of parish development in Pacto, and was drawn up in one of the participatory diagnostics workshops.³⁷⁹ The timeline was completed for a period of ten years, although the results show that there had been little development activity in the parish until 2005, despite the creation of a parish council and the acquirement of parish resources in 2001. In 2006 a number of development initiatives occurred in the parish with the involvement of OCDINAPAC; these activities included the creation of a community bank, vacation camps for child residents of the parish, the creation of a health fund, and child development and scholarship projects funded by national government department *Instituto de la Niñez y la Familia* (INFA, Institute of Childhood and the Family).³⁸⁰ OCDINAPAC actively participated in the planning and execution of those INFA projects. Most of these and later initiatives have been performed in the areas of health, such as ‘*Fondo de Salud OCDINAPAC*’

³⁷⁸ Information pertaining to the size of OCDINAPAC’s membership was not available due to the fact that membership is informal with everyone resident in the parish of Pacto having the right to participate in OCDINAPAC’s activities.

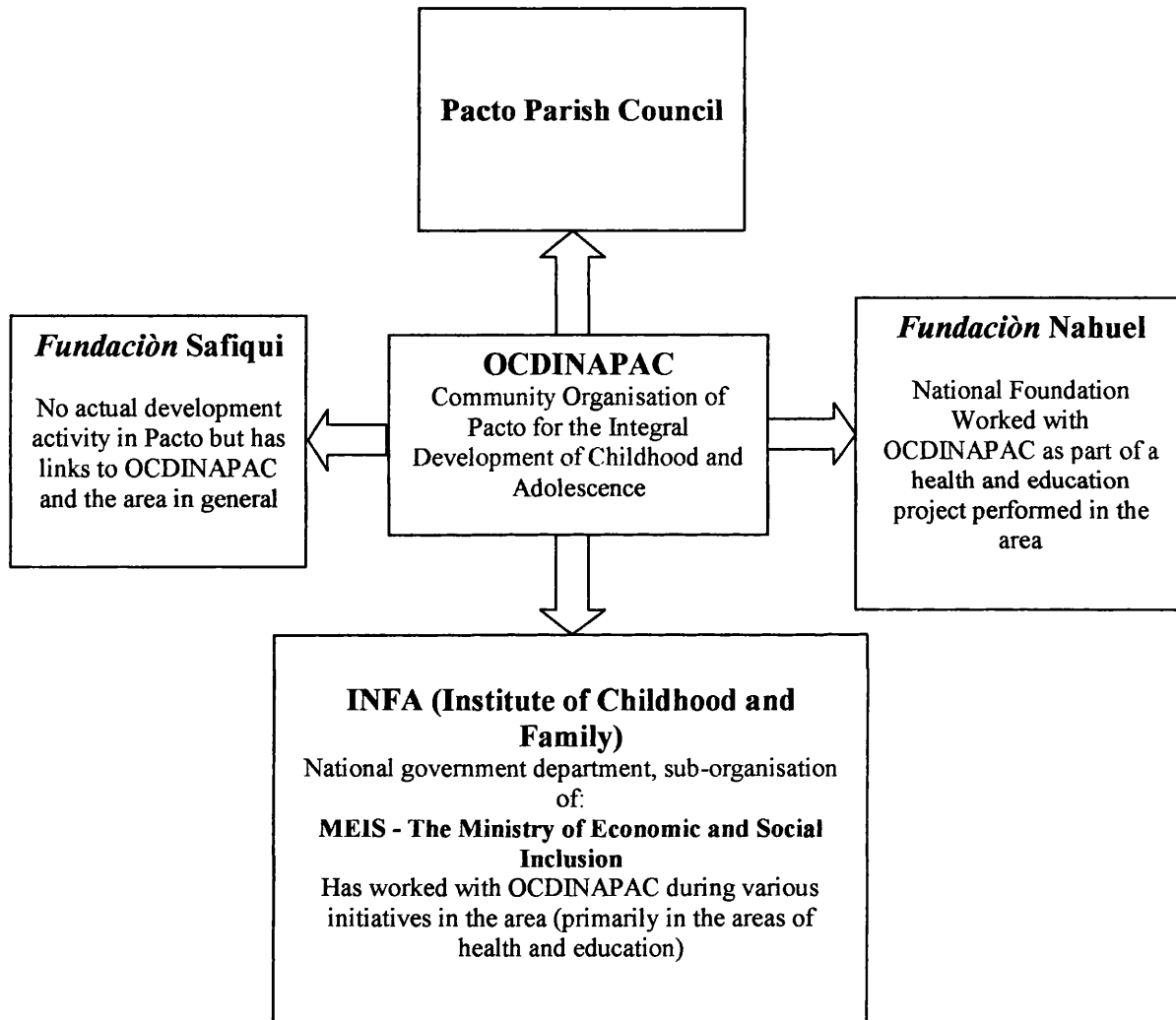
³⁷⁹ Participatory diagnostics workshop held in Pacto on Saturday 14th February, 2009.

³⁸⁰ INFA is a department of the *Ministerio de Inclusion Economica y Social* (MEIS, Ministry of Economic and Social Inclusion).

(OCDINAPAC Health Fund), ‘Verde Esperanza’ (Green Hope), and education.³⁸¹

Figure 6.2 maps the relationships between OCDINAPAC, the parish council and the national NGOs to have worked with OCDINAPAC.

Figure 6.2 – OCDINAPAC Organisational Relationships



Furthermore, an institutional relationships diagram drawn up by workshop participants and showing national and local organisations with activities in the parish of Pacto is displayed in Appendix 28. This diagram demonstrates that workshop participants believed that both the provincial and cantonal governments are removed from the parish, as they placed these organisations entirely outside the parish boundary circle.

³⁸¹ Education related activities have centred on securing and creating scholarships such as ‘Becas del INFA’ (INFA scholarships) and ‘Becas a Ganar’ (Scholarships to win).

The institutional relationships diagram also highlights the number of NGOs and other development organisations that have activities and projects in the parish. In addition to OCDINAPAC, there are four other foundations operating solely within the parish, and five national NGOs with projects and activities in the Pacto area. In conjunction with the data from the historical timeline,³⁸² the institutional relationships diagram provides evidence of significant development activity in a rural parish with only 4,820 inhabitants. Although this data shows that OCDINAPAC is just one of a number of local actors, it also shows that OCDINAPAC is highly active in parish development activities.

The original research for this thesis highlights a clear desire on behalf of OCDINAPAC to move into other areas, notably economic development and tourism. Participatory workshops reflected this ambition,³⁸³ as participants identified the areas of production and tourism as being important to the improvement of the standard of living in the parish:

If we can use the sugar cane to create other products, we can sell them for a bigger profit. This is really important for the future, because at the moment the middle men pay us very little for the *panela*. We want to try different ways and methods for production.

OCDINAPAC representative, 2nd March 2009, author's translation

We need to develop tourism in Pacto, the area is so beautiful and diverse. Tourism would create jobs in the area and bring money to local businesses.

OCDINAPAC representative, 7th February 2009, author's translation

Evidence from conversations with OCDINAPAC members³⁸⁴ and NGO staff³⁸⁵ and the participatory diagnostics demonstrated the belief that the parish possesses a wealth of natural resources, providing opportunities for economic development. The participatory Strengths Weaknesses Opportunities Threats (SWOT) analysis displayed in Figure 6.3 lists 'Biodiversity in flora and fauna', 'Micro climates' and 'Production of a variety of fruits and plants' as strengths of the parish, and the development of sugar cane products constitute three out of the four production project ideas provided by the participants of

³⁸² See Appendix 27.

³⁸³ Participatory diagnostics workshop held in Pacto on Monday 2nd March, 2009.

³⁸⁴ OCDINAPAC representative, 7th February 2009.

³⁸⁵ Two national NGOs with connections to the parish were interviewed for the purposes of this case study. Details of these interviews are provided in this chapter.

the participatory brainstorming exercise, and displayed in Figure 6.4. Not only does the identification of strengths and opportunities and potential projects demonstrate that OCDINAPAC members consider that potential for economic development exists in the parish, but it also reflects a positive attitude by OCDINAPAC members towards the parish's future.

Such positive viewpoints are one reason why OCDINAPAC members displayed a significant interest in capacity building and project management. Project management was seen by members of OCDINAPAC as a necessary element in the ability of the organisation to move forward and further take control of their development initiatives.³⁸⁶

These factors were also evidenced by the belief among workshop participants that economic and tourism development offered potential development opportunities for the parish. A tourist centre was listed as a future improvement in the participatory future mapping exercise for the parish of Pacto displayed in Appendix 29, and further evidence was provided by both the listing of tourism projects in the participatory brainstorming session (Figure 6.4), and the identification of 'community tourism' as an opportunity in the participatory SWOT analysis (Figure 6.3). However, the ideas provided for tourism projects were general and focused on the all round improvement of tourist facilities, failing to identify a particular strategy.

Opportunities for economic diversification were identified in two main areas, the exploitation of the parish's diversity of natural resources, and the diversification of *panela*-based products.³⁸⁷ Due to its climate, described as '*Very humid mountain forest*', Pacto is able to boast a great diversity in flora, fauna and natural foodstuffs (Provincial Government of Pichincha, 2004: 14), which according to a representative of national

³⁸⁶ OCDINAPAC representative, 7th February 2009 (author's translation):

We need to be able to manage our own projects, we want to have the ability to plan and execute projects ourselves.

³⁸⁷ Panela is a sweet food product made from sugar cane, an unrefined alternative to sugar (Mandul, available online at <http://mandulpanela.com/english>, date accessed 06/07/10).

foundation Safiqui, hold significant potential for growth in the areas of economic production and tourism.³⁸⁸

However, according to the participatory development plan for Pacto, despite being in a privileged position '*geographically and climatically*', which is conducive to the cultivation of a wide array of produce, production in the parish is largely confined to dairy farming and sugar cane products such as *panela* (Provincial Government of Pichincha, 2004: 14).

Observations made during the research period highlighted that OCDINAPAC has developed a certain level of organisational maturity through its participation in numerous NGO-led projects. Signs of such maturity were evident in organisational activities such as monthly meetings, assistance in the completion of the parish census,³⁸⁹ and semi-official functions.³⁹⁰ This organisational capacity could be a key factor in OCDINAPAC's attempts to move into the self-management of production and tourism projects.

However, it was also evident that OCDINAPAC was heavily reliant on a small number of its members to perform organisational activities and drive parish development. Although twelve members were present at the first participatory diagnostics workshop on the fourteenth of February, this number was reduced to only eight representatives for each of the final two workshops.³⁹¹ Those who attended all of the workshops were also present at meetings held on 3rd January and 7th February. Based on this evidence, doubts remain as to whether OCDINAPAC has a sufficient base of human resources required to manage and administer its own development projects without the NGO support it has received in the past.

³⁸⁸ Safiqui representative, Jose Garcia, Thursday 19th February, 2009, Quito, Ecuador.

³⁸⁹ During the research period OCDINAPAC was active in the distribution and administration of the parish census.

³⁹⁰ A barbeque and social gathering was held on Saturday 7th February 2009 to celebrate the end of tenure for one OCDINAPAC committee, festivities included speeches and awards.

³⁹¹ The second workshop was held on Monday 2nd March, and the third on Monday 16th March.

Figure 6.3 - Participatory SWOT Analysis for the Parish of Pacto

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> • Good Communications between teachers and parents • The distance learning collage has mechanics workshops • Creches • Biodiversity in flora and fauna • Micro climates • Volleyball court • Football pitch • <i>Panela</i> production • Production of a variety of fruits and plants • Electricity • Water • The road to Quito is good • The river, swimming • Organisation of monthly community meetings 	<ul style="list-style-type: none"> • Lack of equipment (schools) • Lack of teachers (schools) • Lack of sewerage systems • Quality of education • Quality of infrastructure • Fewer people have access to primary school education in Pacto than in the province of Pichincha • Fewer people have access to secondary and higher education in Pacto than in the province of Pichincha • Migration • Lack of transport for students • Contamination of water sources • Lack of promotion, training, languages etc. • Chronic malnutrition for children under 5 years • General malnutrition for children under 5 years • Lack of knowledge on land preparation • Water supply is sometimes not constant • Lack of tap water • A refuse collection service does not exist for some communities
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> • Recover identity • Work with community tourism • Study opportunities provided by grants and scholarships • Foundations that provide capacity building support 	<ul style="list-style-type: none"> • Deforestation • Loss of identity • Introduction of non-indigenous plant species • Destabilisation of products in the regional markets • Lack of medical teams • Contamination • Threat of landslides • Lack of natural medicine

Figure 6.4 - Participatory Brainstorming of Project Ideas for the Parish of Pacto

Production	Education	Health	Tourism	Basic Services	Cultural and Recreational	Roads and Transport
Industrialisation of <i>panela</i> production	Create more technical courses	Knowledge of medicinal plants	Programmes and Workshops about the importance of 'Mother nature'	Hold workdays to renovate the public toilets that exist in the communities	Football and volleyball practice sessions for young people	Lasting improvements to the parish roads
Create small Business enterprises	More teacher training and installation of technical equipment	Nutrition training (prevention of diseases)	Improve tourism services	Recycling of waste and rubbish		
Create crops of sugar cane for combustible fuel	Educational Infrastructure	Creation of medical teams	Promote the local tourist attractions	Management and local awareness programme for water services		
Promote diversification of production of sugar cane, for example: <i>panela</i> , <i>panela</i> in powder form, alcohol, honey, liquors, candies	Obtain funding for more local teachers	Nutrition training for parents to prevent family malnutrition	Construct tourist facilities	Parish council assumes responsibilities for the collection of waste from the cantonal government		
	Management of programmes to bring teachers from outside the parish	First Aid training	Reforestation programme for improvement in tourism possibilities			
		Management of health services - In particular find funding for a paediatrician				

Second Workshop = Projects in normal font

Third Workshop = Projects in bold

As such, the evidence provided by this case study to some extent verifies the argument made by Ortiz,³⁹² that capacities in Ecuadorean local organisations have a limited methodological and technical capacity to perform activities. Both Larrea and Larrea (1999: 142-143) and Unda (1999: 188/192) identify the same limited capacity in local organisations to take control of project activities rather than merely participating in projects designed, managed and led by NGOs. Larrea and Larrea argue that ad-hoc organisations are created to achieve participation during development projects, but these disappear upon project completion leaving local people without the abilities to plan and manage future development initiatives. Unda further argues that local organisations should be empowered to take control of the development project in a context where they are viewed as '*schools of management not just offices of co-administration*'. The OCDINAPAC evidence largely substantiates the combined arguments of the above authors, as despite the organisation's participation in various NGO-led initiatives, OCDINAPAC is not fully prepared to independently pursue its own development projects.³⁹³

Additionally, despite the increase in development activities evident from the historical timeline, the OCDINAPAC members were completely unaware of the existence of a parish development plan for the ten year period between 2002 and 2012.³⁹⁴ Although this document appears to be of a generic nature, possibly due to a concerted drive to complete development plans,³⁹⁵ the parish council was at least partly responsible for the plan's completion. There is therefore evidence of a lack of communication between OCDINAPAC and the parish council.

This evidence provides a perfect demonstration of Ortiz's (1999: 79) argument that the Ecuadorean parish council does not have a clear role in development apart from the '*processing of public works*', and has thus been perceived as holding a position of low

³⁹² Ortiz Crespo (1999: 80, author's translation) concludes that a vital element for future local development is:

To enable actors to process their interests, make proposals and use tools for local development.

³⁹³ This was also identified by the members of OCDINAPAC themselves in the meeting which took place on Saturday 3rd January, 2009.

³⁹⁴ Members of OCDINAPAC stated a desire to create a parish development plan at a meeting on 10th January 2009, and insisted that no such plan had previously been developed for the parish.

³⁹⁵ The discussion in Chapter Three, page 91 highlights how participatory plans have been produced in order to access decentralised finances from the national government.

importance in Ecuadorean development.³⁹⁶ However, the creation of the *Plan Nacional para el Buen Vivir* (PNBV, National Plan for ‘Good Living’) means that parish governments are now responsible for the local management of the six systems established by the *Secretaria Nacional de Planificación y Desarrollo* (SENPLADES, National Secretary of Planning and Development, 2011: 20-1).³⁹⁷ According to Manuel Pennifiel of the ruling Alianza Pais party,³⁹⁸ the PNBV was partly designed to counteract the problems faced by parishes such as Pacto, a small rural component of canton Quito, by allowing those parishes to count on a budget of funds distributed to them for the purposes of development.³⁹⁹ Thus, the PNBV will enable parish councils to take a more autonomous and important position in local development as they will be able to rely on their own yearly budgets specifically for the purposes of promoting development. On the basis of these changes it can be argued that the parish of Pacto will have a more favourable situation in the future, with OCDINAPAC’s experience placing the organisation in a position to assume a prominent role in parish development.

The results of a participatory selection and rating of critical issues, priorities and possible solutions, displayed in Table 6.3, shows that workshop participants identified the fact that ‘Refuse collection facilities do not exist in all neighbourhoods’ as the fifth highest development priority for the parish. The solution, according to workshop participants, is that ‘the parish council assumes refuse collection responsibilities from canton Quito’. This choice of solution demonstrates that the workshop participants favour measures making local parish councils more autonomous. Moreover, as described above, during interview OCDINAPAC’s members expressed frustration with the lack of development activity in the parish instigated by the cantonal and provincial level governments.⁴⁰⁰

During the course of this study, OCDINAPAC was unsuccessful in its attempts to secure funding for tourism and economic projects. Although the intention of

³⁹⁶ Chapter Three (page 101) discussed how the cantonal level of government, based around municipal councils, is the most important level of regional government in Ecuador.

³⁹⁷ See Chapter Five’s discussion of the PNBV.

³⁹⁸ Interview with Manuel Pennifiel, interview 45, Alianza Pais party, 16th September 2010, Quito.

³⁹⁹ According to Mr. Pennifiel this will also assist in providing clearer transparency in the distribution of funds, as previously parish councils had to apply for development funding to either the provincial prefect or the central government, the prefect using his/her own criteria to decide whether or not to allocate monies to parish councils for development.

⁴⁰⁰ OCDINAPAC representatives, Saturday 3rd January, 2009.

OCDINAPAC's strategy was to generate funds for development activities,⁴⁰¹ this was first reliant on an injection of funding from either a government entity or a national or international NGO. When the principal researcher made contact with an OCDINAPAC representative in May 2010,⁴⁰² it was confirmed that the organisation was still searching for funding from external sources.

In the absence of such funding, development in the parish had continued to rely on the efforts of short-term projects managed by external NGOs. Although these projects include the participation of OCDINAPAC representatives, this section has argued that they do not seek to create self-sufficient development managed by members of OCDINAPAC or other local groups.

The participatory workshop activities provided evidence that many development prospects exist in the parish of Pacto, a factor which contributes to the desire of OCDINAPAC members to search for opportunities to move from participants in NGO-led development to the self-management of autonomous production and tourism projects. While OCDINAPAC does appear to possess some organisational capacity,⁴⁰³ this case study has highlighted factors which could present obstacles to such a shift in organisational activities and responsibilities. The case study of OCDINAPAC reaffirms that NGOs are vital channels of funding and help for Ecuadorean local level organisations that find it difficult to operate as self-sufficient entities without those channels of support (Becerra et al, 2001: 136).

⁴⁰¹ OCDINAPAC representative, Saturday 7th February, 2009.

⁴⁰² Progress report provided by OCDINAPAC representative, via email, May, 2010.

⁴⁰³ Aside from observations made by the lead researcher during the research study period, representatives of national foundations made the following testimonies concerning the organisational capacity of OCDINAPAC:

Raul Paredes, President, Foundation Nahuel (7th February, 2009, author's translation):

OCDINAPAC is an organised and motivated group. They have been key participants in the Foundation Nahuel health and education project, I have seen them learn and apply tools for project planning and evaluation.

Jose Garcia, Director, Foundation SAFIQUI (19th February, 2009, author's translation):

I have known the people [of OCDINAPAC] for a number of years. They run OCDINAPAC professionally and are capable and innovative. Most important is their enthusiasm and willingness to participate and learn.

Table 6.3 - Participatory Selection of Critical Issues, Solutions and Priorities for the Parish of Pacto

Critical Issues	Solutions	Priorities
Health – Lack of a paediatrician	Health Management	6
Migration	Create jobs	9
Lack of water – Purification	Management and training	10
Lack of knowledge about natural medicine	Training in natural medicine	11
Refuse collection facilities do not exist in all neighbourhoods	The parish council assumes refuse collection responsibilities from canton Quito	5
Threats of landslides	Planning of permanent roads	7
Lack of knowledge about land preparation	Training and proposals	3
Deforestation	Motivation for planting trees	8
Lack of school teachers	Management of teaching resources	2
Quality of education	Training and new methodology application	1
Lack of job opportunities	Promote productive projects	4

6.2 The Indigenous Women's Organisation OMICSE

OMICSE (*Organización de Mujeres Indígenas y Campesinas "Sembrando Esperanza"*, Organisation of Indigenous and Country Women "Sowing Hope"), is an indigenous organisation affiliated to the national indigenous movement.

The indigenous movement in Ecuador has an organised and hierarchical structure,⁴⁰⁴ with various levels of organisation led at national level by CONAIE (Confederation of Indigenous Nationalities of Ecuador). According to Muñoz (1999: 39), one of the major successes of CONAIE and the indigenous movement has been the constitutional recognition of *plurinacionalidad* (plural nationality).⁴⁰⁵

Beneath CONAIE there are three organisations charged with the management of the highland, coastal and Amazonian regions of Ecuador. ECUARUNARI (Confederation Kichwa of Ecuador), which is the highland Kichwa organisation, precedes an organisation for each highland province of Ecuador in the hierarchical structure, with sub-provincial and community organisations completing the indigenous movement structure. OMICSE's position in the hierarchical structure is that of a branch organisation of UNOCANC (Union of Rural Organisations in the North of Cotopaxi). OMICSE's location cannot be specified in terms of Ecuador's political divisions, as its 57 member communities are from different cantons and parishes in the province of Cotopaxi.⁴⁰⁶

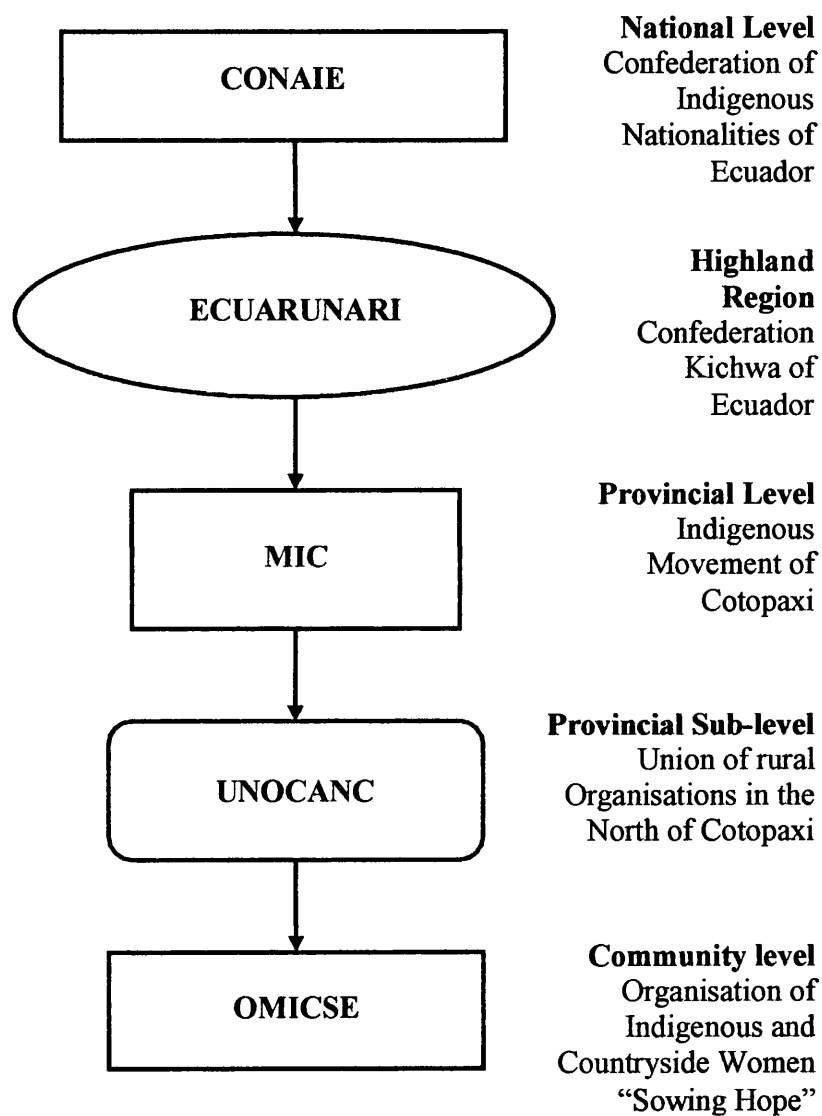
Being an affiliate of the national indigenous movement, and operating at local level, OMICSE's objectives are associated with both local development and the attainment of rights. Furthermore, as a women's organisation, OMICSE is also concerned with the pursuit of women's rights.

⁴⁰⁴ The indigenous movement structure is depicted in Figure 6.5 on page 267.

⁴⁰⁵ Plural nationality is the concept that an indigenous person is both a citizen of the Republic of Ecuador and a member of an indigenous nation such as Kichwa or Huarani, and the recognition of the rights of those nations (Muñoz, 1999: 56).

⁴⁰⁶ For the location of Cotopaxi province see the map provided in Appendix 3.

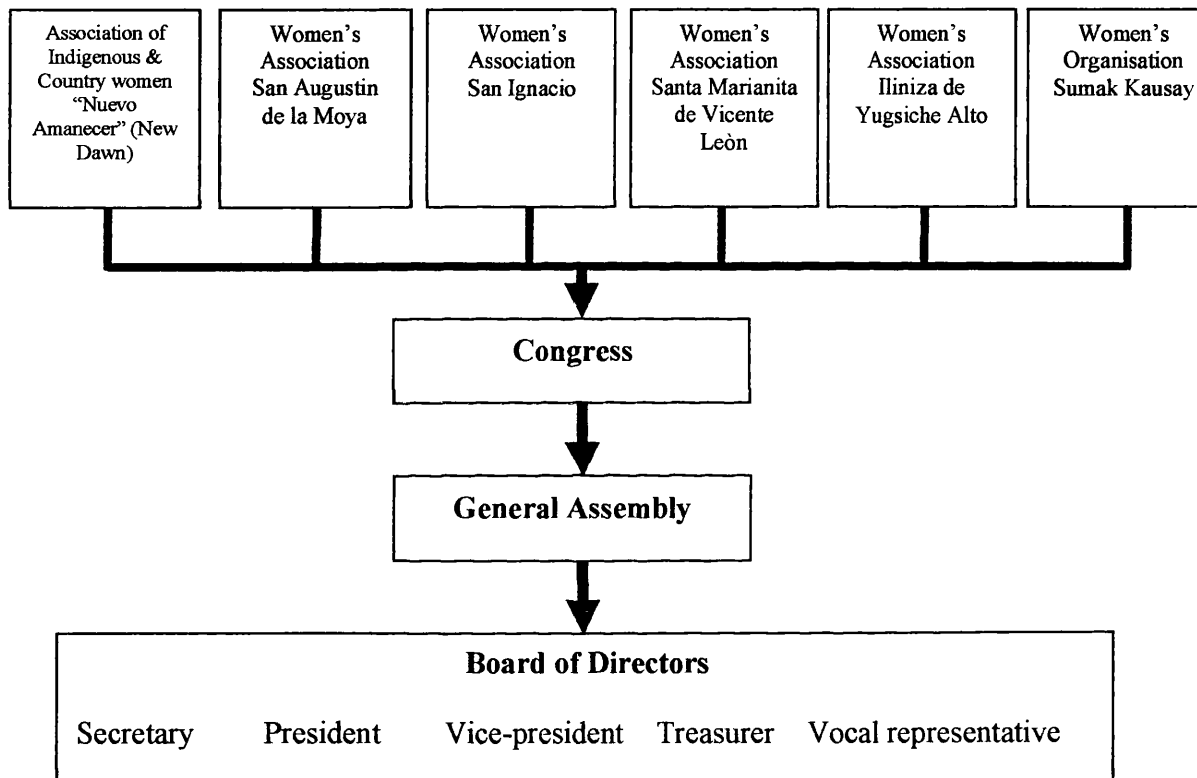
Figure 6.5 – The Ecuadorean Indigenous Movement: OMIKSE’s Position in the Indigenous Structure



Sources: CONAIE (Available online at www.conaie.org)
ECUARUNARI (Available online at <http://ecuarunari.org/portal>)

Having worked with these objectives since its formation in 1984, OMICSE has established a significant amount of social capital and organisational maturity.⁴⁰⁷ Figure 6.6 displays the organisation structure of OMICSE, and shows that a number of *Organizaciones de Primer Grado* (OPGs, First Grade Organisations) operate at community level under the jurisdiction of OMICSE.

Figure 6.6 – OMICSE Organisation Structure



Source: Author's elaboration from OMICSE (2010)

Therefore, whereas OCDINAPAC's more informal organisation structure does not contain any sub-organisations, OMICSE constitutes a formal OSG representing the interests of various OPGs.⁴⁰⁸ As such, OMICSE's organisation structure provides further evidence of

⁴⁰⁷ Interview with Pierpaolo Biagi, Terre des Hommes representative, 18th May 2010, Quito, Ecuador.

⁴⁰⁸ At the time of investigation OMICSE did not hold details pertaining to either its own total membership or the membership of its component OPG organisations.

the formal hierarchical structure existing within the Ecuadorean indigenous movement, and shows the importance of OMICSE as an OSG representing the interest of women belonging to various OPGs in 57 indigenous communities.

One of the earlier activities of OMICSE was to organise a labour rotation system, in which members took turns to work on each other's land (OMICSE, n.d.: 1). From this beginning, OMICSE's activities now include work in the areas of health, education, cultural celebrations, production and social development.⁴⁰⁹ Thus, aside from OMICSE's affiliation to the indigenous movement, the two OSGs analysed in this chapter have similar remits in terms of local development. Both OCDINAPAC and OMICSE work with NGOs in an array of development projects incorporating areas such as health, education and social development.

In addition to its role within the indigenous movement hierarchy, OMICSE actively works with a number of national and international NGOs such as *Terre des Hommes Italia* (TdH) and Intermón Oxfam.⁴¹⁰ OMICSE's relationship with Intermón Oxfam dates back to 1999, with collaborations in the area of productivity, such as guinea pig farming and land renewal and fertilisation (OMICSE, n.d.: 4). The relationship between TdH and OMICSE stretches back fifteen years, at the time of the study the actual TdH project being implemented was in the area of agricultural production.⁴¹¹ OMICSE's organisational relationships are depicted in Figure 6.7.

During the course of the first group interview,⁴¹² the representatives of OMICSE discussed how they participate in the planning, implementation and evaluation of NGO sponsored development projects. These projects run in concurrence with the organisation's

⁴⁰⁹ Group interview with OMICSE representatives, 14th May, 2010.

⁴¹⁰ Group interview with OMICSE representatives, 14th May, 2010.

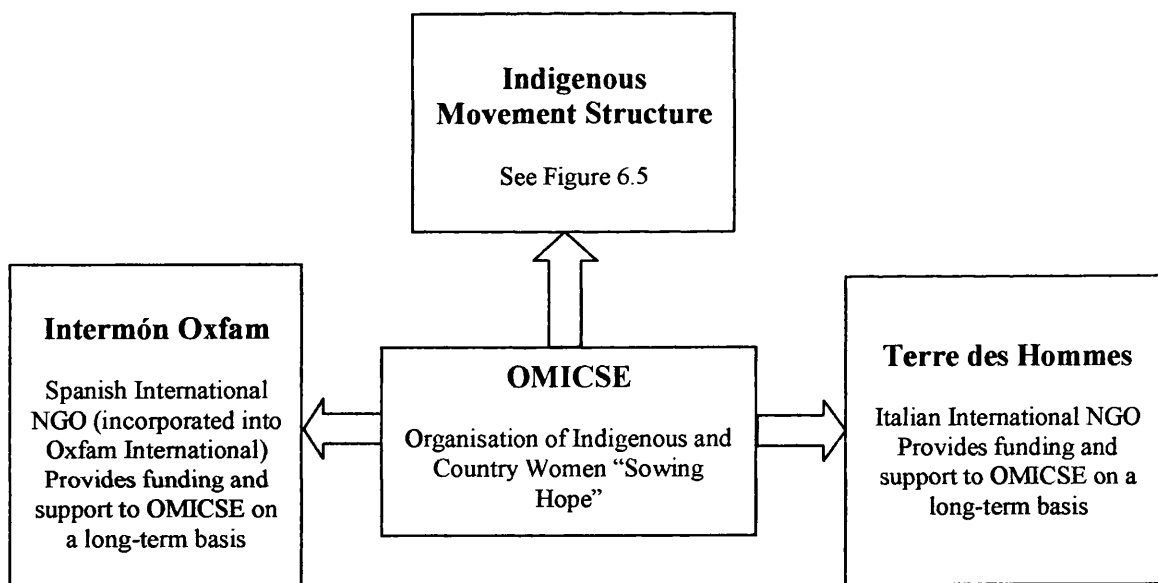
⁴¹¹ Terre des Hommes representative, interview 18th May 2010.

⁴¹² The first group interview took place in the *Centro de Intercambio de Sabidurias* (Centre of Knowledge Intechange), Planchaloma, Cotopaxi, on May 14th, 2010. Four members of OMICSE attended the interview. A list of interview questions is displayed in Appendix 30; the interview was unstructured having a goal of ascertaining the extent of OMICSE participation in the development projects in which they participate. As such, the questions were selected as the interview developed.

process/operational work, such as cultural celebrations and participation in the activities of the national and regional indigenous movements (OMICSE, n.d.: 4).

OMICSE is required to adjust its working practices according to the needs of each funding NGO, as these organisations impose different financial and activity reporting systems during the project execution phase.⁴¹³ For example, for Intermón Oxfam projects OMICSE must complete both a financial report and a narrative account of project activity progress at regular intervals. In contrast, TdH requires the completion of an activity schedule based on LFA activities. This not only demonstrates that OMICSE has experience of participation during the project execution phase, but also shows that the organisation’s representatives have adapted to the different execution tools used by different funding NGOs.

Figure 6.7 – OMICSE Organisational Relationships



OMICSE’s project experience extends to the use of LFA and participatory evaluations, albeit with the support and facilitation of implementing NGOs and the higher level

⁴¹³ Group interview with OMICSE representatives, 14th May, 2010.

organisations of the indigenous movement. While OMICSE has developed an administrative capacity to perform activities in all stages of the project life cycle, none of the projects with which the organisation is involved currently seek to give OMICSE a self-management role. For example, Intermón Oxfam releases funds to OMICSE for the procurement needs of project activities, but imposes a stringent reporting framework to monitor this financial input. One of the group interviewees describes Intermón's control of project related activities as '*very demanding, too demanding*'.⁴¹⁴ This shows a high level of control is retained by Intermón Oxfam, even though OMICSE have been trusted with the performance of execution activities.

Despite the fact that OMICSE expressed a preference for projects that create long-term increases in income,⁴¹⁵ the production projects funded by international NGOs have not significantly increased the earnings generated by OMICSE communities. The Intermón Oxfam funded guinea pig farming project has led to an increase in production, but guinea pigs are consumed by the farmers' families rather than sold for profit. Similarly, projects to improve the quality of flour and the production of vegetables such as broad beans and peas have yielded health and nutritional benefits, rather than increasing income. As with the parish of Pacto, production is therefore seen as being integral to development,⁴¹⁶ although production projects have thus far focused on agricultural production rather than diversification or tourism.

In contrast to the Pacto case study, those connected with development in Planchaloma (the site of OMICSE headquarters) express negative opinions in relation to the area's

⁴¹⁴ Group interview with OMICSE representatives, 14th May, 2010.

⁴¹⁵ OMICSE interview (14th May, 2010, author's translation):

We know perfectly that projects end, that the institutions are not always going to be there to help us, the projects have to be sustainable, we look for projects that will be productive and what will help the families.

⁴¹⁶ OMICSE interviewee (14th May, 2010, author's translation):

We do not have any projects that aren't production projects, because to be sustainable they need to provide ongoing benefits to the families.

development prospects. A representative of TdH expressed the following sentiment during the course of a private discussion:⁴¹⁷

In terms of development for Planchaloma, I can't see a way forward. There is little hope for the future for Planchaloma.

In clarifying this comment, the TdH representative explained that while many of the previous and ongoing initiatives have successfully addressed issues in health and education, there seemed to be a lack of possibilities for future economic prosperity in the area. This analysis is consistent with the data provided by the members of OMICSE in relation to their production projects, which showed that health benefits and increased production have not been accompanied by the significant increases in productivity required to improve economic conditions for residents of the area.⁴¹⁸

In fact, the OMICSE interviewees themselves also expressed negativity concerning their situation, by stressing that despite all the previous development work and activities, their economic situation is still poor.⁴¹⁹ Thus, despite the establishment of long-term relationships with international NGOs, which provide a stream of funds for projects and activities, and significant organisational capacity gained from participation throughout the project cycle, the development situation in the Planchaloma area is still viewed negatively.

6.2.1 Participation in OMICSE and the Indigenous Movement

The leadership and members of OMICSE engage in numerous forms of participation, reflecting OMICSE's dual role as part of a political movement and a local development organisation.⁴²⁰ OMICSE takes part in the political protests and actions organised by the

⁴¹⁷ Discussion with TdH representative, 14th May, 2010, original quotation.

⁴¹⁸ Group interview with OMICSE representatives, 14th May, 2010.

⁴¹⁹ OMICSE interview (14th May, 2010, author's translation):

Despite all our work, and all the projects we have had, it is still impossible to know where the next dollar is coming from, impossible to be able to save and plan for the future.

⁴²⁰ Lines of participatory action were discussed in a second group meeting with OMICSE representatives on 9th March 2012. The same four women were present at both group interviews. The second interview took

leadership of the indigenous movement, which can take the form of marches, rallies or strikes and disruptive action. At community level, indigenous people participate in community work days commonly called 'Mingas'.⁴²¹ Organised by community leaders, mingas constitute a form of group action in which everyone works together to address an issue such as poor sewerage, reforestation or refuse collection.

The nature of organisation and participation in the indigenous movement reflects the type of democratic participation with systems of representation described in Chapter Five.⁴²² As has already been discussed, the indigenous movement is hierarchical in nature. OMICSE committee members participate in the assemblies and activities organised by organisations further up the hierarchy as representatives of their organisation.⁴²³ In terms of its own activities and decision-making processes, OMICSE follows the indigenous movement formula of congresses combined with monthly assemblies. Congresses occur on a biannual basis, equating to twice during the tenure of the directorship, which is evaluated after two years and then either changed or re-elected two years later.⁴²⁴

OMICSE's assemblies are performed on the first Thursday of every month or on an extraordinary basis, the organisation's statutes decreeing that each of the OPGs operating under the jurisdiction of OMICSE should provide five or six delegates to participate in each assembly.⁴²⁵ During assemblies, areas of action are proposed and approved or rejected, projects are approved and financial activity is monitored. The execution of projects is also discussed and monitored during assemblies.

place at the *Centro de Intercambio de Sabidurias* in Planchaloma. A list of the interview questions asked during the second interview is provided in Appendix 31. Further discussion of indigenous participation was conducted in the second interview with the TdH representative, which took place in Quito on May 7th 2012.

⁴²¹ Mingas are described by the TdH representative (May 7th 2012, original quotation):

We [figuratively speaking] meet and agree that next Sunday we will together do reforestation, someone prepares the food, others are digging and others are planting and all the community is participating.

⁴²² See Chapter Five, page 238.

⁴²³ Group interview with OMICSE representatives, 9th March, 2012.

⁴²⁴ Group interview with OMICSE representatives, 9th March, 2012.

⁴²⁵ Group interview with OMICSE representatives, 9th March, 2012.

The TdH representative has worked with OMICSE for over six years and has a generally positive attitude towards the participatory processes of OMICSE and the indigenous movement as a whole. His experience of OMICSE's assemblies is as follows:⁴²⁶

The assembly is a real opportunity to express your opinion, if you look at the assembly as an open space, as an opportunity, it is important to consider whether participants are really taking advantage of the opportunity and whether they can express themselves freely and truly without external pressure. You may face social pressure or the pressure of small groups, interest groups within the communities. I have some doubts regarding the quality of participation. How an assembly works would probably depend strongly on how it is carried out and managed. Who is leading it? Who is giving the right to say something at which moment?

The TdH representative raises a number of salient points with respect to the nature of democratic participation in OMICSE and the indigenous movement, and how such participation is orchestrated by the leadership of indigenous organisations. The TdH representative concedes that despite a change of president two years prior to the interview, OMICSE's leadership committee had generally remained unchanged in the last six years.⁴²⁷ According to the TdH representative this is due to the fact that the number of people who possess the necessary skills and abilities to perform management roles is small. As such, those who don't know how to use a computer, direct meetings or have sufficient experience as participants in the activities of the wider indigenous movement are effectively prevented for standing as candidates. Indeed, OMICSE's statutes (2010: 6) stipulate that 'human formation' and 'capacity' are pre-conditions for anyone wishing to be elected to OMICSE's board of directors.

While the OMICSE representatives emphasised the homogenous nature of the indigenous movement,⁴²⁸ the interview evidence demonstrates that significant conflict does exist

⁴²⁶ Interview with TdH representative, May 7th 2012 (original quotation).

⁴²⁷ Interview with TdH representative, May 7th 2012 (original quotation):

I would say most people tend to be re-elected. My personal perception is that there is a small circle of people who hold the important positions within the organisation.

⁴²⁸ This collectiveness is described by Sarzosa (2011: 88, author's translation):

within the movement. In response to a question concerning the effects of the Correa presidency on the indigenous movement,⁴²⁹ the interviewees discussed the recent initiative called *Socio Bosque* (Forest Partner).⁴³⁰ This initiative has created fractures in the indigenous movement between the people who would have accepted the government's money in return for protecting natural environments and the leadership, who have told indigenous people not to accept such payments.⁴³¹

As well as demonstrating the existence of conflict in the indigenous movement, this case also highlights that indigenous people often participate in activities and actions because they are told to do so by their leadership.⁴³² In the indigenous community of Chivuleo, fines for community members who don't participate ensure a big attendance for participatory development meetings. Despite the large attendances, community leaders dominate discussions, and the majority of people participate in a passive manner, by listening and voting on actions.⁴³³ Moreover, the requirement for conformity with the movement's hierarchical structure is evident in OMICSE's statutes (2010: 5), which specify a number of

For some sections of the indigenous movement, participation should be understood in the framework of Community Democracy in the Pluri-national State, which requires a reordering of the state for a complete participation of indigenous peoples and nationalities, and also the other organised sectors. Democracy, according to the proposal of the indigenous movement, should be anti-colonial, anti-capitalist, anti-imperialist and anti-segregationist.

⁴²⁹ A full list of questions from the second group interview, which took place on the 9th March 2012, can be seen in Appendix 31.

⁴³⁰ In the *Socio Bosque* initiative rural people are paid money by the government for 'environmental management' of natural habitats. *Socio Bosque* began in 2008 with the aim of protecting four million hectares of forest and *paramo* (highland) habitats. As of November 2011 Socio Bosque had 23,505 participating families (*El Ciudadano*, 29th November 2011, available online). However, as described by the TdH representative (7th May 2012, original quotation), the indigenous movement has opposed this policy and rejects payment for environmental management:

They [the indigenous movement] say Mother Nature is not marketable, not for sale, they are going to conserve the forests and other [environmental] systems without any need for payment because they live [in harmony] with mother earth.....which is quite radical.

⁴³¹ Group interview with OMICSE representatives, 9th March, 2012.

⁴³² The TdH representative (7th May 2012, original quotation):

I [figuratively speaking] participate because I'm indigenous, I'm sustaining a cause, proposal or position because I was told to by my leaders, I don't know exactly what they are talking about, but I'm indigenous and they are indigenous.

⁴³³ As described by an indigenous member of the Chivuleo community (SNV, interview 23, Carlos, 9th September 2008, Quito).

obligations of integrant associations, including ‘support the actions the organisation [OMICSE] develops’.

Thus, while OMICSE is considered by the TdH representative to be achieving results in terms of fostering participation,⁴³⁴ the case study provides evidence of the potential that exists for participatory democracy to be manipulated. This work does not seek to critique the indigenous movement in particular, but rather to argue that the potential for existing power holders to monopolise participatory democracy processes must be considered when analysing the prevalence of democratic participation in Ecuador. This chapter will now move on to provide a comparative analysis of the OCDINAPAC and OMICSE case studies.

⁴³⁴ The TdH representative (7th May 2012, original quotation):

So in Cotopaxi [the province in which OMICSE operates], even though it’s basic participation and people [Kichwa speakers] have problems with Spanish, they try to participate, and that is definitely progress, achieved through a process which took several years. There is much to do.

6.3 Comparative Analysis of OCDINAPAC and OMICSE and Conclusions

OCDINAPAC and OMICSE represent two second grade organisations working in Ecuadorean development. Each case study highlights pertinent issues in relation to the participatory execution of development projects.

Having participated in numerous NGO-led initiatives, OCDINAPAC has identified projects in the areas of tourism and production diversification as potentially contributing to sustainable development in the parish. Accordingly, members of OCDINAPAC envisage that locally managed, income generating projects will lead to self-sustainability and a decreased reliance on the activities of national NGOs.

This desire for autonomy is unsurprising given the results of both the historical timeline (Appendix 27) and the diagram of institutional relationships (Appendix 28). The historical timeline shows that, in the perceptions of workshop participants, few events at national or provincial level have had an impact on development in the parish.⁴³⁵ Additionally, the institutional relationships diagram shows that participants consider both the cantonal Mayor's office and the provincial government to be distant from the parish in terms of importance and proximity.⁴³⁶ These results demonstrate that participants perceive that cantonal, provincial and national level governments have little effect on parish development. It can therefore be argued the participants' desire for autonomy and self-sustainability is a natural response to a situation in which they feel isolated from central and regional government.

However, the case study evidences the difficulties encountered by OCDINAPAC in achieving these goals, relating to Ecuadorean development literature in a number of ways.

⁴³⁵ The four provincial/national level events to be listed as affecting parish development in the 10 year period were: improvement of roads, sewerage systems in some communities, laying of grass in the sports stadium and a coffee project.

⁴³⁶ Of the local government levels, only the parish council was seen as having a significant importance to parish development.

Firstly, the commitment of a few individuals was seen as essential to OCDINAPAC's endeavours in the context of low levels of participation from parish inhabitants. As depicted in Table 6.4, the results of the 2008 National Survey of Citizen Participation, show similarly low levels of participation in voluntary organisations.⁴³⁷

Table 6.4 - Participation in Voluntary Organisations by Area, Sex and Ethnicity

	Area		Sex		Ethnicity			
	Urban	Rural	Male	Female	Indigenous	White	Mestizo	Afro-Ecuadorean
Affiliated/member and actively participates	1.7%	2.2%	2.0%	1.7%	2.3%	1.5%	1.8%	2.0%
Affiliated/member and doesn't actively participate	1.2%	1.3%	1.2%	1.3%	1.0%	0.4%	1.4%	0.4%
Not affiliated/member and actively participates	1.0%	0.9%	0.9%	1.1%	2.2%	0.6%	1.0%	0.4%
Previously participated but not now	1.8%	1.2%	1.7%	1.6%	0.7%	2.3%	1.7%	0.7%
Never participated	94.2%	94.3%	94.2%	94.3%	93.8%	95.2%	94.1%	96.4%
Total	100%	100%	100%	100%	100%	100%	100%	100%

Source: Paltán & Reyes (2011), author's translation

Table 6.4's statistics show that participation in voluntary organisations is extremely low for all the categories of 'Area', 'Sex' and 'Ethnicity'. As such, the problem of low participation levels is pertinent throughout Ecuador, and is not confined to the parish of Pacto.

Secondly, OCDINAPAC identified training, specifically in the area of planning, execution and evaluation of projects, as a key need. Correspondingly, a survey of Andean NGOs performed by Chali and Ruiz (2010: 100) found that respondent organisations cited 'Training and formation' as their principal activity and most important achievement.⁴³⁸

⁴³⁷ In the context of the National Survey of Citizen Participation, 'Voluntary' organisations are categorised as organisations for human development and organised action (Paltán & Reyes, 2011: 67).

⁴³⁸ Performed in 2008, this survey incorporated interviews with 29 NGOs from Bolivia, Chile, Colombia, Ecuador and Peru. Four of the interviewed NGOs were from Ecuador. Interview topics included organisational issues such as structure, cultural factors and perspectives on rural development, achievements in areas such as rights and local development, and tools used by NGOs for activities in areas such as economic development and the promotion of rights (Chali and Ruiz, 2010).

However, this chapter's case studies lead the present writer to question the nature and validity of such training. Despite participation in NGO-led projects over a number of years, OCDINAPAC still lacks the necessary skills to lead rather than participate in projects. The OMICSE case study showed that this indigenous organisation is required to adapt to the individual practices of the NGOs with which it works. Similarly, the training OCDINAPAC has received from various national development organisations has only enabled the organisation to participate in the project processes of those organisations.⁴³⁹

Furthermore, Becerra et al's (2001: 136) study of NGOs in the Guayas province of Ecuador⁴⁴⁰ evidences that while 25% of NGO directors related that communities 'were directly involved in the work that NGOs perform', only 16% experienced 'community organisation to solve problems', and only 5% believed that 'community members can express their opinion in relation to planning and feedback on activities'. In addition, the same study found that community participation was most frequent in the planning of projects (58% of NGO directors responded that this was the case with their projects), and far lower in the phase of project execution (13%). The findings of this survey led the researchers to conclude that:

The work methodologies should achieve a greater and more permanent participation of community members, who should assume responsibilities not just as beneficiaries but also as active participants who are co-responsible in planning, development and results.

Becerra et al (2001: 177, author's translation)

⁴³⁹ OCDINAPAC representative June 4th, 2010 (author's translation):

We always contribute to diagnostics, planning, and evaluations. We have lots of experience but don't really know how to elaborate projects on our own...they [NGOs] work in different ways so we have to learn about how they do things before we can start the project.

⁴⁴⁰ From a sample of 85 NGOs in Guayas province, 51 NGOs were finally interviewed by Becerra et al (2001). The questions asked by this survey related to the NGOs themselves, for example organisational processes and objectives, relationships with other development organisations and the state, project management activities, sources of finance, principal achievements of development work and the participation of target populations. See map in Appendix 3 for the location of Guayas province.

The Guayas survey results showing limited participation in NGO-led development projects are consistent with the findings of the interview research performed as part of this thesis,⁴⁴¹ as both provide evidence that beneficiary participation is primarily in diagnostics and consultative decision-making. As such, it is here argued that participation in Ecuadorean NGO-led projects has often not provided local organisations with the experience or training necessary to work autonomously in the future.

A further barrier to the autonomous self-management of development projects by organisations such as OCDINAPAC is funding; to date this organisation has been unsuccessful in securing funding for their tourism and economic projects. However, as recognised by the representative from *Ideas en Concreto* (Concrete Ideas),⁴⁴² all social organisations were encouraged to participate in the production of the PNBV's regional development plans. Having demonstrated significant organisational capacity during the research period, the present writer would argue that OCDINAPAC is in a position to make a considerable contribution to both the creation of the Pacto parish development plan and the ensuing planning, execution and evaluation of development activities. Furthermore, OCDINAPAC would be able to access the increased decentralised funding to parish councils promised by the PNBV.⁴⁴³

Through its affiliation with the indigenous movement and long-term relationships with international NGOs, OMIKSE has acquired experience of participation in project management activities. However, OMIKSE's experience in project execution is in the form of an organisation that is permitted to control financial resources and project activities by funding NGOs, but under the proviso that it conforms to the varying reporting requirements and implementation procedures of those NGOs.

Comparisons can be made between the local government political structure used by the Participatory Budget of Chimborazo (PPCH),⁴⁴⁴ and the indigenous movement structure of

⁴⁴¹ See Chapter Three, page 137 and Chapter Four, page 188.

⁴⁴² Jose Garcia, Managing director, *Ideas en Concreto*, 6th of February 2012, Quito.

⁴⁴³ Interview with Manuel Pennifiel, Alianza Pais party, 16th September 2010, Quito.

⁴⁴⁴ See Figure 5.2 on page 207.

which OMICSE is a component organisation. Both of these structures are hierarchical, and both use a system of representation during assemblies and congress as a mechanism for citizen participation. As such the indigenous movement provides further evidence of a system in which organisation workers and community leaders act as representatives of local people.

Statistics from the 2008 National Survey of Citizen Participation, displayed in Table 6.5, evidence a far higher level of participation of indigenous people than other ethnicities in neighbourhood and rural committees. The percentage of indigenous survey respondents who are affiliated and active participants is three times that of the Afro-Ecuadorian respondents. Table 6.5 also shows that female participation is lower than male participation in Ecuadorian local committees, a situation which is further highlighted by the low levels of participation in women's organisations, displayed in Table 6.6.

Table 6.5 - Participation in a Neighbourhood/Rural Committee by Area, Sex and Ethnicity

	Area		Sex		Ethnicity			
	Urban	Rural	Male	Female	Indigenous	White	Mestizo	Afro-Ecuadorian
Affiliated/member and actively participates	2.8%	5.6%	4.1%	2.9%	10.2%	2.4%	3.2%	3.4%
Affiliated/member and doesn't actively participate	1.5%	1.8%	1.6%	1.6%	1.9%	1.0%	1.7%	0.8%
Not affiliated/member and actively participates	1.4%	1.6%	1.5%	1.5%	2.9%	1.6%	1.4%	0.7%
Previously participated but not now	3.1%	2.8%	3.9%	2.3%	3.2%	2.7%	3.1%	2.6%
Never participated	91.1%	88.2%	88.9%	91.8%	81.8%	92.2%	90.5%	92.6%
Total	100%	100%	100%	100%	100%	100%	100%	100%

Source: Paltán & Reyes (2011), author's translation

Table 6.6 shows that female participation in women's organisations is even lower than female participation in neighbourhood and rural committees. Furthermore, indigenous

participation in women's organisations is lower than any other ethnicity. When coupled with the TdH representative's experiences of female indigenous participation,⁴⁴⁵ these statistics clearly highlight the importance of the work of indigenous women's organisations such as OMICSE.

Table 6.6 - Participation in Women's Organisations by Area, Sex and Ethnicity

	Area		Sex		Ethnicity			
	Urban	Rural	Male	Female	Indigenous	White	Mestizo	Afro-Ecuadorean
Affiliated/member and actively participates	1.0%	1.7%	0.4%	1.9%	1.1%	1.2%	1.2%	1.6%
Affiliated/member and doesn't actively participate	1.2%	1.3%	1.0%	1.4%	1.2%	0.4%	1.3%	0.6%
Not affiliated/member and actively participates	0.9%	0.9%	0.5%	1.3%	2.2%	0.8%	0.9%	0.5%
Previously participated but not now	1.4%	1.4%	0.6%	2.2%	1.6%	1.6%	1.4%	1.9%
Never participated	95.5%	94.7%	97.5%	93.3%	93.9%	96.1%	95.3%	95.4%
Total	100%	100%	100%	100%	100%	100%	100%	100%

Source: Paltán & Reyes, 2011, author's translation

In contrast to the OCDINPAC case study, the PNBV holds little potential for OMICSE. The indigenous movement decided not to participate in the creation of regional development plans due to the belief that the PNBV is incompatible with the indigenous movement's philosophies and agenda.⁴⁴⁶ Thus, whereas the PNBV constitutes an

⁴⁴⁵ The TdH representative (7th May 2012, original quotation):

Some years ago I participated in an OMICSE meeting where participants had to stand up and say something about themselves. The leaders and more experienced women went first, and then afterwards the other women. They often repeated something that had already been said but one by one each woman stood up and said a little bit. Since then, I've participated in meetings in other communities when the women do not speak at all or before they do they look at their husband for permission.

⁴⁴⁶ The TdH representative (7th May 2012, original quotation):

It [the PNBV] is more of the same, they [the government] pay more attention to marginalised people but the development track is the same as ever... exploiting natural resources, economic growth. They

opportunity for OCDINPAC, it is considered a threat by OMICSE and the indigenous movement. Chapter Five's discussion of the PNBV highlighted how the Ecuadorean constitution (*Asamblea Constituyente*, Constitutional Assembly, 2008, Article 280) legislates that the PNBV is '*obligatory for the public sector and recommended for other sectors*'. However, a number of interviewees have testified that in reality the Correa presidency has increasingly exerted pressure on International NGOs (INGOs) to conform to the PNBV.⁴⁴⁷ Exactly how this situation will develop is unclear at the time of writing, but such a restriction of INGO activity by the state constitutes a further risk to OMICSE and the indigenous movement, which rely on external funding from INGOs.⁴⁴⁸ Thus, the PNBV holds very different potentials for second grade organisations OCDINAPAC and OMICSE.

[the indigenous movement] have a Utopian proposal, they don't want to exploit natural resources. Apparently they [the indigenous movement] are withdrawing from this kind of development, they don't want to exploit oil, gas, gold.

⁴⁴⁷ The representatives from TdH (7th May 2012), *Ideas en Concreto* (6th February 2012), and ACRA (28th October 2011) all discuss this issue. The interviewees from the international NGOs TdH and ACRA claim that their activities have been hampered by the requirement to have their development activities approved by the relevant government ministries. However, the interviewee from *Ideas en Concreto* (author's translation) argues that:

The only thing that these new laws ask is that these NGOs are incorporated, not absorbed, into the work of the state.

⁴⁴⁸ In addition to this chapter's discussion of the funding received by OMICSE from INGOs, see also Chapter Five's (page 209) discussion of the exterior funding attained by local governments controlled by indigenous political party *Pachakutik* in cantons Guamote and Cotacachi.

Chapter 7

Participatory Project Execution by Local Organisations in Ecuadorean Development

The two case studies presented in Chapter Six examined the participation of Ecuadorean *Organizaciones de Segundo Grado* (OSGs, Second Grade Organisations) in the development projects of International NGOs, highlighting the desire of OCDINAPAC to engage in economic and tourism projects with a goal of autonomous self-management. In this chapter two further case studies will analyse Ecuadorean productive/community tourism initiatives aimed at achieving autonomous self-management.

The *Corporacion para el Desarrollo de la Zona Equinoccial* (CODEZEQ, Corporation for Development in the Equatorial Zone) is an OSG operating in a mainly urban area of the province of Pichincha. As the main local actor in a complex multi-actor development setting, CODEZEQ is currently engaged in a programme of community tourism projects.

The *Asociación de Productores y Comercializadores de Leche del Cantón Quero* (APROLEQ, Association of Producers and Marketers of Milk from Canton Quero) is a rural cooperative performing productive development projects in an area hit by eruptions from the Tungurahua volcano in the province of Tungurahua.⁴⁴⁹ In contrast with CODEZEQ, APROLEQ's approach to productive project management incorporates the employment of specialist project staff, the costs of these staff being borne by the project.

These two case studies have been researched in order to examine the potential for autonomous project management by local development organisations in Ecuador, and to analyse the nature of participation in such initiatives. Given this work's previous discussion of the prevalence of local productive projects it is pertinent to consider how such projects are managed at local level and the extent of local people's participation.

⁴⁴⁹ See map in Appendix 3.

Analysis of the CODEZEQ and APOLEQ case studies will show that attitudes and approaches to participation are similar, characterised by the functional participation of people in general assemblies, monthly meetings and training sessions. Thus, in these examples of local productive/tourism projects participation 'as a means' activities are far more prevalent than those with participation 'as an end'. However, the differing approaches to organisational management are embodied by APROLEQ's separation of the productive enterprise from the social organisation.

7.1 The ‘Middle of the World’ Tourism Programme

The ‘Middle of the World’⁴⁵⁰ is the name given to the parishes and communities surrounding Ecuador’s monument on the equatorial line, a zone in Pichincha province to the north of the city of Quito.⁴⁵¹ Like Pacto, the Middle of the World is also situated within the boundaries of Canton Quito. However, the Middle of the World’s proximity to the centre of Quito means that the area has a mainly urban population. Table 7.1 displays the population statistics for the three parishes within which the six ‘Middle of the World’ communities are located,⁴⁵² and shows that the rural population is as low as 9.11% in Pomasqui parish. According to the *Cooperazione Rurale in Africa e America Latina* (ACRA, Rural Cooperation in Africa and Latin America) and CODEZEQ (2010: 7), this large urban population represents one of the development challenges faced by people in the zone. These organisations describe the Middle of the World as a ‘*dormitory*’ for people who reside in the area but commute to Quito for employment. As many such people live in enclosed housing estates, they are isolated from the development realities of the area.⁴⁵³

Table 7.1 – Urban and Rural Populations of Calacali, Pomasqui and San Antonio Parishes

	Total Population	Urban Population	Urban Population %	Rural Population	Rural Population %
Calacali	3,298	2,136	64.77%	1,162	35.23%
Pomasqui	23,867	21,693	90.89%	2,174	9.11%
San Antonio	23,753	18,502	77.99%	5,251	22.11%

Source: ACRA & CODEZEQ (2010)

The diagnostics study performed by ACRA and CODEZEQ (2010: 42) for the purposes of the ‘Middle of the World’ community tourism programme identifies the existence of poor

⁴⁵⁰ Middle of the World is the English translation of *La Mitad del Mundo*.

⁴⁵¹ See map in Appendix 3.

⁴⁵² The six communities involved in the Middle of the World tourism project are: Caspigasi del Carmen, Rumicucho, Santo Domingo, Pululahua, Tanlahua and Los Reales.

⁴⁵³ These housing estates, known as ‘*conjuntos*’ (collectives), are a popular form of housing for the middle classes in Ecuador. *Conjuntos* often have on-site facilities for residents (shops, hairdressers etc), and private security arrangements paid for by residents (ACRA & CODEZEQ, 2010: 7).

living conditions within the communities targeted by the programme.⁴⁵⁴ For example, the most populated section of the community of Caspigasi del Carmen does not have a supply of electricity, and the community of Los Reales has almost no basic services at all.⁴⁵⁵

Despite the lack of basic services identified by the diagnostics report, ACRA and CODEZEQ (2010: 4) focus on the opportunities for community tourism in the area, which is home to the Ecuadorean monument marking the equatorial line, the Pululahua geobotanical reserve, and pre-Inca ruins at Rumicucho. The participatory diagnostics report (ACRA and CODEZEQ, 2010: 37) argues that the municipality of Quito is the main beneficiary from tourism in the zone, as a large percentage of tourists only visit the Equatorial line monument owned by the municipal council.⁴⁵⁶ Thus, the 'Middle of the World' programme aims to use community tourism as a strategy for increasing the earning potential of local people:

The hypothesis is to assume the aspect of tourism as a special characteristic of the area to develop proposals to propel alternative economic activities, to re-qualify [as an area for tourism] the zone, and to strengthen the social and community reality in the area.

(ACRA and CODEZEQ, 2010: 42, author's translation).

These aims reflect the *Plan Nacional para el Buen Vivir*'s (PNBV, National Plan for 'Good Living') strategy to foment community tourism (SENPLADES, 2009: 124).⁴⁵⁷ Additionally, the 'Middle of the World' programme's logframe identifies the overall

⁴⁵⁴ The official figures provided by the *Sistema Integrado de Indicadores Sociales de Ecuador* (SIISE, Integrated System of Social Indicators of Ecuador) and used in previous chapters are in the cases of the Middle of the World communities distorted by the existence of private housing estates in the same parishes. The participatory diagnostics report, referenced here, resulted from a participatory diagnostics workshop that took place on the 12th of December 2009, and included the participation of representatives from the parish councils of San Antonio and Calacali, the municipal government of Quito, the provincial government of Pichincha, the Ministry for the Environment, the Ministry for the Coordination of Natural and Cultural Heritage, as well as international and national NGOs and local grassroots organisations (ACRA & CODEZEQ, 2010: 7).

⁴⁵⁵ Los Reales does have potable water and a primary school, but no irrigation water, sanitation services, electricity, health centre, public or green spaces, sporting facilities, pavements or road connections (ACRA & CODEZEQ, 2010: 31).

⁴⁵⁶ The municipal council profits from both admission charges and rents paid by the various restaurants and businesses located on the monument's premises (ACRA & CODEZEQ, 2010: 6).

⁴⁵⁷ Indeed, ACRA and CODEZEQ reference the PNBV's forerunner, the *Plan Nacional de Desarrollo* 2007-2010 (PND, National Development Plan).

objectives as contributing to Millennium Development Goals 1 and 7.⁴⁵⁸ The specific objective of the programme, as described by the logframe, is to:

[A]ctively engage in Pro Poor Tourism Initiatives that result in increased income generating capability for rural poor, within a framework of environmental and cultural sustainability.

ACRA, n.d., original quotation.

The common theme of ‘Pro Poor Tourism’ united the ‘Middle of the World’ initiative with two other initiatives in Tanzania and Burkina Faso into one development programme, funded by the European Union (EU) and implemented by Italian NGO ACRA.⁴⁵⁹

The further objectives for the Middle of the World programme centre around two key themes. Firstly, the construction of tourist facilities to be locally owned and managed, including a museum, a restaurant and cabins for the overnight accommodation of tourists. Secondly, the programme contains a strong emphasis on the building of local capacities through the creation of a community tourism organisation and the realisation of training activities designed to promote local management of the facilities after the programme’s conclusion. Additionally, the programme logframe specifies that ‘*at least five related initiatives are successfully started up with grants*’ (ACRA, n.d.).

Although the Middle of the World initiative is defined as a project by both official documentation and the development actors involved,⁴⁶⁰ the series of interlinking project activities actually constitutes a programme, as defined in Chapter One.⁴⁶¹ This is due to the fact that activities stipulated by the logframe are in fact projects in themselves rather than project sub-activities. For example, the *Manos Mágicas* (Magic Hands) artisan initiative, to be discussed in the next section, is a project in its own right, with a project plan, objectives, budget, activities and its own steering committee.⁴⁶²

⁴⁵⁸ MDG 1: Eradicate extreme poverty and hunger, Target 2: Achieve full and productive employment and decent work for all, including women and young people. MDG 7: Ensure environmental sustainability (ACRA, n.d.).

⁴⁵⁹ Interview with ACRA representative, June 16th 2010.

⁴⁶⁰ ACRA (n.d., logical framework).

⁴⁶¹ See page 3.

⁴⁶² *Manos Mágicas* (2010).

The two year implementation of the Middle of the World programme began in 2010, in a development context marked by the presence of various international and local actors. The next section will identify the various local actors and discuss their roles in the Middle of the World development context.

7.1.1 Development Actors in the ‘Middle of the World’

The principal local actor in the Middle of the World community tourism programme, CODEZEQ (Corporation for Development in the Equatorial Zone), is an OSG established in 1994 (CODEZEQ, n.d.: 2). With the slogan of ‘*Autonomous community development in the Middle of the World*’, CODEZEQ’s activities are:

Oriented to the construction of an alternative model for development in the zone, given that the actual model, based on extractive mining, represents high social and environmental costs.

CODEZEQ, n.d.: 2, author’s translation.

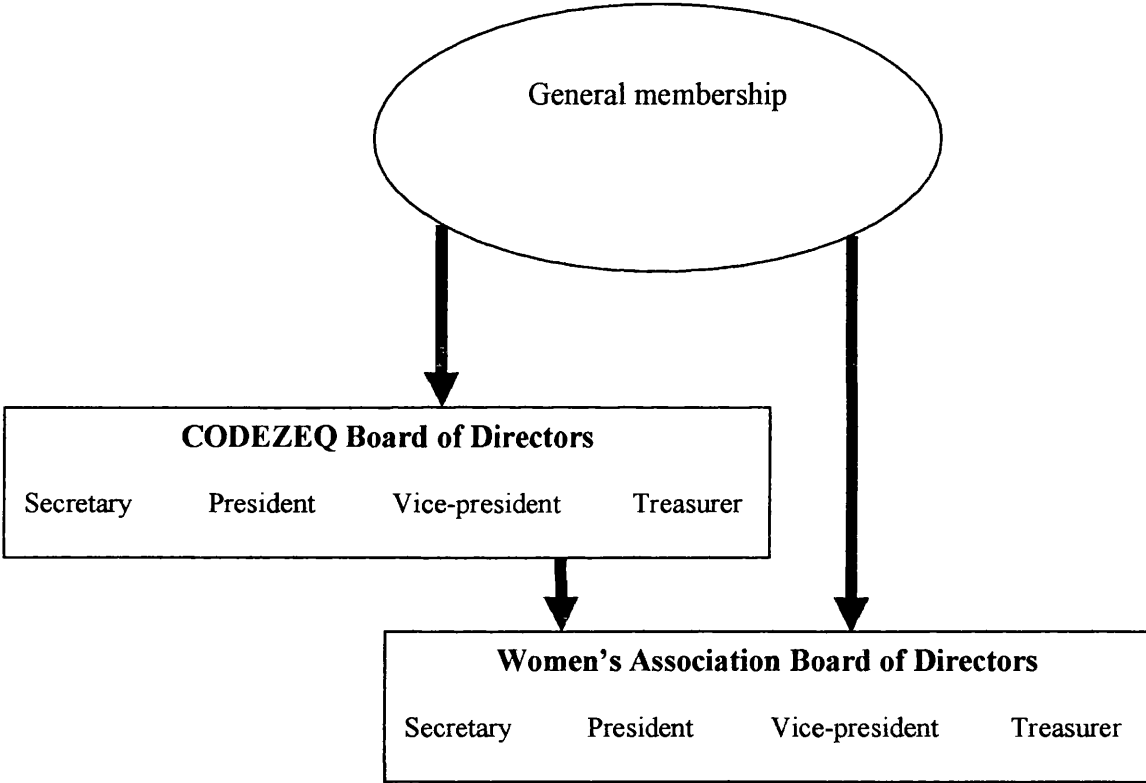
Although the integrants of CODEZEQ testify to long careers in local development as community leaders and members of a foundation called *Ayuda en Acción* (Help in action), CODEZEQ does not officially represent the communities in the Middle of the World and therefore has no democratic mandate.⁴⁶³ However, the organisation does have a democratically elected structure of board members similar to OCDINAPAC and OMICSE, both of which were discussed in the previous chapter. CODEZEQ’s organisation structure is displayed in Figure 7.1.

Thus, like both of the case studies discussed in Chapter Six, CODEZEQ is a local organisation operating above community level. Moreover, the following discussion will show that CODEZEQ is also involved in various areas of development, from water systems management to the ‘Middle of the World’ programme, which includes economic and

⁴⁶³ CODEZEQ does not hold membership statistics; however, the organisation’s activities are performed for ‘the benefit of 300 families’. Group interview with members of CODEZEQ, 12th November 2010.

cultural aims. However, CODEZEQ’s lack of a democratic mandate is similar to the *Organización Comunitaria para el Desarrollo Integral de lo Ninez y Adolescencia de Pacto* (OCDINAPAC, Community Organisation of Pacto for the Integral Development of Childhood and Adolescence), and dissimilar to the *Organización de Mujeres Indígenas y Campesinas “Sembrando Esperanza”* (OMICSE, Organisation of Indigenous and Country Women “Sowing Hope”).

Figure 7.1 – CODEZEQ Organisation Structure



Source: Author’s elaboration from interviews with CODEZEQ

A guiding principle of CODEZEQ’s activities is that of local development management by local people (CODEZEQ, n.d.: 2), an aim which directly relates to the nature of the investigation addressed by this work.

CODEZEQ's Women's Association is an entity that is separate yet dependent on parent organisation CODEZEQ. Although the president of the Women's Association is not actually a member of CODEZEQ, and the Women's Association has its own funds, the association is essentially '*a child of CODEZEQ*'.⁴⁶⁴ The organisational relationships for CODEZEQ and the other 'Middle of the World' organisations are displayed in Figure 7.2.

According to the research methodology outlined in Chapter One,⁴⁶⁵ the original research for the CODEZEQ case study observed the implementation of the Middle of the World programme between June 2010 and April 2011. During this time one of the '*five related initiatives*' started up using a programme grant, as required by the programme logframe, was an artisan production project for a local women's group called *Manos Mágicas* (Magic Hands).⁴⁶⁶ Before the research period *Manos Mágicas* existed as an informal production cooperative; however, as discussed below, the *Manos Mágicas* group was required to undertake a process of legalisation for the purposes of the Middle of the World programme.

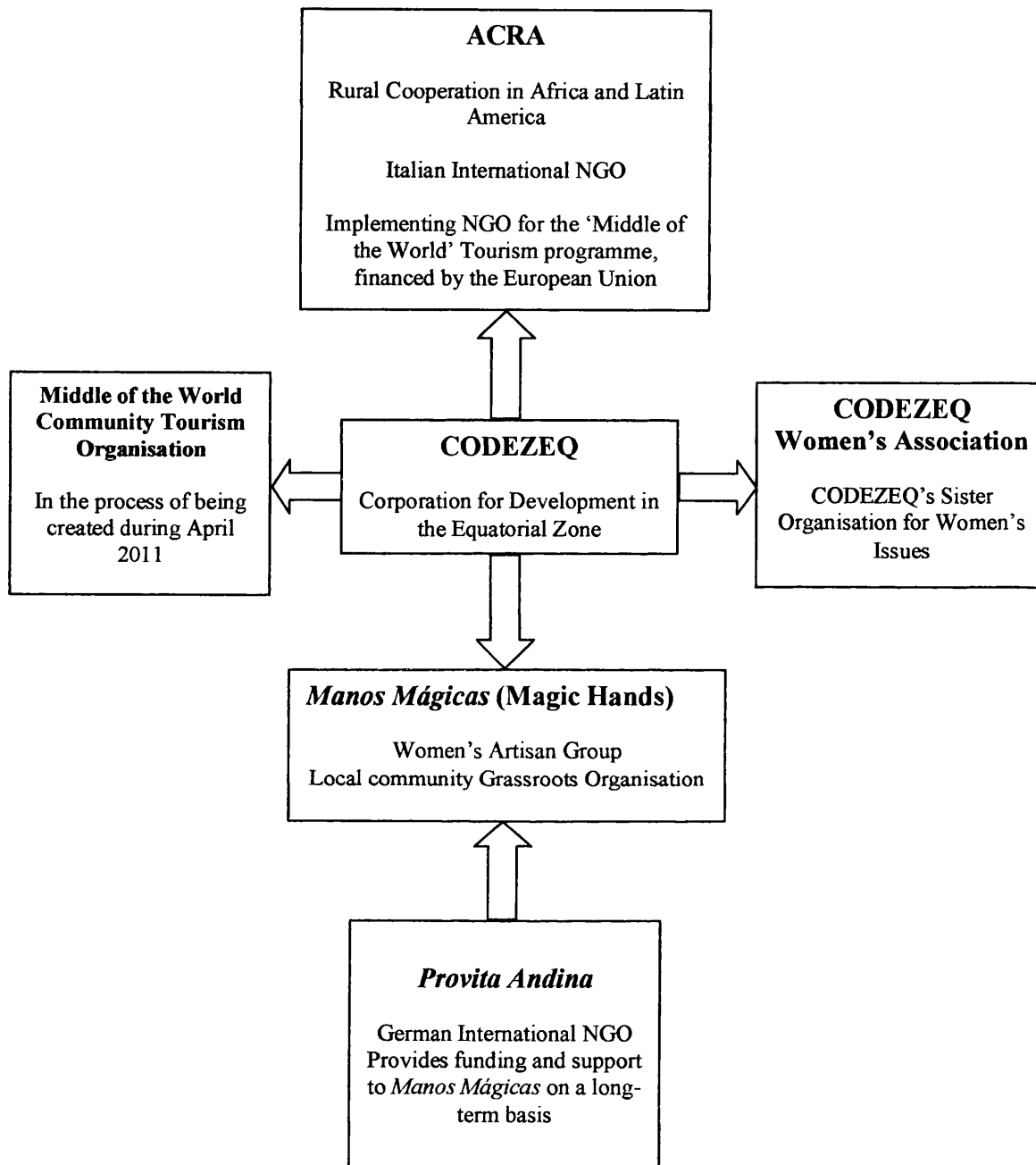
The ensuing section will discuss the nature of participation within the multi-actor development environment in the Middle of the World, examining the relationships between the local actors and implementing NGO ACRA.

⁴⁶⁴ Group interview with members of CODEZEQ, 12th November 2010.

⁴⁶⁵ See page 32.

⁴⁶⁶ *Manos Mágicas* produces knitted, crocheted and embroidered handicraft products, and according to German NGO *Provita Andina* has been '*entirely independent of third party assistance since 2005*' (Email interview with representative from *Provita Andina*, reply received October 21st 2010). This statement seems debatable considering *Manos Mágicas*' participation in the community tourism programme, as well as further projects funded by *Provita Andina*; nevertheless *Manos Mágicas* is a local organisation with a number of years of activity and experience. The project funded by the Middle of the World tourism programme aims to increase the group's production and range of products with financing for knitting machines and training in knitting, crocheting and embroidering techniques.

Figure 7.2 – CODEZEQ Organisational Relationships



7.1.2 Participation in the 'Middle of the World'

The ensuing analysis of the organisational relationships between the numerous actors in the Middle of the World will highlight a number of issues concerning the participation of local actors in this community tourism programme. The topic of participation in the equatorial zone was identified by the diagnostics report produced by ACRA and CODEZEQ as being problematic:

There is a necessity to reinforce community organisations and participation in the social and territorial problems of the zone, with the goal of building a stronger and more apt "social subject" to meet with the other actors involved in the area.

ACRA & CODEZEQ (2010: 42, author's translation).

To this end the community tourism programme sought to implement programme activities using a project technical committee, comprising of a representative of ACRA, a representative of CODEZEQ, a representative of the project beneficiaries and the social promoters of the programme. This committee was scheduled to convene every five days for the duration of programme implementation (ACRA, 2010).

Throughout the research period the Middle of the World tourism programme faced a number of issues concerning the participation of local people as beneficiaries in the various projects of the programme. These issues stemmed from the fact that a small number of families dominated CODEZEQ and as a result were able to secure privileged access to the programme's funds. ACRA, the facilitating NGO, was acutely aware of this issue:

CODEZEQ is a very small organisation, few people participate and there are people who work in a disinterested manner, and others who benefit much more, for example in the case of M*****, he is the president of CODEZEQ. T*****, the wife of M*****, is one of the project promoters [receiving a stipend for her work], and one of the beneficiaries of the [tourist] cabins is the daughter of M***** and T*****.

ACRA Country Director, 10th November 2010, author's translation.

The above quotation shows that despite the evidence from the ensuing analysis relating to the prominent position of CODEZEQ in the Middle of the World locality, and its influence over other local organisations, CODEZEQ itself has a small number of active members.

Although the disinterest in participation identified by the ACRA director is both verified by CODEZEQ,⁴⁶⁷ and consistent with the previous research data presented in Chapters Five and Six of this thesis, two key elements of the Middle of the World initiative cause the programme's participatory processes to be scrutinised further.

Firstly, as highlighted above, the CODEZEQ management committee is not democratically elected by the communities of the Middle of the World zone. Despite this, the programme aims to use CODEZEQ integrants as representatives for the communication of activities to local communities.⁴⁶⁸

Secondly, although integrants of CODEZEQ are insistent that they actively encourage the participation of anyone who wishes to be a part of the organisation,⁴⁶⁹ there has been no formal assessment of why people don't want to participate, or even if they are aware of CODEZEQ's existence.⁴⁷⁰

⁴⁶⁷ Group interview with members of CODEZEQ, 12th November 2010, author's translation:

[The] people are a bit difficult, because these days no one wants to organise themselves in the neighbourhoods, but as time passes these people see [that there is] money in these organisations, we are [in this situation] because we like to work.

⁴⁶⁸ Interview with ACRA representative, June 16th 2010, author's translation:

[S]o it's a bit like a chain, I talk to the people from CODEZEQ and they take charge of the communities, to indicate to them the meeting or the trip, and until now it has worked.

⁴⁶⁹ Group interview with members of CODEZEQ, 12th November 2010, author's translation:

In CODEZEQ we are people who have wanted to work and who like the organisation [CODEZEQ]...and the other people who don't want to be involved aren't here, they don't want to be involved because they are young and they don't like the organisation.

⁴⁷⁰ The present writer's experiences suggest that awareness of CODEZEQ and its activities is low in the communities of the zone. Although by no means a scientific method of investigation, straw polls conducted by the present writer in the area on two occasions showed that none of the 10 people questioned were aware of the existence of CODEZEQ.

By 2011 ACRA had made efforts to address this issue. The ACRA director⁴⁷¹ reasons that the first step had been to find a core group of people with which to work, with further steps facilitating access to the programme for the wider population. One such step is the creation of a community tourism organisation in which CODEZEQ is just one of a number of member organisations. Moreover, CODEZEQ's management structure was changed in January 2011 in order to address the power imbalances enjoyed by some families.⁴⁷²

Despite this, participatory processes in the Middle of the World programme are critiqued in this work. Firstly, as discussed by an associate of ACRA, the fact that CODEZEQ operates without a democratic mandate causes the organisation's legitimacy to be questioned.⁴⁷³ Indeed, the conflict identified by this interviewee was visible throughout the research period, affecting relationships between the local development actors concerned, specifically between CODEZEQ, the Women's Association, and artisan group *Manos Mágicas*.

The guidelines for beneficiary participation in the programme, as outlined by ACRA (2010), served to establish CODEZEQ as the dominant local actor. The project technical committee, outlined above, actually comprised of an ACRA representative plus four members of CODEZEQ, as the beneficiaries' representative and the social promoters were all integrants of CODEZEQ.⁴⁷⁴ Furthermore, during the research period the social promoters performed the role of project supervisors for the *Manos Mágicas* artisan project.

⁴⁷¹ Interview with ACRA Country Director, 10th November 2010, author's translation, who describes the strategy to widen participation:

[I]t is necessary to maintain openness and clear rules and be open to all the people who want to take advantage [of the programme], very capable people come but also useless people, in the end I believe in maintaining yourself constantly open to the people, this initiative is open to everyone as long as they abide by the fundamental rules.

⁴⁷² Interview with ACRA representative, 16th April 2010. At the behest of ACRA, CODEZEQ's president was replaced.

⁴⁷³ Interview with an anthropological investigator and temporary ACRA worker, 2nd December 2010, author's translation:

I don't really understand why ACRA are working with CODEZEQ and not the community directors.....there are people who wish to involve themselves but there are conflicts because CODEZEQ has taken advantage of the funds in the name of the community.

⁴⁷⁴ Interview with ACRA Country Director, 10th November 2010.

As such, these two members of CODEZEQ's Women's Association attended all official progress meetings for the *Manos Mágicas* artisan project.

This supervision manifested a form of control exerted over the *Manos Mágicas* group by CODEZEQ and the Women's Association. Prior to the commencement of the Middle of the World programme, *Manos Mágicas* had already worked with another international NGO (INGO), the German organisation *Provita Andina*. During the research period for this case study *Provita Andina* entered into discussion with *Manos Mágicas* concerning the possibility of a further project. After discussing the issue, CODEZEQ and the Women's Association decided that any new initiative funded by *Provita Andina* should be extended to include the Women's Association as beneficiaries.⁴⁷⁵ However, the legitimacy of CODEZEQ and the Women's Association making such a decision would appear suspect. Even if these organisations were democratically elected representatives of the area, which they are not, such an authoritarian stance would hardly be justified.⁴⁷⁶

A further issue concerns the contributions made by beneficiaries towards the costs of project activities in the community tourism programme. Beneficiaries of the project to construct cabins for tourist lodging were required to contribute five percent of the construction costs to the project.⁴⁷⁷ These monies were redistributed to other areas of the community tourism programme.

The tourist cabins were one of the first elements of the community tourism programme to be planned and, and served to influence later projects such as the *Manos Mágicas* initiative. Although not a stipulated condition by either the EU or ACRA, beneficiary contributions have been included in further elements of the programme upon CODEZEQ's request.⁴⁷⁸

⁴⁷⁵ Women's Association President 8th December 2010 (author's translation):

If they [Provita Andina] are going to do a project it should be for everyone, not just *Manos Mágicas*

⁴⁷⁶ Provita Andina eventually decided not to pursue a project in the area due to the presence of the community tourism programme (Interview with Provita Andina representative, 19th January 2011).

⁴⁷⁷ Interview with ACRA representative and Anthropological investigator, 2nd December 2010. It should also be noted that, despite the term 'cabin', the tourist facilities are actually brick and mortar structures of a very high quality for the Middle of the World area.

⁴⁷⁸ Interview with ACRA representative, 16th April 2011.

Thus, beneficiaries of the *Manos Mágicas* project were also required to make contributions to project costs.

However, the clear differences between the various components of the Middle of the World programme bring the policy of beneficiary contributions into question. The beneficiaries of the tourist cabin project are all land owners who have been provided with 95% of the costs to construct lodging and accommodation on that land.⁴⁷⁹ By contrast, the integrants of the *Manos Mágicas* artisan group are poor women seeking to raise their levels of income through an extremely labour intensive activity.⁴⁸⁰ The benefits received by *Manos Mágicas* include two knitting machines with a combined cost of US\$3000, although these machines are officially owned by the Women's Association, and training courses in the production of clothes and handicrafts (*Manos Mágicas*, 2010).

On the basis of this evidence it is here argued that benefits of these two projects vary considerably, and the imposition of beneficiary contributions in the *Manos Mágicas* project was not justified by the fact that tourist cabin beneficiaries were required by ACRA to make contributions to the construction of their cabins.

The issue of organisational legalisation provides further evidence of the control exercised by CODEZEQ over the activities of the Middle of the World programme. The *Manos Mágicas* group had been in existence for a number of years before their involvement in the Middle of the World programme, and the community tourism programme contained no criteria imposed by the EU or ACRA for the legalisation of local groups.⁴⁸¹ Despite this, CODEZEQ were successful in stipulating that all local organisations involved in the Middle of the World programme should formally legalise themselves before they could participate in the initiative.⁴⁸²

⁴⁷⁹ Interview with ACRA representative and Anthropological investigator, 2nd December 2010.

⁴⁸⁰ Workgroup session with *Manos Mágicas*, October 17th 2010.

⁴⁸¹ Interview with ACRA representative, 16th April 2011.

⁴⁸² Interview with ACRA representative, 16th April 2011.

This policy had a very negative short-term effect on the *Manos Mágicas* artisan group as the artisan project's execution were delayed for six months while the group formally legalised its activities.⁴⁸³ The policy of legalisation raises a number of issues for participation in the Middle of the World programme. Firstly, it is representative of an approach to development that seeks to ensure sustainability by creating local organisations and building their capacities.⁴⁸⁴ Thus, the long-term goal of converting local development organisations into legal entities was prioritised before a more immediate execution of project activities.

Notwithstanding the possible long-term gains of legalisation, the policy did however have a negative effect in the short-term. Given the nature of the *Manos Mágicas* project, it is here questioned whether it is ethical to delay activities designed to increase the earning potential of poor people, when the legalisation process could have been performed in tandem with other project activities or at a later date. Additionally, the process of legalisation poses a potential barrier to the participation of the wider population in the Middle of the World programme. Since each individual member of the legal organisation must be registered, any new participant will be faced with similar bureaucratic delays.⁴⁸⁵

A further example of CODEZEQ's control was provided by meetings to create a community tourism organisation in April 2011.⁴⁸⁶ CODEZEQ is to be just one member of the community tourism organisation, the idea behind the organisation being to unite all the local people and businesses providing services to tourists, particularly in the areas of accommodation and catering.⁴⁸⁷ However, the only local entities to have a presence at the meetings during which the community tourism organisation's rules and procedures were discussed and established, were CODEZEQ, the Women's Association and *Manos Mágicas*.

⁴⁸³ The *Manos Mágicas* project was originally due to commence in July 2010 and actually began in January 2011.

⁴⁸⁴ Capacity building of the local actors is an objective of the 'Middle of the World' programme. Interview with ACRA country Director, 10th November 2010.

⁴⁸⁵ Interview with ACRA representative, 16th April 2011.

⁴⁸⁶ Meetings to define the structure of the community tourism organisation took place on the 16th and the 30th of April 2011.

⁴⁸⁷ FEPTCE (*Federación Plurinacional de Turismo Comunitario del Ecuador*, Plurinational Federation of Community Tourism of Ecuador) presentation, March 12th 2011.

The power structure already existing between these organisations, exemplified by CODEZEQ's description of the Women's Association as 'a child', as well as the imposition of beneficiary contributions on *Manos Mágicas*, meant that CODEZEQ was effectively able to define the procedures and practices of the community tourism organisation. These procedures relate to meeting frequencies, voting issues and fines for non-attendance or non-performance of work.⁴⁸⁸ Therefore, although CODEZEQ members have contributed their participation and hard work to create a tourism organisation that is intended to benefit the wider local population, it is here argued that the composition of the community tourism organisation is a representation of CODEZEQ's own values and belief system.

The above evidence serves to illustrate the argument, as expressed by the ACRA representative early in the research period, that CODEZEQ's previous participation in development initiatives has led to the organisation gaining capabilities and power in the equatorial zone.⁴⁸⁹ Furthermore, the numerous examples of CODEZEQ's control over the Middle of the World programme examined in this section highlight how a local organisation, comparatively experienced in participatory development, has exerted influence over an international intervention in a local Ecuadorean setting. Since the Middle of the World programme was designed to improve economic conditions by increasing the incomes of local people, such power and influence have ethical implications.

⁴⁸⁸ During the meeting on the 16th April, there was an intense discussion concerning the rights of access of individuals and organisations to the community tourism organisation. An external facilitator suggested that families should be allowed to participate, but this was rejected by meeting attendees in favour of a requirement stipulating that only legally recognised entities would be allowed admittance to the organisation.

⁴⁸⁹ Interview with ACRA representative, June 16th 2010, author's translation:

They [CODEZEQ] know how to make a speech, how to organise a meeting with organisations [NGOs and other development actors] and this gives a lot of power to CODEZEQ. Before, they didn't know how to do these things and they have been observing how ACRA do things, learning to speak the language of these organisations, and all of this has given them power with NGOs.

7.2 APROLEQ: Milk Production and Industrialisation in Tungurahua Province

This case study will examine the development projects performed by a rural milk producers' association in Quero, a rural canton in the Andean region province of Tungurahua.⁴⁹⁰ Situated on the lower slopes of the active Tungurahua volcano, the canton lies at an altitude of between 3,200 and 3,500 metres above sea level (APROLEQ, 2010A: 1).

As displayed in Table 7.2, more than 87% of canton Quero's population reside in rural areas. The data displayed in Table 7.3 shows that, of Quero's economically active population of 8,120 people, over 78% were engaged in agricultural and farming activities at the time of the 2001 census. This activity is characterised as the manual cultivation of products with a short crop cycle, such as potatoes, onions, carrots and beans, with little automation and low levels of technology (*Secretaria Nacional de Gestion de Riesgos*, National Secretary for the Management of Risks, 2009: 5).

The canton was devastated in August of 2006 by a major eruption of the Tungurahua volcano,⁴⁹¹ an event which proved to be the catalyst for a programme of economic development projects for the benefit of those people affected by the eruption.⁴⁹²

Aside from the disruption caused by the explosion of Tungurahua, the *Secretaria Nacional de Gestion de Riesgos* (2009: 5, author's translation) describes the economic and productive context in Tungurahua province as follows:

Tungurahua is not dissimilar to the rest of the country [Ecuador], low productivity and little production, scarce access to technology, the high cost of money (interest rates), resistance to productive investment from financial institutions, means that the generation and creation of sources of employment are minimal.

⁴⁹⁰ See map provided in Appendix 3.

⁴⁹¹ According to APROLEQ (2010A, 1), the primary effect of the eruption was the loss of crops, but this resulted in further negative consequences such as emigration from the area and the sale of land.

⁴⁹² *Secretaria Nacional de Gestion de Riesgos* (2009: 1).

Table 7.2 – Urban and Rural Populations of Canton Quero

AREA	MALE	FEMALE	TOTAL
Urban	1,064	1,174	2,238
Rural	7,929	8,020	15,949
Total	8,993	9,194	18,187

Source: *Instituto Nacional de Estadísticas y Censos* (INEC, National Institute of Statistics and Censuses) (2001), author's translation

Table 7.3 – Economic Activities of the Population of Canton Quero

ACTIVITY	MALE	FEMALE	TOTAL
Agriculture, farming, hunting, fishing, forestry	4,452	1,888	6,340
Manufacturing	250	85	335
Construction	132	2	134
Commerce	241	114	355
Teaching	25	43	68
Other activities	402	486	888
Total	5,502	2,618	8,120

Source: INEC (2001), author's translation

Furthermore, a lack of social cohesion has been identified in the canton of Quero. The document entitled 'Tendencies of Citizen Participation in Ecuador' produced by SENPLADES (2011B) for the dissemination and discussion of the results of the 2008 'National Survey of Citizen Participation', includes a chapter by Rodriguez et al (2011) entitled 'Citizen Participation and Citizen Governance in Ecuador'. Rodriguez et al present and discuss the results of a case study approach to the assessment of the Ecuadorean

indigenous movement's 'presence' in six Ecuadorean cantons including canton Quero. The results of Rodriguez et al's 2008 study are displayed in Table 7.4.

Table 7.4 – Territorial Presence of the Ecuadorean Indigenous Movement

Canton	% of the indigenous population that is organised	Real/Actual presence in parishes⁴⁹³	Formal presence in Parishes⁴⁹⁴	Rating⁴⁹⁵
SALCEDO	64.93	4	4	High
CHAMBO	100	1	1	Medium
PALLATANCA	1.24	1	1	Low
PUJILI	100	6	5	High
QUERO	0.456	0	1	Null
COTACACHI	43.73	5	5	High

Source: Rodriguez et al (2011), author's translation

The data in Table 7.4 highlights that canton Quero rated lowest out of the six cantons analysed, with a null social and political territorial presence of the Ecuadorean indigenous movement. Rodriguez et al (2011: 129) juxtapose their data concerning the indigenous movement alongside further evidence highlighting a lack of participatory governance and participatory planning in canton Quero.⁴⁹⁶

⁴⁹³ The 'Real/Actual' presence of the indigenous movement in parishes was calculated using an analysis of the number of registered annual meetings and the number of formal acts/actions made by the relevant indigenous organisation per year. The rating of '6' is the highest and '0' is the lowest.

⁴⁹⁴ The 'Formal' presence of the indigenous movement in parishes was calculated using an analysis of the existence (or otherwise) of registered directives and the existence (or otherwise) of indigenous organisation headquarters. The rating of '6' is the highest and '0' is the lowest.

⁴⁹⁵ The 'Rating' of the territorial presence of the indigenous movement in cantons was calculated using the two factors of 'Political-electoral' and 'Socio-consciousness'.

⁴⁹⁶ Until 2004 public meetings were held just once a year by the municipal council of Quero and the rendition of accounts was not made to the population but rather to higher levels of government. However, although

Thus, Rodriguez et al's data exhibits canton Quero as lacking both socio-political cohesion and experience in participatory governance. The next section of this chapter will discuss the activities of local milk production association APROLEQ aimed at increasing productivity and income for farmers in communities situated within canton Quero.

7.2.1 APROLEQ: The Associative Commercialisation of Milk and Dairy Products

Faced with the consequences of the 2006 eruption of Tungurahua, families in and around the communities of Hualcanga la Dolorosa and San Jose participated in the creation of an association for the production and marketing of milk and dairy products.⁴⁹⁷ Thus, on the 16th of October 2007, the *Asociación de Productores y Comercializadores de Leche del Cantón Quero* (APROLEQ, Association of Producers and Marketers of Milk from Canton Quero) began the storage, refrigeration and marketing of milk in a project including 39 member families (APROLEQ, 2010: 4). The philosophy behind the creation of the APROLEQ cooperative argues that the individualism of milk producers had previously meant that they became the victims of the merchants who buy and sell milk from producers. This argument is borne out by the increase in the amount paid to producers, from 22 to 24 cents a litre before APROLEQ began activities in 2006, to 40 cents a litre in 2010.⁴⁹⁸

APROLEQ's objectives, as displayed in Figure 7.3, are primarily concerned with production, marketing and related activities, but do contain social elements such as the '*Fomentation of the social and cultural development of members*'. The foremost objective, '*Commercialisation of milk and its derivatives*', is concerned with the creation and operation of milk storage centres with facilities for the production of dairy products such as butter, yoghurt and ice-cream. Figure 7.4 displays the APROLEQ organisation structure,

detailed records do not exist, the production of Quero's 2005 cantonal development plan did include a participatory methodology (Rodriguez et al, 2011: 129).

⁴⁹⁷ Interview with APROLEQ production technician, 9th December 2008, Quito. As described later, the creation of APROLEQ was part of an initiative called 'Projects of Economic Development for those affected by the eruption of Tungurahua Volcano' (*Secretaria Nacional de Gestion de Riesgos*, 2009: 1).

⁴⁹⁸ See Table 7.5.

and shows APROLEQ's separation of the social organisation from the productive enterprise, to be discussed in a later section.

Figure 7.3 – APROLEQ's Organisational Objectives

- Commercialisation of milk and its derivatives
- Commercialisation of agricultural supplies and the genetic improvement of dairy livestock
- Create a local savings and credit system for the benefit of the sector's communities' families
- Import and export agricultural goods and services
- Establish alliances for cooperation: technical, commercial, productive, financial and for training, with national and international organisms
- Foment the social and cultural development of members, improving their life conditions through housing plans, scholarships and other services
- Manage the acquisition of economic support from private, public, national and international organisms through the presentation of productive projects
- Foment and socialise an effective relationship with similar organisations, for the interchange of experiences concerning organisation, training, production and commercialisation

Source: APROLEQ (2010A), author's translation

Corresponding to the ensuing description of APROLEQ's projects and activities, Figure 7.5 clarifies the relationships between APROLEQ and the funding and associate organisations mentioned in this section.

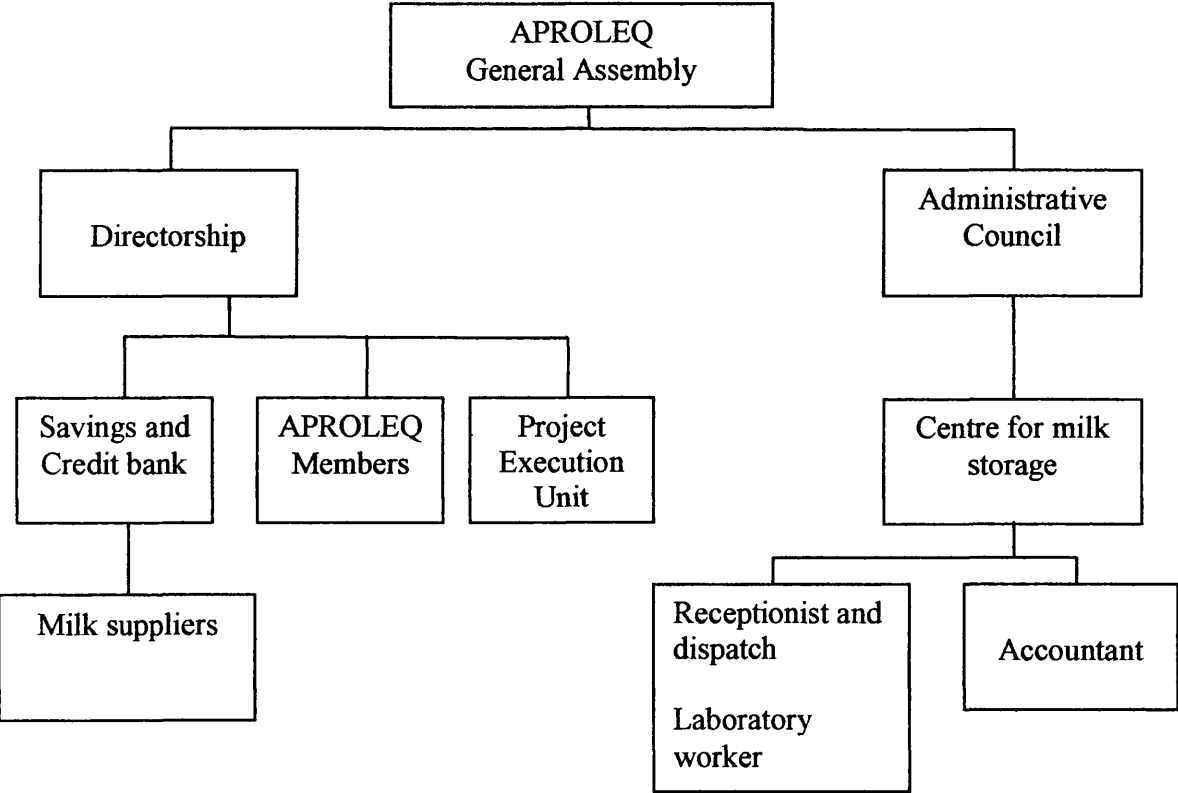
APROLEQ's first project, the funds for which were provided by the European Union for the relief and support of communities affected by the Tungurahua explosion, was administered by Quero's municipal council (*Secretaria Nacional de Gestion de Riesgos*, 2009: 2). Through the initiative 'Economic development projects for those directly affected

by the eruption of Tungurahua volcano’, the Quero municipal council created a ‘Department for the Management of Social Development’ with the objective of:

Supporting the management and execution of productive and social projects, which benefit and boost the activities of legally structured organisations and interest groups

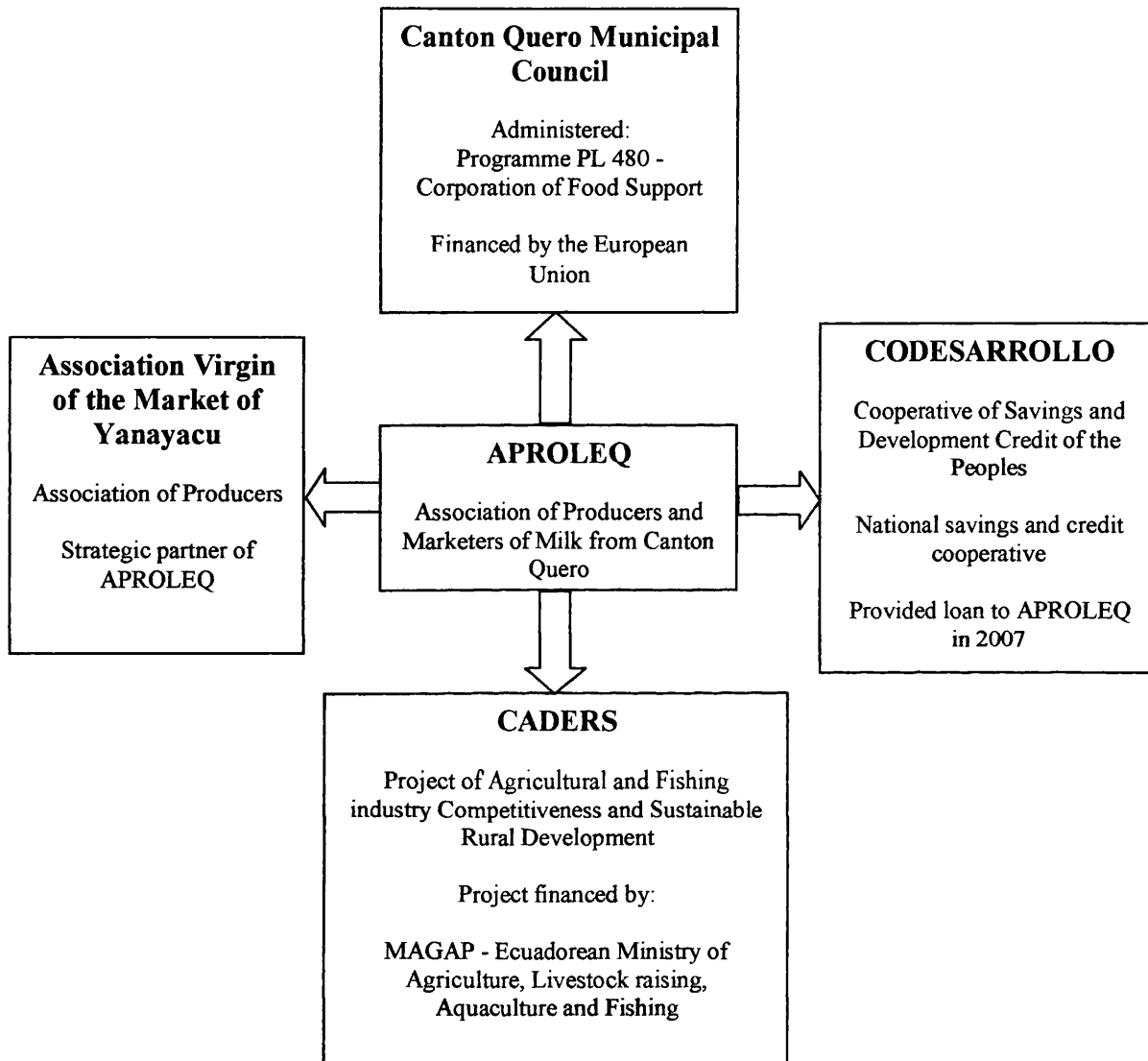
Secretaria Nacional de Gestion de Riesgos, 2009: 2, author’s translation.

Figure 7.4 – APROLEQ Organisation Structure



Source: *Secretaria Nacional de Gestion de Riesgos (2009), author’s translation*

Figure 7.5 – APROLEQ Organisational Relationships



Thus, the creation of APROLEQ and the funding and execution of a project to install cold storage facilities began in 2007 in association with the Quero municipal council. With funds provided by the *Corporación Programa de Apoyo Alimentario PL 480* (Corporation Programme of Food Support), APROLEQ acquired land, constructed premises and installed three tanks for the cold storage of milk (APROLEQ, 2010C: 6). Additional facets of the PL 480 project included the strengthening of APROLEQ through the creation of a

legal organisation with statutes, structure and processes, the creation of strategic alliances and the performance of training programmes in animal health and control, the development of cooperatives and business administration (APROLEQ, 2010C: 3).

As a result of the PL 480 project's activities, between 2007 and 2010 APROLEQ achieved positive results in a number of areas. Table 7.5 displays statistics relating to the production of milk by APROLEQ members in 2006 and 2010, and shows that among other productivity gains, both production of milk and the prices received have increased substantially. Moreover, further accomplishments include organisational alliances formed with regional and national entities such as the *Consortio Lacteo de Tungurahua* (Dairy Consortium of Tungurahua) and CODESARRROLLO (*Cooperativa de Ahorro y Credito Desarrollo de los Pueblos*, Cooperative of Savings and Development Credit of the Peoples),⁴⁹⁹ and the creation of thirteen jobs for technicians, supervisors and administrators.

Table 7.5 – Production of APROLEQ members in 2006 and 2010

Activity	2006	2010
Daily milk production per cow	6.5 litres	12.5 litres
Period of lactation	180 days	230 days
Interval between births	510 days	390 days
Daily production per farm	15 litres	35 litres
Price received per litre	22 to 24 cents (USD)	40 cents (USD)

Source: APROLEQ (2010), author's translation

Following on from these initial successes APROLEQ has expanded its activities through a further project to diversify the dairy products produced by the association. In 2010, a project sponsored by the *Proyecto de Competitividad Agropecuaria y Desarrollo Rural*

⁴⁹⁹ CODESARRROLLO is a national savings and credit cooperative which finances local development activities. In 2007, CODESARRROLLO provided a loan of \$70,000 to APROLEQ for its milk commercialisation project (APROLEQ, 2010A: 6).

Sostenible (CADERS, Project of Agricultural and Fishing industry Competitiveness and Sustainable Rural Development) allowed APROLEQ to begin the industrial production of cheese, butter, cream, yoghurt and ice-cream (APROLEQ, 2010B: 20). The CADERS project is implemented and financed by the Ecuadorean Ministry of Agriculture, Livestock raising, Aquaculture and Fishing (MAGAP, *Ministerio de Agricultura, Ganaderia, Acuacultura y Pesca*).⁵⁰⁰

One of the specific objectives of the CADERS project is to strengthen the organisation of small and medium milk producers. To this end, the APROLEQ/CADERS project aims to increase APROLEQ's influence to a level of 85 members and 115 families as direct beneficiaries of project activities (*Secretaria Nacional de Gestion de Riesgos*, 2009: 14).⁵⁰¹

As with the previous PL 480 project, the CADERS project was planned using the Logical Framework Approach (LFA). The project's official documentation includes a problem tree, an objectives tree and the logical framework displayed in Figure 7.6. Furthermore, APROLEQ produced a business plan for 2010; effectively this business plan constitutes a Project Initiation Document (PID) for the CADERS project,⁵⁰² as it contains details pertaining to all aspects of the project's background, objectives and implementation. The section providing information on APROLEQ's history and structure includes a detailed

⁵⁰⁰ The general objective of the CADERS project is as follows (*Secretaria Nacional de Gestion de Riesgos*, 2009: 12, author's translation):

Strengthen the associative production and commercialisation of milk and its derivatives in the south eastern and south western zone of canton Quero, improving the conditions and quality of life of project beneficiaries.

⁵⁰¹ The further specific objectives of the CADERS project are as follows (*Secretaria Nacional de Gestion de Riesgos*, 2009: 12, author's translation):

- Establish a business for the transformation and commercialisation of milk derivatives
- Establish a process that is focused on the production chain, including production, storage, transformation and commercialisation of milk derivatives

⁵⁰² In traditional project management industries a PID is produced during project planning and is defined by OGC (2005: 65) as follows:

[A]ll information relating to the 'what, why, who, how, where, when and how much' of the project is gathered for agreement by the key stakeholders, and for guidance and information for those involved in the project.

breakdown of the roles played by APROLEQ's directors and each member of the project team (APROLEQ, 2010B). For example, the duties of the project manager are displayed in Figure 7.7.

The project manager's responsibilities, as listed in Figure 7.7, reflect the role of a project manager in traditional project management, as one person has final responsibility for the management of the Project Management Approach's (PMA) process groups in order to meet the project's objectives (PMI, 2008: 13). The production of project documentation and the designation of responsibilities to the project manager constitute examples of how APROLEQ's activities reflect a traditional approach to project management.

Further to this point, APROLEQ's 2010 business plan also provides a description of the attributes of the production of dairy products, including costs, prices, quantities and profit margins, expected projects results, an analysis of environmental impact and a detailed financial breakdown of project costs (APROLEQ, 2010B). Additionally, a final project report was produced for the PL 480 project (APROLEQ, 2010C), containing detailed financial information, an analysis of the project's results in comparison with APROLEQ's organisational objectives, and a discussion of the lessons learned and problems encountered during project execution.

In their entirety the documents produced for APROLEQ's projects exhibit a level of project management professionalism which was not displayed in any of the three other case studies discussed in Chapters Six and Seven of this thesis. None of those other case studies evidenced the ability of local organisations to produce detailed project documentation relating to the processes of the PMA.

Figure 7.6 – APROLEQ/CADERS Project for the Improvement of Milk Quality Standards for Industrialisation: Logical Framework

DESCRIPTION	INDICATORS	DATA SOURCES	ASSUMPTIONS
(OBJECTIVE) Increased economic income	APROLEQ currently produces 1,600 litres of milk daily, an increase of 4,000 litres is estimated, of which 500 litres or 12.5% is destined for the production of dairy products and 3,500 litres or 87.5% is destined to be sold in milk form	INEC's monthly bulletin of agricultural production	The project for the improvement of production and quality will be sustainable
(PURPOSE) Improved quality standards for the production of dairy products	From 2011 more than 30% of production in accordance with demand will be industrialised with 95% quality	Registers and statistics for quality monitoring	Demand for fresh cheese, butter, cream, yoghurt and ice-cream will continue
(COMPONENTS) <ol style="list-style-type: none"> Producers cooperate to search for alternatives Associate producers have access to services Increased volume of production Implement industrialisation processes Implement administration and business management System of quality control in operation 	<ol style="list-style-type: none"> 39 members who have the following services at their disposal: credit, storage centre, information and commercialisation, by the end of 2010 Associate producers accessing technical assistance, training and credit From 2010 there will be a gradual increase in production to a level of 4,000 to 6,000 litres of milk per day By 2010 five training courses on the industrialisation of dairy products will be performed By 2010 the administration and business management will be realised By 2010 the system of quality control will be installed 	<ol style="list-style-type: none"> INEC and MAGAP production statistics and product output for 2010 onwards Monthly register of loans granted, technical assistance and training from 2010 Production and sales reports for APROLEQ Registers and signatures of assistance for the association's courses and practice sessions from 2010 Registers and signatures of assistance for the association's courses and practice sessions from 2010 Registers and monthly and quarterly reports on the production and industrialisation of dairy products. Registers and statistics on the quality of the milk used in production 	Producers apply the knowledge gained in training in the processes of the production of fresh cheese, cream, butter, yoghurt and ice-cream

Source: APROLEQ (2010B), author's translation

Figure 7.7 – The Role of the Project Manager in the APROLEQ/CADERS Project

- The highest level of authority in the administration of the project, and should report to the directors and coordinate with CADERS-MAGAP
- Is responsible for the planning, execution and control of all the activities agreed in the strategic plan and the business plan and approved for the CADERS-MAGAP project
- Directs the technical production unit and the administrative and financial unit of the project, and leads the processes associated with the new community business (administrative, production, commercialisation and control)
- Is responsible for maintaining all parties informed, i.e. the community and CADERS-MAGAP, about the state of execution of the operative plan's schedule

Source: APROLEQ (2010B), author's translation

However, this does not mean that APROLEQ's general membership is more knowledgeable on the issues of project management and productive development than the actors in those other settings. On the contrary, the present writer would identify the employment of a full-time project manager as key to the professionalism evident in APROLEQ's activities.⁵⁰³ Further, a later section of this chapter will discuss how the participation of APROLEQ members in training and management activities was rated as poor by the association's production technician. Additionally, Caina (2010: 55) identifies the role played by the municipal government of canton Quero in the initiation and support of APROLEQ's activities as a major factor in the association's success.

The budgeted cost of the APROLEQ/CADERS project was \$153,000, of which \$83,800 was provided by CADERS and \$69,200 was financed by APROLEQ. This statistic demonstrates that APROLEQ's policy is to reinvest revenue in order to expand its

⁵⁰³ In the PL 480 project the project manager and the production technician roles were actually performed by the same person, although different people assume these two roles in the CADERS project (APROLEQ production technician, 20th April 2012).

operational activities. Another example of this policy is provided by the purchase of land and construction of a further milk storage facility in the community of San Jose in 2012, which has augmented APROLEQ's operations further.⁵⁰⁴

In pursuit of the CADERS project objectives, APROLEQ has created a commercial alliance with another milk producers' association located in the Yanayacu parish of canton Quero, called *Asociacion Virgen de la Merced de Yanayacu* (Association Virgin of the Market of Yanayacu). As a result of this alliance the Yanayacu association sends the 600-700 litres of milk a day that its members produce to one of APROLEQ's storage facilities. As part of the agreement APROLEQ has supported the Yanayacu association by providing training in the management of resources and by making a loan to Yanayacu of \$1,500.⁵⁰⁵

From a social perspective, APROLEQ's activities have created a source of work for rural people and require members and associates to be productive and work hard, having positive social effects in the process.⁵⁰⁶ Indeed, one of APROLEQ's objectives, as listed in Figure 7.3, is to 'Foment the social and cultural development of members'. Thus, although APROLEQ is primarily concerned with production and has separated the social and productive organisations,⁵⁰⁷ the association does to some extent address the social needs of members. Further evidence of this argument is provided by one of the principal objectives of the CADERS project, which is to strengthen organisations including families.⁵⁰⁸ As discussed earlier, such social development activity occurs in the context of a rural canton which has been exhibited as lacking social cohesion (Rodriguez et al, 2011).

⁵⁰⁴ Interview with APROLEQ production technician, 20th April 2012.

⁵⁰⁵ Interview with APROLEQ production technician, 20th April 2012.

⁵⁰⁶ Interview with APROLEQ members, 13th June 2009, author's translation:

Before the project there was a lot of alcoholism, people got drunk too much and with all the family problems that this results in. Today we are very busy in the work of producing milk and this vice has been left solely for special moments like local festivals.

⁵⁰⁷ APROLEQ's separation of the social organisation from the productive enterprise will be discussed in the next section of this chapter.

⁵⁰⁸ As described by the *Secretaria Nacional de Gestion de Riesgos* (2009: 13, author's translation) one the project's components is:

Training in equality and gender, family integration is of fundamental importance, the re-evaluation of the role played by the woman, as an axis of family development and in society, will be extolled.

Despite all the positive results discussed above, the APROLEQ association has not been an unmitigated success. At the time of the field visit to APROLEQ's Hualcanga la Dolorosa storage facility in 2009, the organisation had 35 members.⁵⁰⁹ However, by 2012 the number of members had shrunk to just 22 members. Due to the alliance with the Yanayacu association, the number of producers delivering milk to APROLEQ's storage facilities had risen to 85 by 2012. Despite this, with all of APROLEQ's remaining members being in the 45-60 age range, the organisation's production technician recognises that they are '*a dying breed*'.⁵¹⁰

However, the achievements made by APROLEQ have meant that the organisation's model has attracted significant attention. MAGAP is planning a nationwide project to create a network of milk storage facilities using the APROLEQ initiative as a basis. Furthermore, the association has received visits from representatives of communities and organisations wanting to initiate similar activities, attention which has raised the self-esteem of APROLEQ's members.⁵¹¹

Indeed, having already created the alliance with *Asociacion Virgen de la Merced de Yanayacu*, discussed above, by April 2012 APROLEQ was seeking to expand its activities further. At the time of the final interview with the association's production technician,⁵¹² APROLEQ was in the process of an application for finance to create a network of storage facilities at regional level, all of which would be administered by APROLEQ.

The APROLEQ case study evidences a number of differences which distinguish APROLEQ from the other case study organisations analysed in this work. The final section of this chapter will examine those differences in comparison with the approach to community tourism in the 'Middle of the World' programme.

⁵⁰⁹ The field visit to APROLEQ's storage facility was made on 13th June 2009. APROLEQ started activities with 39 members, this figure having diminished slightly by 2009.

⁵¹⁰ Members have left the cooperative for various reasons including personal motives. However, some producers have resigned from the cooperative due to the demands placed on them relating to the quality of milk produced from their farms. Interview with APROLEQ production technician, 20th April 2012.

⁵¹¹ Interview with APROLEQ production technician, 20th April 2012.

⁵¹² Interview with APROLEQ production technician, 20th April 2012.

7.3 Comparative Analysis and Conclusions concerning Participation and Project Management in CODEZEQ and APROLEQ

The two case studies discussed in the proceeding sections highlight contrasting approaches to the management of Ecuadorean local projects with an emphasis on increasing beneficiary income and eventual autonomous management of activities by local organisations.

Both CODEZEQ and APROLEQ constitute local Ecuadorean organisations in which participation is viewed as a functional component of local development activities. In such organisms, rules are established for the election of directors and committees and for the participation of the wider membership and other interested parties.

Evidence demonstrates not only a dearth of participation ‘as an end’ activities in case study organisations, but also a lack of recognition of the objectives and benefits of participation ‘as an end’ development. For example, during the *Manos Magicas* project planning workshop⁵¹³ in 2010, the approach taken to participatory planning did not encompass empowerment objectives. Instead, the Women’s Association President and the CODEZEQ project promoters completed the project plan largely by themselves.⁵¹⁴ A similarly pragmatic approach to project planning was observed during the CODEZEQ meeting on January 3rd 2011.⁵¹⁵

Bearing strong similarities with both the OMICSE and CODEZEQ case studies, participation in APROLEQ is viewed as the attendance and contribution made by members during assemblies and monthly meetings. When asked how the association’s membership

⁵¹³ The *Manos Magicas* project planning workshop was held on 22nd June 2010, members of the *Manos Magicas* group were assisted by the president of CODEZEQ’s women’s association and CODEZEQ’s project promoters to develop a plan for their artisan project.

⁵¹⁴ The workshop took place in CODEZEQ’s office. ACRA had provided a list of required information such as antecedents, general and specific objectives, activities, economic sustainability, budget, beneficiaries’ direct investment, and support demanded by the project. During the planning workshop, the Women’s Association President and the CODEZEQ project promoters used this list to write a project plan on CODEZEQ’s desktop computer. During this process, which took around two hours, the integrants of the *Manos Magicas* group were asked to discuss key points but largely passed the time talking of other matters.

⁵¹⁵ When the possibility of funding from international NGO *Provita Andina* was raised, one of CODEZEQ’s directors asked ‘What can we ask for?’, and the CODEZEQ directors commenced a discussion of the physical resources that could be bought with funding.

can participate in APROLEQ's activities, the production technician (20th April 2012, author's translation) replied '*Well the mechanism exists, the rules of the process are clear.*'

Mirroring previous case studies discussed in this work, the above answer demonstrates that participation in local Ecuadorean development initiatives is considered to be the participation of people in the democratic processes of local organisations.

The numerous training activities organised by APROLEQ addressing themes such as raising livestock, the production of dairy products and business management have participation as an end objective as they provide people with the opportunity to learn. However, APROLEQ's production technician reports that there is a resistance to participation in such training.⁵¹⁶ Thus, the APROLEQ case study further confirms the data from the other case studies presented in this thesis, which shows apathy towards participation by members of organisations and general populations alike.

In terms of participation in local associations, the results of the 2008 National Survey of Citizen Participation show similarly low levels of affiliation to and active participation in such associations. Table 7.6 displays the results of the survey pertaining to productive associations, and highlights the fact that APROLEQ's low membership is replicated throughout Ecuador.

Evidence of significant conflict was also apparent in both case studies. Moreover, this conflict often consisted of struggles to retain power by local actors. In Quero, the production technician describes the process of allowing a milk refrigeration tank to be installed in another location as 'very difficult'.⁵¹⁷ This effort at 'decentralisation' was deemed necessary by the organisation's directorship due to the fact that tanks at the main refrigeration plant in the community of Hualcanga la Dolorosa were not operating at full

⁵¹⁶ Interview with APROLEQ production technician, 20th April 2012, author's translation:

They [APROLEQ members] once told me that they wanted to learn more about dairy farming and nothing about accountancy or making cheese. But projects always oblige rural people to learn what they don't want [to learn].

⁵¹⁷ Interview with APROLEQ production technician, 20th April 2012, Quito.

capacity. APROLEQ's membership at first resisted this change, in the belief that it would divide the organisation and lessen their control over project activities. APROLEQ's members finally agreed to the creation of another storage centre in the community of San Jose, and the association spent its own funds on the acquisition of land and the construction of the storage facility, which became operational in 2012.⁵¹⁸ However, this decision was made only after a period of conflict between APROLEQ's membership and board of directors.⁵¹⁹

Table 7.6 - Participation in Associations of Producers, Merchants or Farmers by Area, Sex and Ethnicity

	Area		Sex		Ethnicity			
	Urban	Rural	Male	Female	Indigenous	White	Mestizo	Afro-Ecuadorean
Affiliated/member and actively participates	0.8%	2.3%	1.8%	0.7%	2.9%	0.7%	1.1%	1.1%
Affiliated/member and doesn't actively participate	1.2%	1.6%	1.2%	1.3%	1.3%	0.5%	1.4%	0.5%
Not affiliated/member and actively participates	0.7%	1.1%	0.8%	0.7%	2.2%	0.4%	0.7%	0.6%
Previously participated but not now	0.6%	1.3%	1.2%	0.5%	1.0%	0.5%	0.9%	0.8%
Never participated	96.7%	93.7%	95.0%	96.8%	92.6%	97.9%	95.9%	97.0%
Total	100%	100%	100%	100%	100%	100%	100%	100%

Source: Paltán & Reyes (2011) author's translation

In the Middle of the World setting, CODEZEQ was able to assert control over development activities being performed in the area. CODEZEQ proposed the tourism programme to ACRA, thus initiating a programme that incorporated CODEZEQ's philosophy of local management of development⁵²⁰ with ACRA's desire to facilitate projects stemming from

⁵¹⁸ Interview with APROLEQ production technician, 20th April 2012, Quito. The storage facility was constructed by APROLEQ's members using work mingas, similar to those used by the indigenous movement, as discussed in Chapter Six, see page 273.

⁵¹⁹ Interview with APROLEQ production technician, 20th April 2012, Quito.

⁵²⁰ CODEZEQ (n.d.: 2).

the ideas of local people and organisations.⁵²¹ However, the research data indicates that the tourism programme will not benefit a large percentage of the population. CODEZEQ (n.d.: 3) states that the Middle of the World project will benefit around 300 families. Even if this figure is accurate, the population statistics in Table 7.7 show that the entire population of the area is much larger. Additionally, in their own diagnostics report, ACRA and CODEZEQ (2010: 33) recognise that in the community of Los Reales:

Due to the lack of basic services and infrastructure, currently potential for tourism in Los Reales is very low.

Table 7.7 – Population in the ‘Middle of the World’

Community/Town	Inhabitants
Caspagasi del Carmen	350 families/1400 people
Rumicucho	1400 people
Santo Domingo	An estimated 25,000 inhabitants
Pululahua	30 families
Tanlahua	1200 people
Los Reales	12 families

Source: Diagnostics performed by ACRA and CODEZEQ (2010)

Despite this data, the emergent project from the diagnostics report centred on community tourism. As such, CODEZEQ was able to propose a programme of activities targeted at a maximum of 300 beneficiary families in a development setting with a much larger population.

The evidence presented in this chapter serves to reinforce the data presented in previous chapters of this thesis showing low levels of participation ‘as an end’ development.⁵²² However, Chapter Five’s discussion of the Ecuadorean *Plan Nacional Para el Buen Vivir* (PNBV, National Plan for Good Living) showed how the *Código Orgánico de Organización Territorial, Autonomía y Descentralización*’s (COOTAD, the Organic Code

⁵²¹ Interview with ACRA representative, June 16th 2010.

⁵²² See Chapter Three’s discussion of the development organisation survey results, page 148, Chapter Four’s discussion of participation in Ecuadorean NGO-led development, page 185, and Chapter Six’s discussion of participation in OMICSE, page 272.

of Territorial Organisation, Autonomy and Decentralisation) system of citizen participation is an integral requirement for participation in regional and local decentralised development.⁵²³ The cases presented in this chapter, along with those examined in Chapter Six, indicate that local manifestations of COOTAD's system are characterised by systems of democratic participation in which organisational decisions are taken during participatory meetings and assemblies. In this context, 'participation as an end' activities are marginalised in Ecuadorean local development in favour of 'participation as a means' of organisational management.

7.3.1 Autonomous Local Development and Project Management

In terms of project management, significant differences can be highlighted between activities in the Middle of the World and canton Quero. Although both case studies concern projects designed to increase the income of local people, approaches to achieving local autonomy of these activities have been markedly different.

The approach to the creation of locally managed tourism in the Middle of the World, taken by ACRA, has been to conduct activities to build the capacities of existing local actor CODEZEQ. Due to its ongoing status, the success of the Middle of the World programme in achieving autonomous locally managed tourism after the termination of funding and NGO support is not yet known. However, the evidence provided above indicates that CODEZEQ remains unprepared for the self-management of development projects, as a lack knowledge and experience in use of the Project Management Approach (PMA) was evident during the research period.

An ad-hoc management of programme activities was observed in the Middle of the World programme. As such, the management of projects and programmes was performed on a linear basis, addressing the current problem or issue without considering the relationships between activities inherent to project management.⁵²⁴ This approach enables the Middle of

⁵²³ COOTAD's system of citizen participation is depicted on page 235.

⁵²⁴ For example, concerning the legalisation process, on November 12th a CODEZEQ representative stated:

the World initiative to be defined as a ‘process programme’, in which the overall deadline for programme activities constitutes the only factor of time management. As such, the individual projects contained within the programme are managed as process/operational activities without any time restrictions.⁵²⁵

However, while this approach may be valid for the implementation of the ‘Middle of the World’ process programme, it does not facilitate the building of project management capacities in CODEZEQ or other local actors. This aspect is especially pertinent given the lack of knowledge of the PMA and weaknesses in project management by local Ecuadorean organisations evidenced during this work.

Further evidence of this argument was provided by a presentation given to CODEZEQ by FEPTCE (*Federación Plurinacional de Turismo Comunitario del Ecuador*, Plurinational Federation of Community Tourism of Ecuador), an Ecuadorean community tourism network.⁵²⁶ For the purposes of creating the community tourism organisation, FEPTCE was invited by ACRA to visit the Middle of the World programme in order to diffuse their experiences of community tourism. During this presentation, FEPTCE presented a ‘management model’ for community tourism which included the objective ‘To plan and develop tourism projects and programmes’.⁵²⁷ FEPTCE proposed that the community tourism organisation should adopt this management model for its activities in the Middle of the World.

Despite the specified aim of project management, the description of the management model that ensued was one appropriate for the pursuit of process/operational work rather than projects and programmes. The proposed organisation structure contained a general assembly, an administrative board and two commissions, one for hotels and lodging and the

We’re dealing with the legalisation issue right now, after that we will continue with the other project activities.

As discussed above, the legalisation of *Manos Magicas* stalled the artisan project for six months.

⁵²⁵ Furthermore, the project for the construction of tourist cabins was delayed due to the rains of the wet season in late 2010 and early 2011. However, such problems could have been foreseen by effective traditional programme/project management processes (Meeting with CODEZEQ representatives, 12th March 2011).

⁵²⁶ A presentation was performed by FEPTCE to CODEZEQ members on March 12th 2011.

⁵²⁷ FEPTCE presentation, March 12th 2011.

other for food and refreshments. Such a structure appears reasonable for the management of process/operational activities, but is completely without mechanisms for the management of projects and programmes specified as an objective of the management model.

Thus, the FEPTCE management model shows a lack of understanding of the nature of unique project and programme activities, and the reasons for which a different approach should be taken in their planning and management.⁵²⁸ The Middle of the World case study fails to provide evidence that the local organisations concerned possess the capacities necessary for effective autonomous project management. Instead, CODEZEQ and the other local actors were dependent on ACRA to guide implementation of a process programme.

Conversely, APROLEQ has been able to rely on the permanent project management skills of a full-time project manager. This project manager was initially a person external to the development setting recruited by the cantonal government as part of its newly created 'Department for the Management of Social Development' (*Secretaria Nacional de Gestion de Riesgos*, 2009: 4). However, this strategy constitutes a permanent solution to the issue of project management in this local setting, exemplified by the fact that APROLEQ's project manager has held his position for over five years and has made a permanent move to Hualcanga la Dolorosa, the community at the centre of APROLEQ's activities.⁵²⁹

A further difference concerns APROLEQ's separation of the social organisation from the productive enterprise, which the association argues is one of the principal reasons for its success.⁵³⁰ Analysis of APROLEQ's organisation chart, displayed in Figure 7.4, shows that the organisation has an administrative council, the objective of which is:

The corporate management of the facility for the storage, refrigeration and commercialisation of milk...This administrative council has its own internal regulations for its proper [effective] functioning.

Secretaria Nacional de Gestion de Riesgos, 2009: 4, author's translation.

⁵²⁸ See Chapter Two, page 40.

⁵²⁹ Interview with APROLEQ production technician, 20th April 2012, Quito.

⁵³⁰ Interview with APROLEQ members, 13th June 2009.

Thus, the administrative council is responsible for managing the process/operational activities of the productive enterprise, including the storage and sale of milk and production and sale of dairy products. As such, APROLEQ's organisation structure ensures that the members and milk suppliers, and the savings and credit bank are separated and removed from the operational and tactical management of productive activities.⁵³¹ The administrative council is comprised of three members of APROLEQ and a 'vocal representative' of project beneficiaries, demonstrating that while tactical operation of the productive enterprise is performed in an autonomous manner, management is still performed by APROLEQ's members. However, as depicted in Figure 7.4, salaried professionals, including an accountant and a laboratory worker perform process/operational activities associated with the operation of APROLEQ's plants.

Although Figure 7.4 shows that the project execution unit is part of the social organisation, this unit is comprised of APROLEQ's directorship, a full-time project manager and a representative of the institution providing project finance. The participation of APROLEQ's members during the project management activities of planning and execution is minimal. During project planning for both the PL 480 and CADERS projects, planning workshops were held which included diagnostics activities. The content of plans was subsequently validated through democratic votes.⁵³² During project execution, participation of APROLEQ's general membership is limited to discussion and voting during monthly meetings and general assemblies.⁵³³

This organisation structure constitutes an essential difference between APROLEQ and CODEZEQ. Although CODEZEQ also uses general assemblies and monthly meetings as a form of participation in its activities, execution of the Middle of the World tourism programme does not separate the social and enterprise entities of CODEZEQ, which is

⁵³¹ Interview with APROLEQ representative, 9th December 2008. As of April 2012, APROLEQ's savings and credit bank had a fund of \$30,000 with loans available of up to \$3000 for 18 months (APROLEQ production technician, 20th April 2012).

⁵³² Interview with APROLEQ production technician, 20th April 2012, Quito.

⁵³³ Interview with APROLEQ production technician, 20th April 2012, Quito.

ultimately a second grade organisation participating in activities such water systems management.⁵³⁴

The decision to ‘professionalise’ APROLEQ’s productive organisation was made by the association after an initial bad experience.⁵³⁵ Since the implementation of this change, APROLEQ has been able to manage its own resources and activities efficiently and over a period of five years has become an autonomous local development organisation.⁵³⁶

In light of the prevalence of community productive projects in the Andean region,⁵³⁷ experiences in Quero and the Middle of the World have connotations for the many local productive/tourism initiatives across Ecuador. Furthermore, the PNBV specifically identifies community tourism as one of Ecuador’s twelve strategies for ‘Good Living’.⁵³⁸ The evidence presented in this chapter indicates that local autonomous management of such projects and activities is facilitated by the creation of traditional management structures in which the roles of the project manager and project team, and responsibilities and relationships to the social organisation are clearly defined.

⁵³⁴ Representatives of ACRA and CODEZEQ first met during a three year water resource management project which took place between 2008 and 2010 (CODEZEQ, with the support of Guillaume Juan, 2010: 2).

⁵³⁵ APROLEQ production technician, 20th April 2012, author’s translation:

[I]n the beginning we had a bad experience, because we gave the opportunity [to perform the association’s accountancy work] to a person from the locality with little experience, we almost went bankrupt. To restructure the whole accounting process cost \$1,200.... It was the best decision!

⁵³⁶ APROLEQ production technician, 20th April 2012, author’s translation:

We are practically on our own, the support for our organisation is minimal, the organisation has plenty of solidity and strength and has become an example to follow for other organisations.

⁵³⁷ The popularity of local productive projects is discussed by Eversole (2006: 945). Such popularity is based on the opinion that (Manosalvas, 2009 13, author’s translation):

[C]ommunity production products are considered a valid strategy in the interventions of development organisations for the overcoming of poverty.

⁵³⁸ As discussed in Chapter Five (page 229-30), the tenth of twelve strategies defined by the PNBV (SENPLADES, 2009: 101-136) addresses community tourism:

Sustainability, conservation and knowledge of natural patrimony and the fomentation of community tourism

Chapter 8

Conclusion

This work has sought to investigate the participation of beneficiaries and local people in the Project Management Approach (PMA) process of 'Executing', the project life cycle as a whole, and in local development organisations. The statement of the problem outlined in Chapter One argued that existing methodologies for development project management are characterised by gaps pertaining to participatory project execution. Moreover, in the same section of the introductory chapter it was argued that the lack of attention paid to participation in project execution is detrimental to prospects for the self-management of development projects by beneficiaries and local people.

In this final chapter the conclusions drawn from the secondary data and the research findings pertaining to participation and project management will be presented. The principal conclusion to be drawn from this work's research is that the participation of project beneficiaries and local people is stymied in two key areas in the Ecuadorean development context. As a result, project beneficiaries and local people are some distance from achieving effective self-management of the project life cycle.

The first area in which participation is curtailed pertains to the PMA process of 'Executing'; however, it will be argued this situation is partly resultant from the lack of focus on participatory project execution in the informing literature and the global methodologies used for development project management.

Secondly, the data evidences that in the Ecuadorean context participatory democracy has become the dominant form of participation, whether in the decision-making of local government policies or in the operation of local level development organisations. The argument relating to this phenomenon is not that participatory democracy is in any way deficient, but rather that this approach to participation has become too dominant in the Ecuadorean context. Furthermore, this situation is worsened by the current political climate

facing the work of international NGOs (INGOs). The result is a lack of activities with participation 'as an end' objectives.

In relation to the participation of project beneficiaries and local people during the phases of the project life cycle, a subsidiary argument will highlight the lack of project and programme management knowledge and expertise evident in the Ecuadorean research setting. This factor is significant given the programme management focus of Ecuador's *Plan Nacional para el Buen Vivir* (PNBV, National Plan for 'Good Living').

In terms of people's participation in the activities of local government and the democratic local development organisation, supplementary arguments will focus on a number of issues pertaining to the realisation of those activities. Factors such as limited access to participatory governance and the manipulation of local development activities mean that the reliance on participatory democracy is to some extent problematic. It will thus be concluded that potentials for the self-management of Ecuadorean development projects by beneficiaries and local people are hampered by the various problems evidenced by the research data.

8.1 Participation in NGO-led Projects and Local Development: From Theory to Practice

The basis for the examination of current practice in Ecuadorean development was provided by the gaps in existing development methodologies used for project management. The literary review's analysis of global methodologies Logical Framework Approach (LFA) and Participatory Rural Appraisal (PRA) showed that these methods do not provide sufficient tools or processes to manage the project life cycle, especially during project execution.

Chapters One and Two identified scepticism towards the use of the PMA in development which is perhaps best summed up by Wallace et al's (1997: 32/34) contention that a '*serious disjuncture*' exists between projects and development work:

More and more people are questioning the usefulness of projects as vehicles for promoting real social change. Projects are an artificial construct which are often better designed to meet the need of disbursing funds in an accountable way than meeting the needs of those who are trying to tackle the processes which keep them in poverty.

This argument is based in Wallace et al's critique of LFA as a top-down approach; nonetheless these authors characterise projects as short-term externally initiated interventions. Conversely, the research findings show that projects are used by national and local actors to implement a wide variety of development interventions. Moreover, incorporated into programmes and portfolios these projects are being used to realise the transformatory and long-term social changes associated with Participatory Budgeting and decentralised local government with citizen participation. As such, the present writer contests the critique of the PMA for its alleged unsuitability to development goals.

During the course of Chapter Two's discussion of LFA, the present writer rejected the critique positioning the approach as an inflexible blueprint which is necessarily top-down in nature and unable to foster beneficiary participation. However, from examination of the typical logframe displayed in Appendix 5, it is possible to draw the conclusion that LFA's

logical planning process and framework for monitoring and evaluation are not matched by processes or tools for project execution. This conclusion is evidenced by the necessity to feed LFA planning information into an activity schedule such as a Gantt chart (Jackson, 2000:10).

Furthermore, Smith's (2000: 440) argument that LFA assumes that an effective plan will result in an effective execution is accepted by the present writer. Consequently, it is argued that LFA does not provide any tools or processes to encourage the participation of project beneficiaries and/or local people in the PMA process of 'Executing'. Criticism of LFA is nothing new; however, previously authors such as Gasper (2000: 23) and Jackson (2000: 2) have focused on the limitations of LFA in specific project activities, for example monitoring and evaluation. Conversely, this work has argued that LFA is not appropriate as a tool for project life cycle management by local people and organisations.

Similarly, Appendix 15 demonstrates that few of the tools that combine to form the PRA menu of methods can be used during the PMA phase of 'Executing'. Indeed, the only PRA tools relevant to project execution are group discussion, joint field visits and brainstorming.⁵³⁹ Thus, the literary review concluded that the PRA menu constitutes a group of participatory tools for use during the phases of the project life cycle. However, PRA does not constitute a methodology that is suitable for the management of the project life cycle. Given the lack of tools for the project execution phase, it is also argued that PRA does not effectively facilitate the participation of beneficiaries and local people in the PMA process of 'Executing'.

These conclusions do not contradict contributions to the informing literature; however, this fact demonstrates that scholarship has previously focused on the use of these methodologies to facilitate beneficiary participation during the project life cycle phases of diagnostics and planning and monitoring and evaluation. Conversely, this work has considered the potential for an increased involvement of beneficiaries during the project life cycle, leading to the

⁵³⁹ In addition to these tools, Appendix 15 also lists project planning matrices and Gantt charts as suitable for project execution/implementation; however, these charts are not PRA tools.

self-management of projects by beneficiaries and local people. It is argued that such an increased involvement in the project life cycle is necessary if one accepts that autonomous project management can lead to sustainability. Thus, the following definition of sustainability provided by Buckland (1998: 237) frames the potential for increasing the involvement of beneficiaries and local people in the project life cycle:

[T]he ability acquired and held by communities over time, to initiate and control development, thus enabling communities to participate more effectively in their own destiny.

Furthermore, the research findings and secondary data pertaining to this thesis have shown the management of programme and project activities by local organisations to be a current issue in Ecuadorean development. The *Presupuesto Participativo de Chimborazo* (PPCH, Participatory Budget of Chimborazo) and the PNBV demonstrate the necessity for local government authorities to manage complex series of programmes and projects. Additionally, current trends towards productive and tourism projects, evidenced by the research data, mean that local people and organisations are increasingly involved in the management of the project life cycle.⁵⁴⁰

Based on the above arguments pertaining to the participation of beneficiaries and local people in the project life cycle, and the corresponding gaps in the informing literature, the principal research question aimed to investigate the nature of participation in development projects performed in the Ecuadorean context and reads:

- What lessons can be used from current practice [by NGOs, local government etc.] for the benefit of future development using participatory project and programme management?

The research processes provided substantial data relating to current practice in Ecuadorean development project management. Before discussing the nature of participation in Ecuadorean development, and the results concerning the autonomous self-management of projects by local organisations, the next section will first argue that Ecuadorean project

⁵⁴⁰ This phenomenon has been identified by Manosalvas (2009: 13), Ramírez (ed. 2002: 103), and Eversole (2006: 945).

management methods do not provide an effective solution to project life cycle management.

8.1.1 Methodological Gaps and Deficiencies

The analysis of existing methodologies for the management of Ecuadorean development projects revealed that these methods are largely reflective of the present writer's critique of global methods presented during the literary review. Further, the Ecuadorean data evidences that NGOs performing projects in Ecuador have attempted to address the issue of project execution in a number of ways.

The only Ecuadorean methodology that has sought to address the entire project life cycle, including the execution phase, is the *Sistema de Desarrollo Local* (SISDEL, System of Local Development). As such, the SISDEL method is highly relevant to the investigation contained within this thesis. Whereas the above discussion shows that global methods such as LFA and PRA were not designed for the participation of beneficiaries and local people in project life cycle management, the SISDEL method is actually replete with its own version of the project life cycle, as shown in Figure 3.1.⁵⁴¹

SISDEL's project life cycle of Formulation-Postulation-Execution-Evaluation roughly corresponds to the Project Management Institute's (PMI, 2008: 6) five process groups of Initiating, Planning, Executing, Monitoring and controlling, and Closing. However, analysis of SISDEL showed that despite employing a holistic approach to project life cycle management, the methodology is still lacking tools and procedures for the PMA process of 'Executing'.

Chapter Three's analysis showed SISDEL includes a form of Rapid Rural Appraisal (RRA), which employs participatory workshops for project formulation, and completes the project planning process with a project profile document used to record project planning details in a standardised format. In contrast, the only tool SISDEL provides for the

⁵⁴¹ See Figure 3.1 in Chapter Three, page 111.

execution phase of the project life cycle is a standard matrix to be completed with a project baseline. Planned costs and activity durations are recorded in the matrix, and actual project progress is measured against this baseline data.

Conversely, traditional project management methods include tools and processes for control, communication and management during the PMA process of 'Executing'. For example, the PRINCE2 methodology contains standard processes for the management of activities involved in project execution, as well as standard reports organised into sequences by documents flowcharts, and structures for reporting and communication (Office of Government Commerce, OGC, 2005: 69/285). Furthermore, in addition to project baseline data the Critical Path Analysis (CPA) technique is inherent to traditional project management activity charts such as the Gantt chart (Field and Keller, 1998: 420). CPA is a tool for analysis of activity durations and relationships that enables the project manager to plan and manage those activities and relationships in order to complete the project within time restrictions.

This deficiency in SISDEL's methodology was acknowledged by the method's creator during an interview performed for this thesis:⁵⁴²

SISDEL recognised the project cycle, planted important points in each moment of the cycle, constructed a small methodology for diagnostics and the formulation of projects, but didn't equally develop methodologies for other moments, for implementation and evaluation, or for negotiation.

Indeed, interviews with three of the national NGOs to have employed the SISDEL method revealed that these organisations have ceased to use SISDEL. All three of the interviewees gave the opinion that they did not believe SISDEL included sufficient processes for the management of the project life cycle. Based on these experiences and the discussion provided in Chapter Three, the present writer would concur with the analysis provided by Mr. Torres.

⁵⁴² Interview with Victor Hugo Torres, *Comunidec* Director, interview 1, 28th February 2007, Quito, author's translation.

Chapter Four's examination of other project management methodologies used in Ecuadorean development further highlighted the lack of attention given to the PMA process of 'Executing'. For example, the *Sistema de Monitoreo y Acompañamiento* (SIMONA, System of Monitoring and Accompaniment) used by the United Nations Development Programme (UNDP) for its Small Grants Programme does not provide tools for project execution, instead focusing on the monitoring of project progress. Similar evidence is provided by the methodology designed for Ecuadorean public sector project management by *El Secretario Nacional Técnico de Desarrollo de Recursos Humanos y Remuneraciones del Sector Público* (SENRES, the National Technical Secretary of the Development of Human Resources and Remunerations of the Public Sector). Although the SENRES methodology is designed to manage the phases of the project life cycle, in actuality the only tools provided are a series of inventories for the management of activities and products.

Thus, these Ecuadorean methodologies again exhibit the lack of project execution tools and processes highlighted by the literary review. Since global development methodologies used for project management and those evidenced in the Ecuadorean context all contain methodological gaps in relation to processes for project execution, one could question the importance of such processes. However, in documentation pertaining to the PNBV, Ecuadorean government department *Secretaría Nacional de Planificación y Desarrollo* (SENPLADES, National Secretary of Planning and Development, 2009: 399), identifies the same gaps in relation to existing Ecuadorean methods for project execution/implementation:

[T]hose instruments do not have enough quality in their focus or contents, given the scarcity of timely and ordered information; they did not provide mechanisms of management, control and implementation

As such, not only does the issue identified by the present writer receive consensus from the Ecuadorean National Secretary of Planning and Development, but it can also be concluded that the absence of processes for project execution is a need felt by a national actor in Ecuadorean development. Since SENPLADES' analysis is expressed in the literature pertaining to the PNBV, consensus is also given to the present writer's argument that

findings in relation to Ecuadorean project management competencies and methodologies will have an impact on the implementation of the PNBV.

Furthermore, this work has argued that processes and tools for project execution are necessary in order to facilitate the participation in and self-management of projects by beneficiaries and local people. As such, it is also concluded that the existing methods analysed in this work do not facilitate the increased participation in the PMA process of 'Executing' and the project life cycle required for the self-management of projects by beneficiaries and local people.

A trend identified by the research data is the move towards traditional project and programme management practices evidenced by some national NGOs. The most obvious example of this phenomenon is national NGO *Esquel*'s accreditation with the international quality standard ISO 9001: 2000 for quality project management systems. Further evidence is provided by the Chimborazo provincial government's change to a 'projectised' organisation structure in order to facilitate the programme management activities of the PPCH. Indeed, local milk production cooperative *Asociación de Productores y Comercializadores de Leche del Cantón Quero* (APROLEQ, Association of Producers and Marketers of Milk from Canton Quero) has also employed a modified organisation structure that accommodates the project organisation, the social organisation and the management of process/operational activities.

Additionally, numerous Ecuadorean national development organisations are employing modified versions of LFA. Both *Fundación Camari* and Children International have extended LFA to include processes for project execution.⁵⁴³ The necessity for such improvements indicates that LFA does not satisfy needs and requirements for project execution and thus provides supporting evidence for the present writer's argument that LFA is not a complete method for the management of the entire project life cycle.

⁵⁴³ National NGOs *Coordinadora Ecuatoriana de Agroecológica* (CEA, Ecuadorean Coordinator of Agricultural Ecology) and *Innovar* also use modified and extended versions of LFA.

Moreover, such modification of LFA represents an institutionalisation of the method by these NGOs. However, data from the semi-structured interviews showed that most international and national NGOs did not perform LFA in a participatory manner. Thus, the institutionalisation of LFA has connotations for the levels of participation facilitated by Ecuadorean NGO-led development.

Indeed, it is a paradox that while the survey results revealed that the combination of LFA with participatory methods is standard practice in respondent organisations, in reality participation of beneficiaries and local people during the design of logframes is very low. Thus, the combination of LFA with participatory approaches can, in the majority of cases, be most accurately defined as the use of one approach to inform the other. Accordingly, LFA and participatory techniques are used on a consecutive basis with the results from the first approach being used as a basis for the second approach. Aside from one exception,⁵⁴⁴ LFA processes are not performed with the participation of local people or project beneficiaries. As such, the data shows that in some cases Ecuadorean NGOs are engaged in the institutionalisation of a method that has hitherto not been used in participatory fashion.

It is here concluded that the moves towards traditional project practice and the adaptations of LFA evident in the Ecuadorean research context constitute efforts to address the gaps in existing methodologies identified by the present writer. As such, Ecuadorean project management methodologies merely conform to the deficiencies identified by the present writer with respect to global development project management tools. Indeed, the research findings and evidence from secondary data sources show that the requirement for tools for the management of project execution is a need felt by actors in Ecuadorean development.

The review of informing literature highlighted that project methodologies are rarely analysed in the context of the entire project life cycle. Further, the capacity for such methodologies to facilitate the self-management of projects by beneficiaries and local people is also given scant regard by the existing scholarship.

⁵⁴⁴ *Fundación Camari*, a national foundation performing productive development projects, reported the use of participatory logframes.

However, based on the analysis of the Ecuadorean context this author concludes that the gaps in development project methodologies require further research. This work has established both the prevalence of projects/programmes in development activities performed by Ecuadorean NGOs and local governments, and the need for tools and processes for the management of the entire project life cycle. Accordingly, the present writer recommends that the informing literature moves beyond the consideration of people's participation in the planning, monitoring and evaluation of projects, to address methodological issues concerned with project life cycle management. Additionally, this work has evidenced the pertinence of issues surrounding the self-management of projects by local people in the Ecuadorean context.

The above analysis has led to the subsidiary argument that methodological issues hamper the increased participation of beneficiaries and local people during the execution phase of the project life cycle. The next section will analyse further factors that restrict people's increased participation in Ecuadorean development projects.

8.2 The Narrowing of Participation

On the basis of the research findings this section will argue that a reliance on democratic participation evident in Ecuador has led to a development reality in which local development projects and activities with participation ‘as an end’ goals have been marginalised. As such, the practical application of participatory development in Ecuador is largely embodied by people’s democratic involvement in the decision-making processes of local government bodies and local organisations.

Hickey and Mohan (2004: 6-8) provide a selective history of the theory and practice of participation in development beginning with the ‘Community development’ of the 1940s and 1950s and culminating with the ‘Participatory governance and citizenship participation’ employed since the late 1990s. Using ‘immanent’ and ‘imminent’ characteristics these authors track the trajectory of participation from the participation of homogenous communities in development projects to the scaled-up participation of civil society in participatory budgeting, decentralisation and state-civic partnerships. Part of this history, for the participatory approaches of ‘Populist/Participation in development’, ‘Social capital’ and ‘Participatory governance and citizenship’ is displayed in Figure 8.1.

Evident from Hickey and Mohan’s history is an element of evolution as participatory practices have advanced in response to the limitations and critique of earlier theory and practice. As such, the ‘*radical and transformatory*’ potential of participatory governance can be seen as a response to criticisms of project-based ‘participation in development’ (Hickey and Mohan, 2004: 7-8/12). This work does not attempt to challenge the place of participatory governance at the forefront of participatory approaches to development, or its potential to transform. However, the findings from the original research indicate that a balance is required between participatory governance and the participatory approaches that are aimed at achieving the goals of participation ‘as an end’ development.

Indeed, the need to balance different types of participatory practices in any given development context is often unmentioned in the informing literature. Despite this, given

that all three of the approaches to participation listed in Figure 8.1 continue to be employed, the suitability of different approaches to different development contexts is implicitly understood. Conversely, the data presented in this work from the Ecuadorean context has highlighted both the prevalence of democratic participation and the lack of development activities with participation ‘as an end’. Testimonies from NGO representatives provide evidence that this situation to some extent coincides with the changing role of NGOs from project implementation to the facilitation of local development through the strengthening of local organisations.⁵⁴⁵

The term employed in this text of ‘democratic participation’ is used to describe not only the instances of participatory governance discussed in Chapter Five, but also the manner in which local development organisations use participation in their decision-making and organisational processes. Examination of the Ecuadorean case studies presented in Chapters Six and Seven showed that all four of the case study local development organisations rely on the processes of democratic elections and participatory general meetings to secure the democratic participation of their memberships.

Through their participation in work tables, budgetary meetings, assemblies and other participatory mechanisms, the representatives in local and regional participatory governance may well attain the objectives of participation ‘as an end’ development such as empowerment and improved confidence. Similarly, those elected as directors of local development organisations can attain the same benefits in the democratic participation processes of those organisations. However, the original research pertaining to this work has shown that activities performed with participation ‘as an end’ objectives for wider populations and the general memberships of local organisations are scarce in case study organisations.

⁵⁴⁵ Interviews with representatives from TdH (May 7th 2012) and *Centro de Estudios de Población y Desarrollo Social* (CEPDS, Centre for Studies of Population and Social Development), interview 10, 6th August, 2008. According to the latter interviewee, instances of project implementation by national NGOs have been declining in Ecuador since the turn of the millennium.

Accordingly, Uphoff (2003: 9) identifies two distinct forms of empowerment, namely the '*private*' empowerment achieved as poor people enhance their capabilities through their own efforts and participation, and the '*collective*' improvement of the capabilities of local level institutions. This work has evidenced a lack of Ecuadorean development interventions with the goal of '*private*' empowerment. Moreover, it is argued that Uphoff's classification of empowerment lacks nuance, as it doesn't recognise that '*collective*' empowerment impacts upon '*private*' empowerment in different ways. This writer argues that representatives in participatory democracy and the directors of democratic local organisations attain more '*private*' empowerment than those who participate by electing those leaders or voting in assemblies and monthly meetings.

Statistics from the Chimborazo case study and other Ecuadorean Participatory Budgeting (PB) experiences showed that levels of participation in PB planning activities are low. For example, of Chimborazo's 403,632 inhabitants⁵⁴⁶ just 0.29% (1,165 people) participated in the PPCH's introductory phase workshops. Similarly, only 0.2% (800 people) participated in the PPCH's cantonal forums, and 0.04% (160 people) participated in the provincial forums. These statistics demonstrate that Ecuadorean PB philosophy is based on democratic representation in a system characterised by the democratic selection of representatives and leaders who participate on behalf of the general population. Thus, the participation of the majority of people in the PPCH can be defined as democratic participation. Conversely, 'participation in development' seeks to involve beneficiaries and local people in the interventions and projects that affect their lives based on the theory that people will be empowered through their participation (Hickey and Mohan, 2004: 7).

⁵⁴⁶ According to the 2001 census (Vasquez and Saltos, 2006: 107).

Figure 8.1 – Participation in Development: Theory and Practice

Era	Approach	Institutional and intellectual influences	Development theory: approach to immanent processes and imminent interventions	Approach to citizenship	Locus/level of engagement
1980s-present	Populist / Participation in development	Development professionals, NGOs, World Bank Participation Learning Group, Chambers	<i>Immanent</i> Little direct engagement; implicit critique of modernization <i>Imminent</i> Failure of top-down projects and planning; participation required to empower people, capture indigenous people's knowledge, ensure sustainability and efficiency of interventions. Participatory: rural/urban appraisal, learning and action, monitoring and evaluation, NGDO projects.	Focus on participation in projects rather than in broader political communities	Development professionals and agencies; local participants
Mid 1990s-present	Social capital	World Bank Social Capital and Civil Society Working Group. Putnam, Bourdieu, Narayan	<i>Immanent</i> Social capital promoted as a basis for economic growth <i>Imminent</i> Local institution building, support participation in networks and associations	Participation as a right and obligation of citizenship	Citizens, civil society, state agencies and institutions
Late 1990s-present	Participatory governance and citizenship participation	Participatory Research and Action (Delhi). Institute for Development Studies, Brighton (Participation Group)	<i>Immanent</i> Development requires liberal or social democracy, with a responsive state and strong civil society. Some focus on social justice <i>Imminent</i> Convergence of 'social' and 'political' participation, scaling-up of participatory methods, state-civic partnerships, decentralization, participatory budgeting, citizens' hearings, participatory poverty assessments, PRSP consultations	Participation as primarily a right of citizenship	Citizens, civil society, state agencies and institutions

Source: Hickey and Mohan (2004)

Furthermore, analysis of the creation of the Conocoto development plan has shown that, in that parish, participation in diagnostics and formulation of the parish development plan was restricted to representatives of parish and community associations and organisations. Thus, individuals could not attend participatory workshops without an invitation. This is despite the fact that Conocoto parish has just 53,137 inhabitants (*Ideas en Concreto*, 2011A: 134). In this case it is evident that obstacles exist to people's democratic participation in the activities of regional and local governments.

Indeed, the only instances of participation 'as an end' development evidenced by the empirical research data were encompassed by the activities performed by INGOs. For example, the representative from Italian NGO *Terre des Hommes* related details of confidence-building activities performed with the *Organización de Mujeres Indígenas y Campesinas "Sembrando Esperanza"* (OMICSE, Organisation of Indigenous and Country Women "Sowing Hope").⁵⁴⁷ Another Italian NGO, *Cooperazione Rurale in Africa e America Latina* (ACRA, Rural Cooperation in Africa and Latin America), incorporated cultural activities designed to analyse and learn from the heritage of the area into the 'Middle of the World' tourism programme.⁵⁴⁸

However, this work evidences that in the current Ecuadorean development climate INGOs are subject to restrictions imposed by central government. As a result the work of INGOs is being curtailed. Moreover, data also shows that international funding is being withdrawn from Latin America, a situation exacerbated by the cuts in funding resulting from the current global economic crisis (Biekart, 2008: 71).

At the time of writing the future of INGO development in the Ecuadorean context remains unclear; however, in light of the above factors, doubt exists concerning the continuing ability of INGOs to effectively perform their activities in Ecuador. On the basis of the evidence presented in this thesis, it is argued that the loss of INGO activity would further reduce the variety of participatory activities performed in Ecuadorean development. The research findings evidence a complete lack of participation 'as an end' activities in the

⁵⁴⁷ Interview with TdH representative, May 7th 2012.

⁵⁴⁸ Interview with ACRA representative, June 16th 2010.

interventions of national actors. As such, in what is here termed the ‘narrowing of participation’, the model of democratic participation using systems of representation is the dominant approach to participatory development in Ecuador.

At this point, this section returns to the work of Chambers and others on the merits of PRA and participation in development by local people. Inherent to this work is the notion that participation in development attains participation ‘as an end’ benefits such as empowerment and the development of local capacities for participants (Motteux et al, 1999: 271). The further argument that through their participation local people are engaged in a learning process that enables them to accomplish ever more complex tasks is closely aligned to the concept of the knowledge-action-experience cycle (Chambers, 1997: 103, Ensor, 2005: 270).

Moreover, integral to the philosophy of PRA is the belief that participation in development should seek to engage the poorest and/or the most vulnerable people, or ‘lowers’, in a development setting (Chambers, 1997: 106). As such, in communities or local development settings power relations already exist between ‘lowers’ and those people who are wealthier, more educated and are existing power holders, or ‘uppers’ as they are termed by Chambers (1997: 106).

PRA and participation in development have been subject to an extensive critique which challenges many aspects of PRA theory and practice, including the argument that local power relations are reaffirmed by methods such as PRA (Hildyard et al, 2001: 56). Furthermore, in response to this critique, the informing literature argues that participatory practices should move away from local development towards participatory governance and citizenship participation.⁵⁴⁹

The informing literature does not suggest that participation in development by local people should be eliminated from the development agenda entirely. However, this writer argues

⁵⁴⁹ See contributors to Hickey and Mohan (2004), including Gaventa (2004: 30) and Hickey and Mohan (2004: 161).

that a more nuanced approach would be to consider the ways in which the different approaches to participation can be effectively combined to form an integrated and diverse strategy for participatory development.

Whereas previous contributions to the scholarship have often focused on the merits or limitations of the various approaches to participation, this work has shown the narrowing of participatory practices in the Ecuadorean context. Thus, the approaches to development used by local government, national NGOs and local organisations all contribute to a singular interpretation of participation as participatory democracy, which in the case of local government authorities is fed by systems of representation.

This work's conclusion in relation to the 'narrowing' of participation in Ecuadorean development is put into context by the following quotation from Sarzosa (2011: 90, author's translation), in a work published by the SENPLADES alongside the results of the National Survey of Citizen Participation:

Citizen participation is related to participatory democracy. It cannot be reduced to a method or collection of techniques. It is a condition that permits citizens, in their dimension as individuals and in their collective dimension, to inform themselves, give opinions, formulate proposals and be part of decisions.

The tendencies of Ecuadorean local development towards participatory democracy are encapsulated by this argument. On the basis of the evidence presented throughout this thesis in relation to the marginalisation of participation 'as an end' activities by the increasing impetus on participatory democracy, the present writer rejects Sarzosa's argument. Instead, it is suggested that development strategies are multi-faceted in their approach to participatory local development ensuring access to participation 'as an end' activities for those described by Chambers (1997: 106) as 'lowers'. In such a manner, the remedy to the over-reliance on participatory democracy is to pursue a balance of participatory practices in which participatory governance and democracy is complemented by further approaches to participation including the participation in development of local people in activities with empowerment objectives.

During the course of this section the author has discussed this work's conclusion that an over-reliance on democratic participation is coupled with a dearth of participation 'as an end' development activities. The next section of this chapter will now move on to discuss the potentials for the widening of people's participation in Ecuadorean local development.

8.3 The Potentials for Local Participatory Development in Ecuador

Having analysed some of the problems evident in the Ecuadorean local development context, this section will now discuss the conclusions of this work in relation to the first supplementary research question, which reads as follows:

- How can [Ecuadorean] local people and project beneficiaries achieve an augmented participation in the processes of the PMA [moving towards the self-management of projects and programmes]?

During the previous section of this chapter the present writer recommended that a better balance be struck between the democratic participation, which is currently so prevalent in Ecuador, and other approaches to participation, most notably the participation of people in local development projects. Logically, this necessitates an increase in the type of participatory activities aimed at achieving the participation of beneficiaries and local people in actions other than democratic decision-making. As such, this section will consider the potential for achieving this widening of participatory activities based on the data and findings presented in previous chapters. Widening is the term used here to describe the increase in forms in which local people and beneficiaries participate in development activities.

The research findings indicate that a need exists in Ecuadorean development for the widening of local people's participation in development, especially in relation to the phases of the project life cycle. It is here argued that the project cycle is central to the widening of people's participation in local development projects. This is due to the argument already made in this chapter that participation in the entire project life cycle, including the execution phase, is a necessary step towards the autonomous management of projects by local people and organisations. Additionally, the research findings show a prevalence of project activities in Ecuadorean development, highlighting the incidence of productive development projects with objectives focused on increases in the incomes of local people and beneficiaries (Fretes-Cibils et al, 2003: 371). Moreover, this reflects the prevalence of

local productive and projects in the Andean region as a whole.⁵⁵⁰ Thus, the future autonomous self-management of productive projects by local people would be facilitated by a heightened knowledge of the project life cycle and its phases.

Additionally, the literature accompanying the Ecuadorean government's PNBV gives a prominent place to both community tourism and local productive development. Thus, one of the PNBV's strategies is to foment community tourism (SENPLADES, 2009: 124), and one of the PNBV's national policies reads as follows:

To drive an endogenous economy for good living which is sustainable and territorially balanced, that will lead to the guarantee of rights and product transformation, diversification and specialisation from the fomentation of various forms of production.⁵⁵¹

Thus, local development projects performed with the objective of increasing the incomes of local people through production and community tourism hold a prominent position in both NGO-led development interventions and the strategies of the PNBV. Indeed, the case studies analysed in Chapter Seven represent two examples of this approach to local productive and community development. Furthermore, one of the aims of such projects and interventions is the final autonomous management of productive/tourism activities by local organisations.

The present writer argues that the role of local productive/tourism development in the PNBV provides an opportunity to change the dynamic of democratic participation observed by this work. As such, potential exists to promote local development projects that incorporate both participation 'as a means' and 'as an end' activities.

Thus, participation in productive and tourism development projects with the objective of autonomous self-management by local people provides one opportunity for the widening of participation in the project life cycle by project beneficiaries. Specifically, this means that local people assume a fuller role during the management of the phases of the project life

⁵⁵⁰ See: Manosalvas (2009: 13), Ramírez (ed. 2002: 103), and Eversole (2006: 945).

⁵⁵¹ *Parroquia de Conocoto*, Matrix of objectives, 2011B, author's translation.

cycle. In such a manner, through their participation local people would learn about management of the stages of the project life cycle. This argument draws from both the knowledge-action-experience cycle (Ensor, 2005: 270) and the opinion expressed by Chambers' (1997: 103) that local people have proven themselves capable of accomplishing any task.

On this basis, the present writer challenges Parfitt's (2004: 537/544) argument that participation 'as a means' and participation 'as an end' are contradictory. Parfitt contends that ambiguity is inherent in participatory approaches due to the necessity to use participation 'as a means' of producing outputs while at the same time securing empowerment 'as an end' outcome of participation. Thus, Parfitt (2004: 549) equates the delivery of outputs with top-down management and empowerment with ongoing development processes. However, Parfitt's discussion is framed by the concept that participation 'as a means' and 'as an end' occur in interventions led by external agencies and facilitators. Conversely, the research findings evidence instances in which participatory development activities are being performed by local Ecuadorean organisations. In this context, participation 'as a means' is necessary in order to achieve objectives such as those associated with local productive development, and as described above, through their participation local people learn and improve their own capabilities. The issue identified by this work is that access to empowering participation is limited to local representatives and the directors of local organisations.

In terms of moving towards the autonomous management of projects by local people, the widening of local people's participation in the project life cycle requires a change in focus of processes and methodologies for development project management. With the exception of the flawed SISDEL methodology current methods focus on the participation of local people in the project life cycle. On the basis of the data and findings of this thesis it is concluded that such methods do not facilitate further local involvement in and management of the project life cycle.

The present writer would acknowledge the increased costs, both financial and in terms of the time of project participants, involved in the performance of the participatory activities described above. In social development projects such additional costs and time demands may be deemed unacceptable; however, the potential for the increased participation of local people in the project life cycle is here discussed in relation to the Ecuadorean focus on productive/tourism development projects.

The research findings have highlighted a number of issues concerning the further involvement of project participants in the phases of the project life cycle. Moreover, the problems existing in the participatory practices of Ecuadorean local development organisations highlighted by this work demonstrate difficulties with the autonomous self-management of development projects by local people. The next section of this chapter will now address these issues.

8.4 Self-management of Projects and Programmes by Local People

The second supplementary research question, concerned with the autonomous self-management of development initiatives by beneficiaries and local people in Ecuador, reads as follows:

- How do the different levels of Ecuadorean society participate in development initiatives, and what platform does this participation provide for the self-management of [development] projects and programmes by beneficiaries?

On the basis of the research data provided by the case studies, it can be argued that the current practices of local Ecuadorean development organisations are some distance from a form of self-management that effectively achieves participatory empowerment goals. Additionally, while the research data has provided ample evidence of the efficient self-management of process/operational activities by local organisations, the same is not true for projects activities.

One issue stems from the nature of democratic participation in local organisations. The research findings pertaining to the OMICSE and *Corporación para el Desarrollo de la Zona Equinoccial* (CODEZEQ, Corporation for Development in the Equatorial Zone) case studies demonstrated that directorial positions in local organisations were dominated by small numbers of power holders.

It is here argued that this is partly due to the effect of the knowledge-action-experience cycle (Ensor, 2005: 270), as those who currently hold directorial positions within local organisations are engaged in a cycle of continual personal improvement in which their experiences lead to further knowledge. The end result in organisations such as OMICSE and CODEZEQ is that their experiences and knowledge re-establish existing leaders as the people most able to manage the organisation. Conversely, those who have little previous experience of participation or organisational management are not as able to perform and manage development processes.

Furthermore, the CODEZEQ case study showed that local organisations are able to manipulate development processes to their advantage, irrespective of whether that manipulation is conscious or unconscious. CODEZEQ's influence was evident throughout the study period and was manifested by the ability of a small number of families to dominate positions within CODEZEQ and access to external funding, as well as by CODEZEQ's control over local artisan group *Manos Magicas*. Additionally, CODEZEQ was able to influence the organisational rules for the local tourism agency in the 'Middle of the World' and the terms on which other local organisations participated in the tourism programme. Thus, CODEZEQ has effectively been able to define the rules by which it will engage with other local organisations in the future.

The OMICSE case study also evidenced the influence and control exerted over member organisations and individuals by the hierarchy of the indigenous movement. As such, a number of phenomena observed by Hilhorst's (2003) study of the Kayatuan Ladies' Association Incorporated (KLAi) in the Philippines were also present in the case studies pertaining to this work. Hilhorst (2003: 92/94) reports the influence held over local people by local leaders and the ability of local organisations to manipulate situations to their advantage. Indeed, Hilhorst (2003: 139) uses the expression '*turfing*' to describe conflict over territories, which could also be used to describe the control exerted over the local tourism agency by CODEZEQ.

The manipulation and influence over local development initiatives highlighted by this work occurs in the context of the productive/tourism projects being performed by local organisations. On this basis, it is argued that such influence and control affects the incomes and earning potential of local people. This highlights the present writer's argument that the local organisations investigated by this work are some way from being able to manage development initiatives without the support of implementing NGOs. Thus, ACRA had to intervene in order to rectify problems in the Middle of the World.

Chapter Six highlighted a further problem in relation to the autonomous self-management of development projects by local organisations like *Organización Comunitaria para el Desarrollo Integral de lo Niñez y Adolescencia de Pacto* (OCDINAPAC, Community

Organisation of Pacto for the Integral Development of Childhood and Adolescence) and OMICSE. The data pertaining to these case studies indicates that extensive previous experience in projects led by international and national NGOs has not prepared these organisations for an increased participation during the phases of the project life cycle or for the self-management of future projects. Thus, international and national NGOs had only built the capacities of local organisations in order to facilitate the participation of those organisations in their own management processes. The present writer argues that such training is entirely different from the capacity building required to prepare such organisations for the self-management of their own projects.

Capacity building is an inherent aspect of initiatives such as the Middle of the World tourism programme. However, the Middle of the World tourism programme, implemented by international NGO ACRA, essentially constituted what is here termed a ‘process programme’. The review of informing literature showed that a ‘process project’ is a project that is flexible and responsive to development processes such as participation during implementation.⁵⁵² Similarly, a ‘process programme’ is here defined as a programme of projects that contains the same characteristics of flexibility and focus on development processes. However, in the context of a programme this means that little attention is given to time management of individual projects. Thus, the ‘Middle of the World’ tourism programme had a duration of two years within which time all related projects had to be completed. This meant that delays to individual projects and components of the programme, such as the delay to the *Manos Magicas* artisan project, were not addressed by ACRA. Rather, the fulfilment of all the programme’s component projects before the final deadline was enough to satisfy time objectives.⁵⁵³ This situation is possible due to the fact that many of the individual projects were not interrelated.

Figure 8.2 displays a diagram of programmes with interrelated and non-interrelated projects. As can be seen from this diagram, programmes with interrelated projects are dependent on the timely completion of component projects in order to meet overall time limitations. Conversely, non-interrelated projects can be performed independently of each

⁵⁵² See Chapter Two, page 41-2.

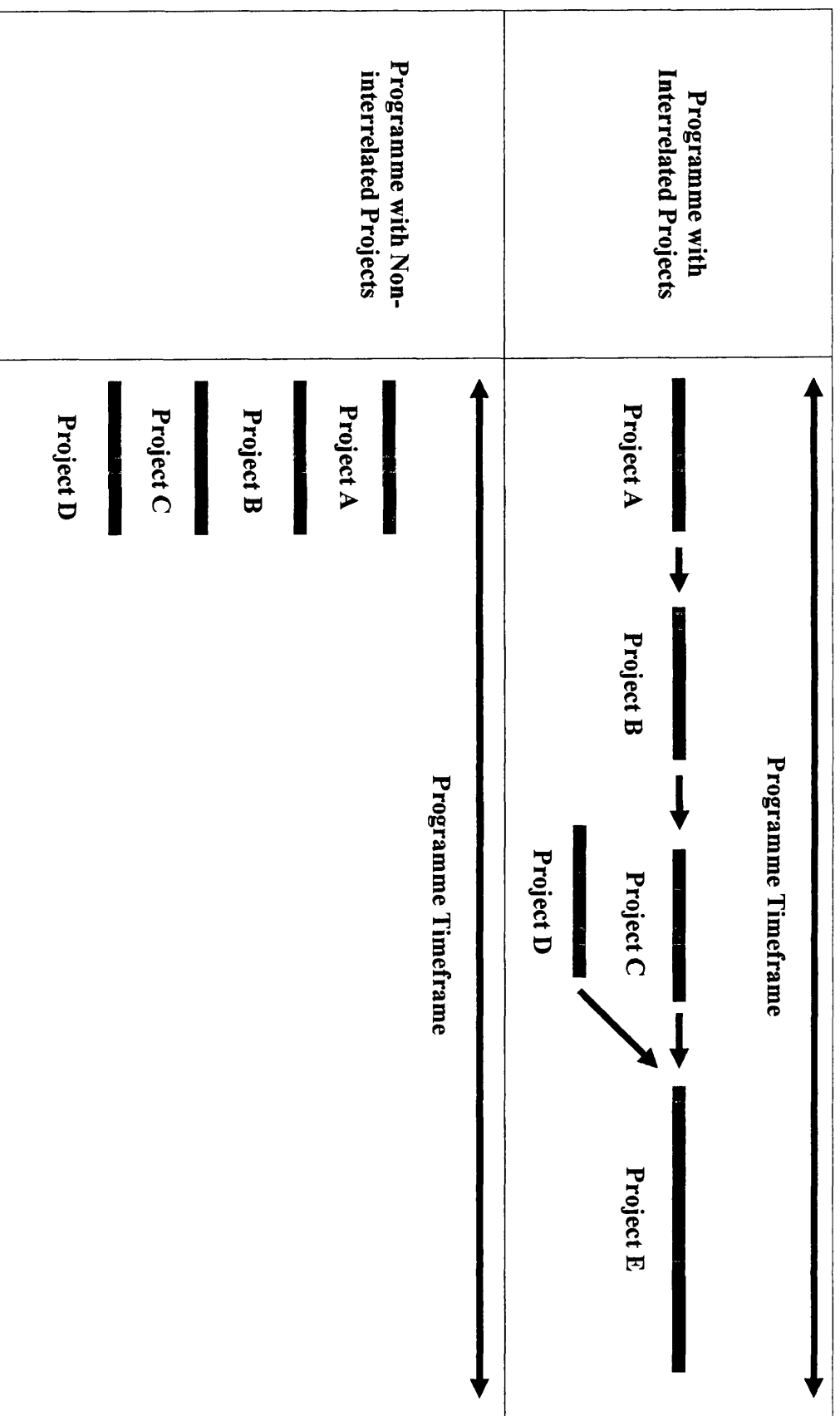
⁵⁵³ Interview with ACRA representative, June 16th 2010.

other. The Middle of the World 'process programme' is a series of non-interrelated projects.

Thus, the *Manos Magicas* artisan project was not dependent on the outputs of any other project before it could start, nor were other projects dependent on outputs from the *Manos Magicas* project before they could commence. As such, a project that could have been completed in around three months eventually took over a year to be performed as delays did not have a negative impact on the duration of the programme as a whole. This is a valid strategy; however, through their participation in ACRA's 'process programme' CODEZEQ and other beneficiaries did not learn about traditional project management activities such as time management and activity scheduling (PMI, 2008: 129).⁵⁵⁴

⁵⁵⁴ Chapter Seven's analysis of CODEZEQ and the Middle of the World programme highlighted that CODEZEQ had partly built capacities by working with and learning from ACRA. See page 299.

Figure 8.2 – Types of Programme Management: Interrelated and Non-interrelated Projects



Source: Author's elaboration.

The connotation of the above is that participation in a process programme such as the Middle of the World initiative does not prepare local organisations for the self-management of their own projects. However, this work has highlighted the prominence of self-managed productive/tourism projects by local organisations in Ecuadorean development, exemplified by CODEZEQ and APROLEQ's activities. Although the social development projects led by implementing NGOs are often able to prioritise process over traditional project management objectives, it is here argued that locally managed productive projects must effectively address project management activities such as time management and activity scheduling. A failure to do so would jeopardise the profitability of those initiatives, which are clearly designed to increase the incomes of local people.

The above discussion adds to the observation made earlier that participation in NGO-led development project has not prepared the case study Ecuadorean local organisations for self-management of their own projects. Moreover, this critique represents just one of a number of ways in which a lack of attention to the traditional project management body of knowledge has resulted in deficits in the knowledge required for the self-management of projects and programmes.

An example provided by the CODEZEQ case study concerns the recommended use of a process/operational management model for the management of programmes and projects by an external facilitator. The proposed tourism agency structure may well prove effective for the management of process/operational activities; however, one of the agency's objectives is to '*plan and develop tourism projects and programmes*'.⁵⁵⁵

As demonstrated by the PPCH case study, there are various organisation structures which to a greater or lesser extent facilitate or hinder the management of projects and programmes. The management structure proposed by the Pluri-national Federation of Community Tourism of Ecuador (FEPTCE) represents a functional organisation, albeit with participatory democracy through democratic representation.⁵⁵⁶ Such a structure is not

⁵⁵⁵ FEPTCE presentation, March 12th 2011.

⁵⁵⁶ See Figure 5.5 on page 224 for the diagram depicting different organisational structures.

compatible with the objective specified by FEPTCE as it does not facilitate project or programme management.

This lack of knowledge is by no means restricted to local level. The semi-structured interviews highlighted a lack of knowledge about the PMA in national level NGOs, as they provided evidence that process/operational activities were described as projects even though those activities did not contain any of the characteristics of projects. For example, national NGOs such as Citizen's Participatory Corporation and Children International describe process/operational activities with features such as Annual Operative Plans (AOPs) and yearly evaluations as projects.

Furthermore a similar deficit is also evident in both the PPCH and the PNBV. The five 'axes' of the PPCH and the six 'systems' of the PNBV can effectively be described as portfolios. The Project Management Institute (2008: 8) defines a Portfolio as:

[A] collection of projects or programs and other work that are grouped together to facilitate effective management of that work to meet strategic business objectives. The projects or programs of the portfolio may not necessarily be interdependent or directly related.

However, the terms 'Portfolio' and 'Portfolio management' are completely absent from the literature pertaining to both the PPCH and the PNBV.⁵⁵⁷ It is here argued that this lack of recognition of the definitions and attributes of projects, programmes and portfolios is detrimental to the management of those activities. For example, the description of portfolio management activities here provided demonstrates that the relationships between component programmes and projects are important to the effective management of

⁵⁵⁷ The Project Management Institute (2008: 9) describes the activities involved in Portfolio management:

Portfolio management refers to the centralized management of one or more portfolios, which includes identifying, prioritizing, authorizing, managing, and controlling projects, programs, and other related work, to achieve specific strategic business objectives. Portfolio management focuses on ensuring that projects and programs are reviewed to prioritize resource allocation, and that the management of the portfolio is consistent with and aligned to organizational strategies.

portfolios. Similarly, the relationships between component projects are integral to programme management (PMI, 2008: 10).

One of the few exceptions to this lack of knowledge evidenced by the research data is provided by the case of the APROLEQ milk production and marketing cooperative. In terms of self-management, APROLEQ's activities constitute productive development projects managed by a local organisation with little continuing external assistance.

APROLEQ has implemented an organisation structure representative of a balanced matrix. As such, the organisation still retains a traditional vertical hierarchy, but the existence of a project execution unit headed by a full-time production technician provides considerable support to project management efforts. Such a structure is unique in the case studies of local organisations examined in this work.

Another difference between APROLEQ and the other case study organisations examined by this thesis is APROLEQ's use of paid employees to perform activities associated with both project and process/operational management. It should be noted that these employees are not development workers strategically placed to facilitate the activities of a local organisation, but rather professionals in their respective trades such as production management and accountancy.

In terms of project management the most important of these staff members is the full-time production technician who performs the role of project manager. Thus, the APROLEQ case study provides evidence of a local organisation able to engage in the self-management of productive projects, albeit with the assistance of professional salaried workers. Notably, the interviewee from Italian international NGO *Terre des Hommes Italia*, a long-term partner of OMICSE, argues that one factor likely to enhance prospects for self-management of development activities by OMICSE is the employment of full-time staff members.⁵⁵⁸

⁵⁵⁸ Interview with TdH representative, May 7th 2012.

Aside from some isolated examples, the evidence presented in this thesis has shown that, in many cases, local people and beneficiaries are some distance from achieving effective self-management of the project life cycle. Moreover, the original research evidences numerous instances of a fundamental misunderstanding of the reasons for which the project approach is pursued in preference to operational/process management.

At this point the present writer would reiterate his acceptance of some key points. Firstly, as evidenced by the research data, many people do not want to participate in development activities, and thus would not be interested in an increased participation during the project life cycle. Secondly, the financial and time implications of people's participation in development can be substantial. However, the development climate evidenced by this work is one in which local, self-managed productive/tourism development projects are increasingly being considered as a viable and desirable local development strategy.

8.5 Final Conclusions

Some of the challenges faced by Ecuadorean development, such as those connected with project and programme management and people's participation in local development, are framed by the country's position in comparison to lesser developed nations. As discussed by Biekart (2008: 71) and the interviewee from TdH,⁵⁵⁹ there is a general trend of withdrawal of aid from Latin America to poorer nations. Ecuador is a more developed country with more resources than others on which development discourse often centres.⁵⁶⁰

Another aspect of this relatively advanced stage of development concerns the fact that Ecuador has its own chapter with chartered status of the PMI.⁵⁶¹ Accordingly, evidence presented in this work shows that traditional project management and use of the PMA to manage the project life cycle to some extent influences Ecuadorean development. It is something of a paradox then that the research activities of this thesis have yielded so few examples of good project management practice in Ecuadorean development. To the contrary, in some cases data has shown that there is confusion concerning the fundamentals of the PMA.

The evidence presented in this work pertaining to project management and the PMA reflects many of the arguments made during the literary review. Instead of a clear consensus concerning the circumstances appropriate for the use of the PMA in development and/or the adequate provision of methods and processes for project life cycle management, the discourse surrounding development project management is often ambiguous. This argument is evidenced by the lack of consensus concerning the suitability of the PMA, debate over 'blueprint' and 'process' projects, and methodologies with gaps in relation to the project life cycle. In this context, the findings of this work relating to poor project management practice are unsurprising. The present writer concludes that a clearer

⁵⁵⁹ Interview 29, 28th November 2008, Quito.

⁵⁶⁰ This argument is made on the comparison of factors such as human development, as exemplified by the United Nations Development Programme's 'Index of Human development' published in 1995. This index rates Ecuador with a medium human development, in 82nd place in the list of countries (Vasquez & Saltos, 2006: 44).

⁵⁶¹ See: PMI (n.d.), available online at <http://www.pmi.org/Get-Involved/Chapters-PMI-Chapters.aspx>.

positioning of the PMA in global development discourse would assist the implementation of projects in contexts such as the one found in Ecuador.

Figure 8.3 displays the reasons for which ‘*local communities and local institutions have not played larger and more effective roles in rural development*’, according to Uphoff (2004: 63). While they may have historically been present in the Ecuadorean context, the research findings do not show that Uphoff’s external factors currently impact upon local development. To the contrary, the PNBV provides a decentralised policy environment that supports local action.

Figure 8.3 – Factors preventing a larger and more effective role being played by Local Institutions in Local Development

Internal	<ul style="list-style-type: none"> • Internal Conflicts • Lack of education, experience and skill • A psychology of dependency • Sense of inefficacy • Domination by certain local groups having no real interest in social and economic change
External	<ul style="list-style-type: none"> • Policy environments that don’t favour and support local action • Over-centralisation of government • A psychology of paternalism • Financial interests that benefit extracting local resources • Divisions along ethnic or social fault-lines

Source: Author’s elaboration from observations made by Uphoff (2004)

Additionally, while internal factors such as ‘conflict’ and ‘sense of inefficacy’ are evidenced by the research findings, they do not provide a complete or sufficient explanation for the Ecuadorean context. It is here argued that two additional external factors impact on Uphoff’s internal factor of ‘Lack of education, experience and skill’ in terms of locally managed productive/tourism development. A lack of methods for the self-management of the project life cycle by local people and organisations, and a failure of NGOs to build local

capacities for management of the project life cycle are both evidenced by the research findings.

This conclusion is currently relevant to Ecuadorean development due to the prevalence of programme and project activity evidenced by the original research, and due to the trend towards the self-management of projects by local people and organisations. Indeed, projects and interventions encompassed by the activities of APROLEQ and the Middle of the World tourism programme finally require such self-management by local organisations. The present writer has argued that in scenarios such as the 'Middle of the World' where a 'process programme' is implemented in a local setting by an international NGO, the lack of focus on project management means that local actors are ill-prepared to execute projects and programmes on an autonomous basis. However, if the final goal of productive development projects is self-management by local actors, it is further argued that the skills related to the management of the project life cycle are a necessary requirement for the transition from participation in to self-management of development projects.

The overarching conclusion of this work is that people's participation in Ecuadorean regional and local development is currently curtailed by a lack of processes and methods for participatory project life cycle management and an over-reliance on participatory democracy. In terms of the project life cycle, it is recommended that development actors and scholars consider local people's participation in and management of the project life cycle, a shift away from the current emphasis on participation in project planning, monitoring and evaluation.

Such a strategy would also widen participatory practices beyond participatory democracy by focusing on approaches to participation in development at local level. In the opinion of this writer an increased involvement in the project life cycle would also enable local people to attain benefits of 'as an end' participation, such as empowerment and confidence-building, as well as experience of participation 'as a means' of project management. Moreover, the present popularity of local productive and tourism development projects in Ecuador provides the contextual opportunity to achieve this objective.

Appendix

Appendix 1 – Example Email and Interview Survey (Translated to English)

Question 1

What types of development activity do you engage in?

- | | | | |
|-------------------------------|-----------------|---|-----------------------------------|
| Health ----- | Education ----- | Women's rights and issues ---- | Children's rights and issues ---- |
| Social ----- | Cultural ----- | Economic / Financing / Diversification ---- | |
| Transport / Construction ---- | | Environmental ---- | |

Question 2

With whom do you work?

- Individuals ---- Local communities ---- Cantonal or provincial government ----

Other (Please Specify) _____

Question 3

How do you manage this work?

- Projects ---- Ongoing work ---- Both ----

Other (Please specify) _____

If you have answered that you do at least some project work, move onto question 5.

If you don't do any project work at all, answer question 4, which will be the final relevant question... and thank you for your time!

Question 4

Why don't you perform any project work? Please answer using the most relevant

	Strongly Agree	Agree	Don't know	Disagree Strongly	Disagree
Project work is not suitable to what we do	----	----	----	----	----
We prefer to work with long-term change processes	----	----	----	----	----
The available methods for project mgmt aren't good enough	----	----	----	----	----
Lack of suitable expertise to manage projects	----	----	----	----	----

Question 5

To manage projects, what type of approach do you use?

Logical Planning approach	----	Participatory	----	Both	----
---------------------------	------	---------------	------	------	------

Other (Please Specify) _____

Question 6

What type of project work do you perform?

Planning & Formulation	----	Implementation & Control	----	Monitoring & Evaluation	----
------------------------	------	--------------------------	------	-------------------------	------

Question 7

Which of the following best describes your project methods?

- They are well established, we have used them for a long time
- They are new, but well established
- They are subject to frequent change
- We don't have set processes or methods for some activities
- We don't have any set processes or methods

Question 8

Who has responsibility for the management of the following project processes?

	NGO staff	Local people	Local gov	Outside agencies	Mixture
Planning	----	----	----	----	----
M&E	----	----	----	----	----
Execution & Control	----	----	----	----	----

Question 9

How would you rate the project processes and methods that your organisation currently uses for:

	Very good	Good	OK	Poor	Very poor
Planning	----	----	----	----	----
M&E	----	----	----	----	----
Execution & Control	----	----	----	----	----

Question 10

How would you rate the performance and results of the projects in which your organisation is involved?

	Very good	Good	OK	Poor	Very poor
Planning	----	----	----	----	----
M&E	----	----	----	----	----
Execution & Control	----	----	----	----	----

Question 11

How would you describe the involvement of local people in your projects?

- No participation
- Consultative participation
- Participation in decision-making
- Participation in all aspects
- Self-management

Question 12

Which of the following do you think could increase local involvement in development projects?

- More or better planning tools
- More or better training
- More or better tools for M&E
- More or better facilities
- More or better tools for implementation

Question 13

Please add any comments concerning how you believe development projects in Ecuador could be managed better.....

Thank you for your time.

**Appendix 2 – Interviews and Informal Discussions with Development Organisations
working in Ecuador**

Interview 1

Organisation: Comunidec
Interviewee: Victor Hugo Torres Davila
Date: 28th February 2007
5th March 2007
Place: Quito, Ecuador

Interview 2

Organisation: *Fundación* Maria Luisa Gómez de la Torre
Interviewee: Fernando Buendia
Date: 11th April 2007
Place: Quito, Ecuador

Interview 3

Organisation: CESODE (*Corporación de Estudios Ecuatorianos y Sociales para el
Desarrollo*, Corporation of Ecuadorean and Social Studies for Development)
Interviewee: Carlos Calderón
Date: 28th July 2008
Place: Quito, Ecuador

Interview 4

Organisation: CARE Ecuador
Interviewee:
Date: 9th July 2008
Place: Quito, Ecuador

Interview 5

Organisation: ILDIS (*Instituto Latinoamericano de Investigaciones Sociales*, Latin
American Institute of Social Investigations)
Interviewee: Gustavo Endara
Date: 29th July 2008
Place: Quito, Ecuador

Interview 6

Organisation: Machangarasoft
Interviewee:
Date: 29th July 2008
Place: Quito, Ecuador

Interview 7

Organisation: *Fundación Servir* (Foundation 'Serve')
Interviewee:
Date: 1st August 2008
Place: Quito, Ecuador

Interview 8

Organisation: CEDECOOP (*Corporación de Estudios y Desarrollo Cooperativo*, Corporation of Studies and Cooperative Development)

Interviewee: Sergio Castillo Paez

Date: 5th August, 2008

Place: Quito, Ecuador

Interview 9

Organisation: CIDES (*Comisión Interamericana de Desarrollo Social*, Inter-American Commission of Social Development)

Interviewee:

Date: 6th August, 2008

Place: Quito, Ecuador

Interview 10

Organisation: CEPDS (*Centro de Estudios de Población y Desarrollo Social*, Centre of Population and Social Development Studies)

Interviewee:

Date: 6th August, 2008

Place: Quito, Ecuador

Interview 11

Organisation: *Fundación Fordes*

Interviewee: Héctor Jara Martínez

Date: 12th August, 2008

Place: Quito, Ecuador

Interview 12

Organisation: *Fundación Innovar*

Interviewees: Fausto Andrade & Marco Oviedo

Date: 13th August, 2008

Place: Quito, Ecuador

Interview 13

Organisation: *Fundación Ecopar*

Interviewee:

Date: 14th August, 2008

Place: Quito, Ecuador

Interview 14

Organisation: *Fundación Yanapuma*

Interviewee:

Date: 20th August, 2008

Place: Quito, Ecuador

Interview 15

Organisation: *Fundación Fabian Ponce*

Interviewee:

Date: 27th August, 2008

Place: Quito, Ecuador

Interview 16

Organisation: PRODES (*Fundación Progreso y Desarrollo*, Foundation Progress and Development)

Interviewee:

Date: 29th August, 2008

Place: Quito, Ecuador

Interview 17

Organisation: *Fundación Funhabit*

Interviewee:

Date: 29th August, 2008

Place: Quito, Ecuador

Interview 18

Organisation: FIAAM (*Fundación de Investigaciones Andino Amazónicas*, Foundation of Andean Amazonian Investigations)

Interviewee: Salomón Cuesta Zapata

Date: 29th August, 2008

Place: Quito, Ecuador

Interview 19

Organisation: INEDES (*Instituto Ecuatoriano para el Desarrollo Social*, Ecuadorean Institute for Social Development)

Interviewee:

Date: 2nd September, 2008

Place: Quito, Ecuador

Interview 20

Organisation: *Fundación Alternativa* (Foundation 'Alternative')

Interviewee: Alejandra Caicedo

Date: 4th September, 2008

Place: Quito, Ecuador

Interview 21

Organisation: *Corporación Participación Ciudadana* (Corporation Citizen Participation)

Interviewee:

Date: 5th September, 2008

Place: Quito, Ecuador

Interview 22

Organisation: SNV (Netherlands Development Organisation)
Interviewee: Alex
Date: 9th September, 2008
Place: Quito, Ecuador

Interview 23

Organisation: SNV (Netherlands Development Organisation)
Interviewee: Carlos
Date: 9th September, 2008
Place: Quito, Ecuador

Interview 24

Organisation: *Fondo Agil* (Agile Fund)
Interviewee:
Date: 17th November, 2008
Place: Quito, Ecuador

Interview 25

Organisation: *Corporación Tecnica Sueca* (Swedish Technical Corporation)
Interviewee:
Date: 17th November, 2008
Place: Quito, Ecuador

Interview 26

Organisation: GTZ (German Technical Cooperation)
Interviewee: Manfred Ebertseder
Date: 17th November, 2008
Place: Quito, Ecuador

Interview 27

Organisation: Children International
Interviewee:
Date: 21st November, 2008
Place: Quito, Ecuador

Interview 28

Organisation: IEE (Instituto de Estudios Ecuatorianos, Institute of Ecuadorean Studies)
Interviewee:
Date: 21st November, 2008
Place: Quito, Ecuador

Interview 29

Organisation: Terre des Hommes Italia (TdH, Earth of Men Italy)
Interviewee: Pierpaolo Biagi
Date: 28th November, 2008
Place: Quito, Ecuador

Interview 30

Organisation: Fundación Esquel
Interviewee:
Date: 2nd December, 2008
Place: Quito, Ecuador

Interview 31

Organisation: *Red Infodesarrollo* (Network 'Infodesarrollo')
Interviewee: Paula Carrión
Date: 3rd December, 2008
Place: Quito, Ecuador

Interview 32

Organisation: *Fundación Camari*
Interviewee:
Date: 3rd December, 2008
Place: Quito, Ecuador

Interview 33

Organisation: SERPAJ (Servicio Paz y Justicia, Service, Peace and Justice)
Interviewee: Gualdemar Jiménez
Date: 3rd December, 2008
Place: Quito, Ecuador

Interview 34

Organisation: *Fundación Ciudad* (Foundation 'City')
Interviewee:
Date: 8th December, 2008
Place: Quito, Ecuador

Interview 35

Organisation: Conservación & Desarrollo (Conservation & Development)
Interviewee: Alfredo Dueñas
Date: 8th December, 2008
Place: Quito, Ecuador

Interview 36

Organisation: APROLEQ (*Asociación de Productores y Comercializadores de leche del Cantón Quero*, Association of Producers and Marketers of Milk from Canton Quero)

Interviewee: Efrain Caina

Date: 9th December, 2008

Place: Quito, Ecuador

Interview 37

Organisation: *Fundación Safiqui*

Interviewee: José García

Date: 10th December, 2008

Place: Quito, Ecuador

Interview 38

Organisations: *Fundación Stratega & Fundación Educate*

Interviewee: Iván Hernández

Date: 12th December, 2008

Place: Quito, Ecuador

Interview 39

Organisation: *Organización*

Interviewee:

Date: 16th December, 2008

Place: Quito, Ecuador

Interview 40

Organisation: *Aldeas Infantiles SOS Ecuador* (Aldeas Children SOS Ecuador)

Interviewee:

Date: 18th December, 2008

Place: Quito, Ecuador

Interview 41

Organisation: VVOB (*Asociación Flamenca Cooperación al Desarrollo*, Flemish Association for Cooperation to Development)

Interviewee: Lépidia Colobón

Date: 22nd December, 2008

Place: Quito, Ecuador

Interview 42

Organisation: CEA (*Coordinadora Ecuatoriana de Agroecológica*, Ecuadorean Coordinator of Agricultural Ecology)

Interviewee:

Date: 8th January, 2009

Place: Quito, Ecuador

Interview 43

Organisation: *Terra Nueva* (New Earth)

Interviewee:

Date: 16th November, 2010

Place: Quito, Ecuador

Interview 44

Organisation: *Ideas en Concreto* (Concrete Ideas)

Interviewee: Jose Garcia

Date: 13th February, 2012

Place: Quito, Ecuador

Interview 45

Organisation: *Movimiento Alianza Pais* (Movement 'Country Alliance')

Interviewee: Manuel Pennifiel and Mercedes Ortiz Albuja

Date: 16th September, 2010

Place: Quito, Ecuador

Discussion 1

Organisation: INEC (*Instituto Nacional de Estadisticas y Censos*, National Institute of Statistics and Censuses)

Interviewee: Claudio Gallardo

Date: 27th August, 2008

Place: Quito, Ecuador

Discussion 2

Organisation: SIISE (*Sistema Integrado de Indicadores Sociales de Ecuador*, Integrated System of Social Indicators of Ecuador)

Interviewee: Rosario Maldonado

Date: 28th August, 2008

Place: Quito, Ecuador

Discussion 3

Organisation: European Commission Mission to Ecuador

Interviewee: Jose Luis Martinez

Date: 21st October, 2008

Place: Quito, Ecuador

Discussion 4

Organisation: UNDP (United Nations Development Program)

Interviewee: Carla Rossignoli

Date: 18th December, 2008

Place: Quito, Ecuador

Discussion 5

Organisation: UNDP PPD (United Nations Development Program *Programa de Pequeñas Donaciones*, Small Grants Programme)

Interviewee: María Alicia Eguiguren

Date: 18th December, 2008

Place: Quito, Ecuador

Email Reply 1

Organisation: *Corporación de Desarrollo Social Arenillas* (Corporation of Social Development 'Arenillas')

Interviewee: David Olaya

Date: 9th December 2008

Field Visit 1

Organisation: APROLEQ (*Asociación de Productores y Comercializadores de leche del Cantón Quero*, Association of Producers and Marketers of Milk from Canton Quero)

Interviewee: Efrain Caina

Date: 13th June, 2009

Place: Quero, Tungurahua, Ecuador

Appendix 3 – Provinces of Ecuador

Source: *Noticias de Ecuador* (n.d.)



Appendix 4 – Advantages and Limitations of the Project Approach in International Development

Sources: Author's elaboration after: Pan African Institute for Development (1981), Thomas (2000) and Wield (2003)

Advantages of the Project Approach

- The project clarifies the relationships between an action and the expected results
- The project facilitates management and shows the interest of control and evaluation of resource use
- A project takes into account constraints and prevents diversion from the original needs for which a project is designed
- The emphasis put on project goals sets up a solid base for rational action: it makes clear the requirements which will arise from the activities and suggests that results can be measured
- Projects facilitate cooperation between different partners, both national and foreign: it becomes easier for individuals and institutes to work together on a project than in the case of less clearly defined activities. The detailed study which is necessary for a project means that it appears less risky to the different partners, as costs can be controlled and the limit of each partner's participation and powers is spelt out. Besides this, in cases where there are differences of interest between the forces present, the project approach can bring the different partners to agree on how to work together, thus minimising any ambiguity in the final aims of the project and the means of achieving them
- The project approach can increase the rationality of important decisions: it is usual that the goals and the resources to be used in a project are examined closely by the use of feasibility studies and an examination of economic desirability during the design stage

Limitations of the Project Approach

- The concentration on defining what is required and completing the tasks by the best means available, appears to downplay the possibility that the way a task is performed may affect the outcomes and hence the achievement of goals. In effect, people's ideas are not taken into account
- It ignores the importance of acting consistently with the organisation's own values in order to reinforce those values and thus the organisation's culture and sense of worth
- It is important that good development management promotes the values of development. However this is very difficult in a task-oriented scenario
- Project Methods focus on the project to the neglect of the wider context
- Project design needs to be adjusted more and more often within an unstable environment, such as those in the developing world
- In the same physical scenario there can be several different projects at work that each affect each other, or another project's environment

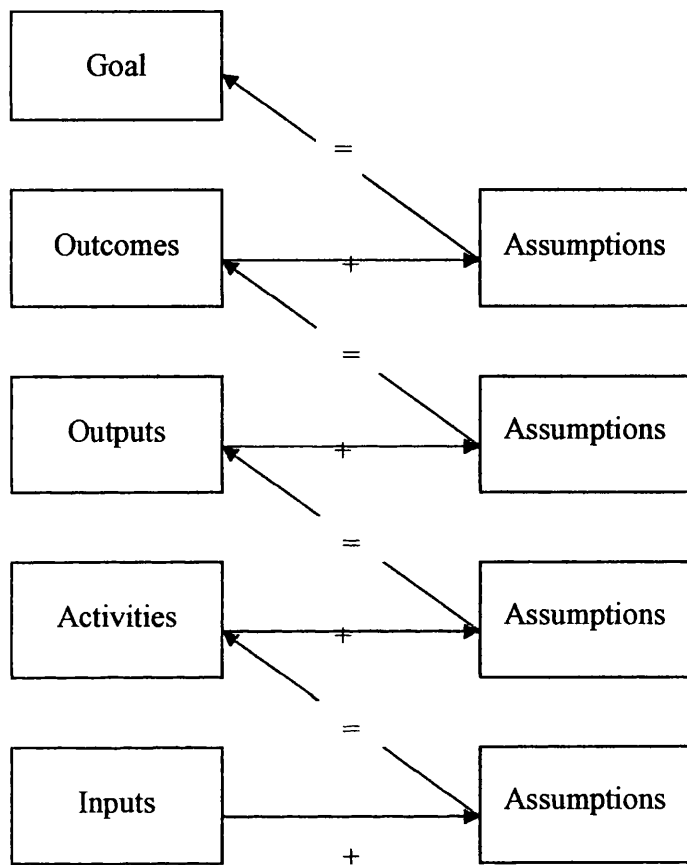
Appendix 5 – A Typical Logical Framework Matrix Format

Source: Gasper (2000)

Hierarchy of Objectives	Performance Indicators	Data Sources	Assumptions and Risks
Goal Longer-term project impact	Measurable indicators for goal	Data sources for verifying status of Goal-level indicators	Assumptions/risks between Goal and Super-Goal
Purpose Near-term project impact. The essential motivation for undertaking the project	Measurable indicators for End-of-project Impact	Data sources for verifying status of Purpose-level indicators	Assumptions/risks between Purpose and Goal
Outputs The deliverables of the project	Measurable indicators for Outputs	Data sources for verifying status of Output-level indicators	Assumptions/risks between Outputs and Purpose
Activities Smaller work packages needed to accomplish each output	Budget Summary	Data sources for verifying status of budget and Activities	Assumptions/risks between Activities and Outputs

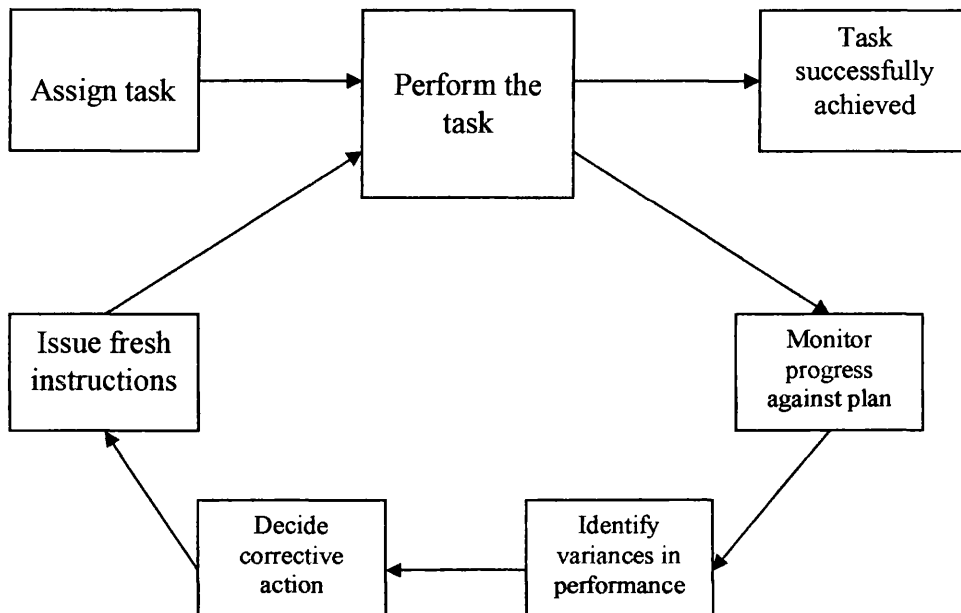
Appendix 6 – The ‘IF-AND-THEN’ Relationships which Underpin the Vertical Logic of the Logframe

Source: AusAID (2000, cited by Crawford & Bryce, 2003)



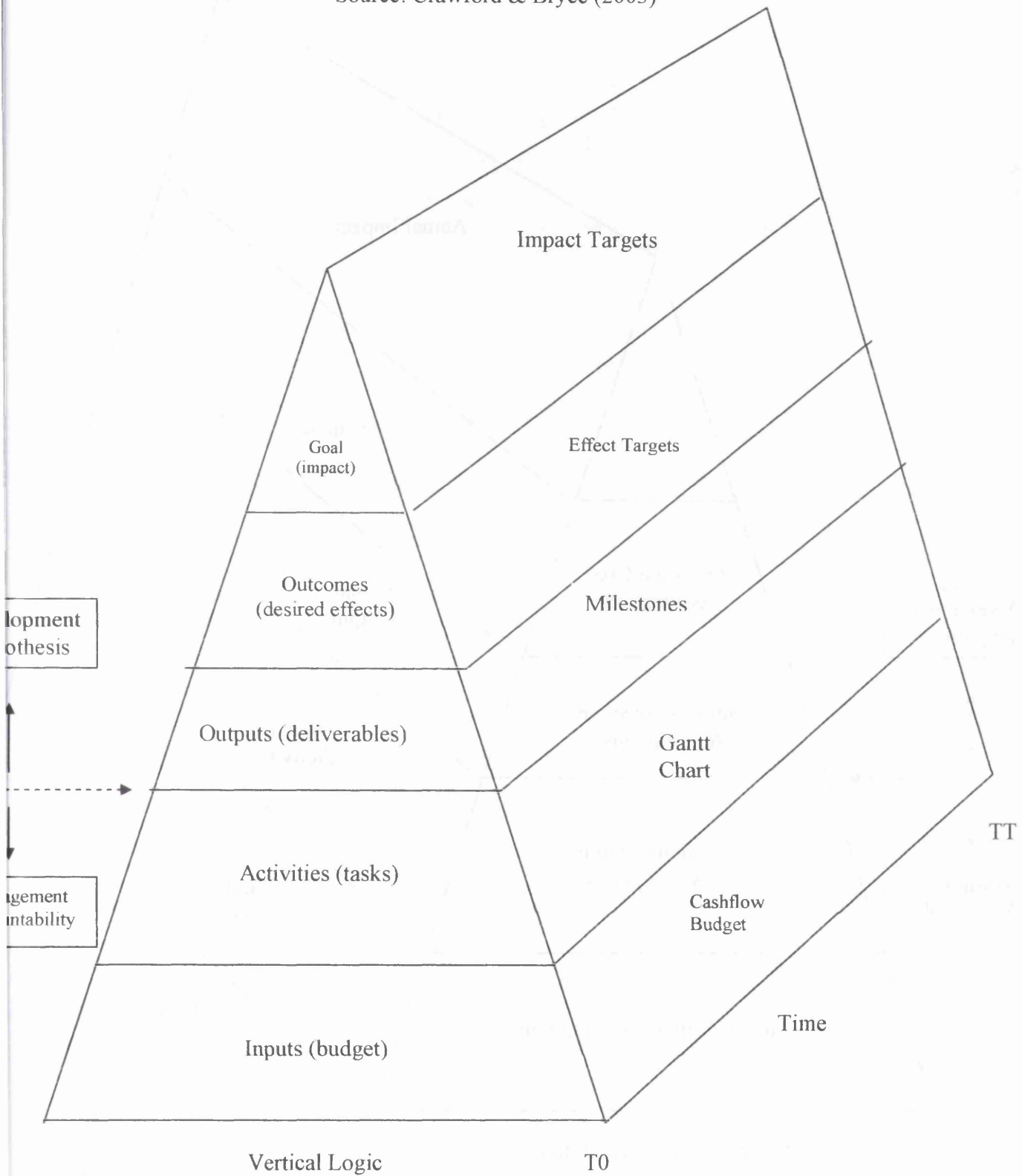
Appendix 7 – Project Processing as a Closed Control Loop

Source: Lock (2000)



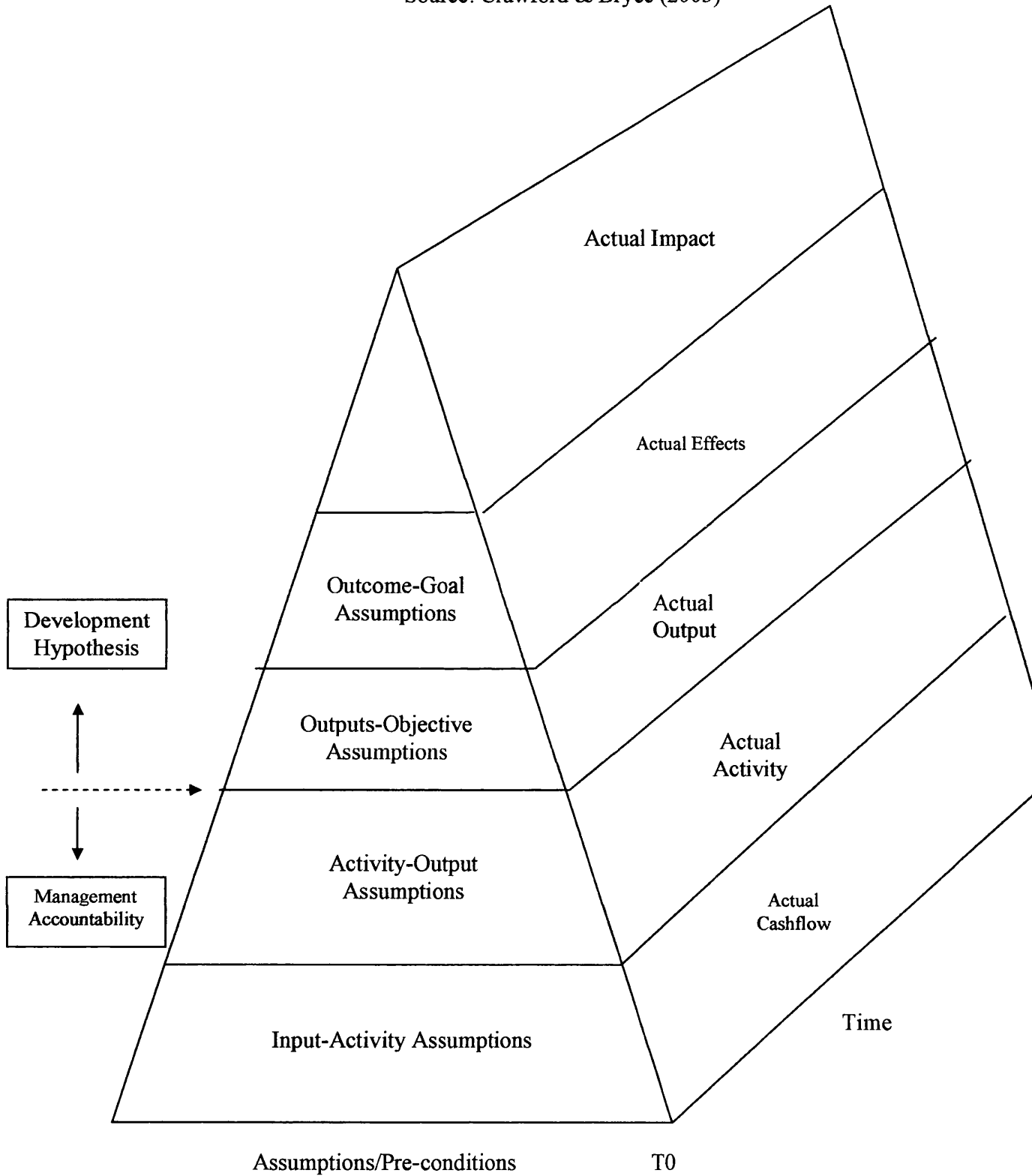
Appendix 8 – The Frontal Perspective of the 3D-Logframe showing the ‘Project Planner’s View’

Source: Crawford & Bryce (2003)



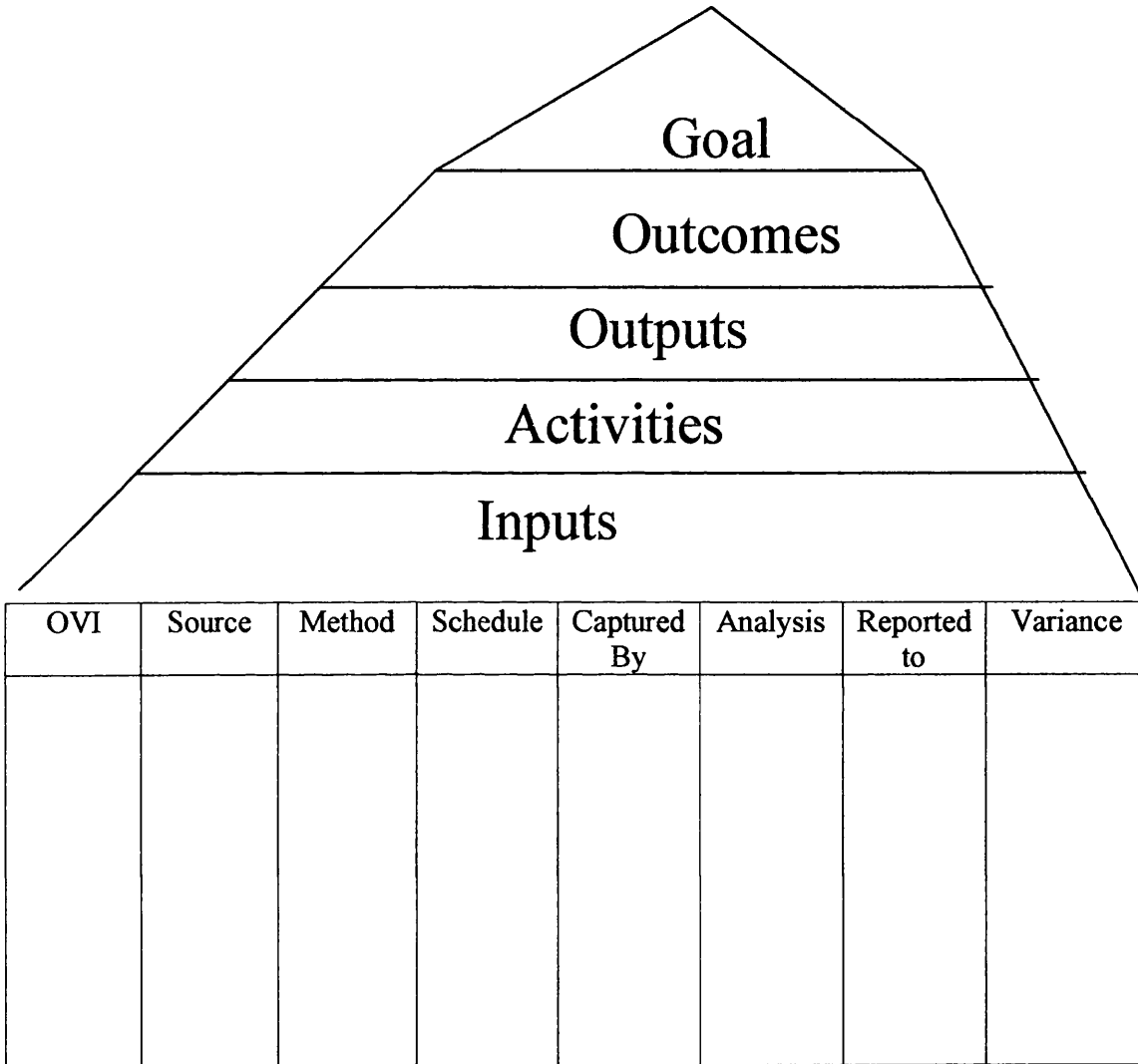
Appendix 9 – The Rear Perspective of the 3D-Logframe showing the Logical Assumptions and the ‘Project Manger’s View’

Source: Crawford & Bryce (2003)



**Appendix 10 –The Base of the 3D-Logframe showing the Elements of the MEIS
Defined for each Layer in the Vertical Logic**

Source: Crawford & Bryce (2003)



Appendix 11 – A Typology of People’s Participation in Development

Source: Mikkelsen (2005, after Pretty, Scoones, Guijit & Thompson, 1995)

- **Passive participation** - Information shared with external professionals, people told what is going on
- **Participation in information giving** – People answer questions posed by external parties, but the information is not shared with them
- **Participation by consultation** – People share their views to problems defined by external parties, no obligation for sharing information
- **Participation for material incentives** – People provide resources such as labour and land in return for cash or other
- **Functional Participation** – People join groups or committees in initiatives set-up externally, which can continue to function after external involvement
- **Interactive participation** – People form groups to become involved in analysis and development of action plans. Groups take control of local decisions
- **Self-mobilisation** – People take the initiative to change systems, although they can be given assistance in an enabling framework

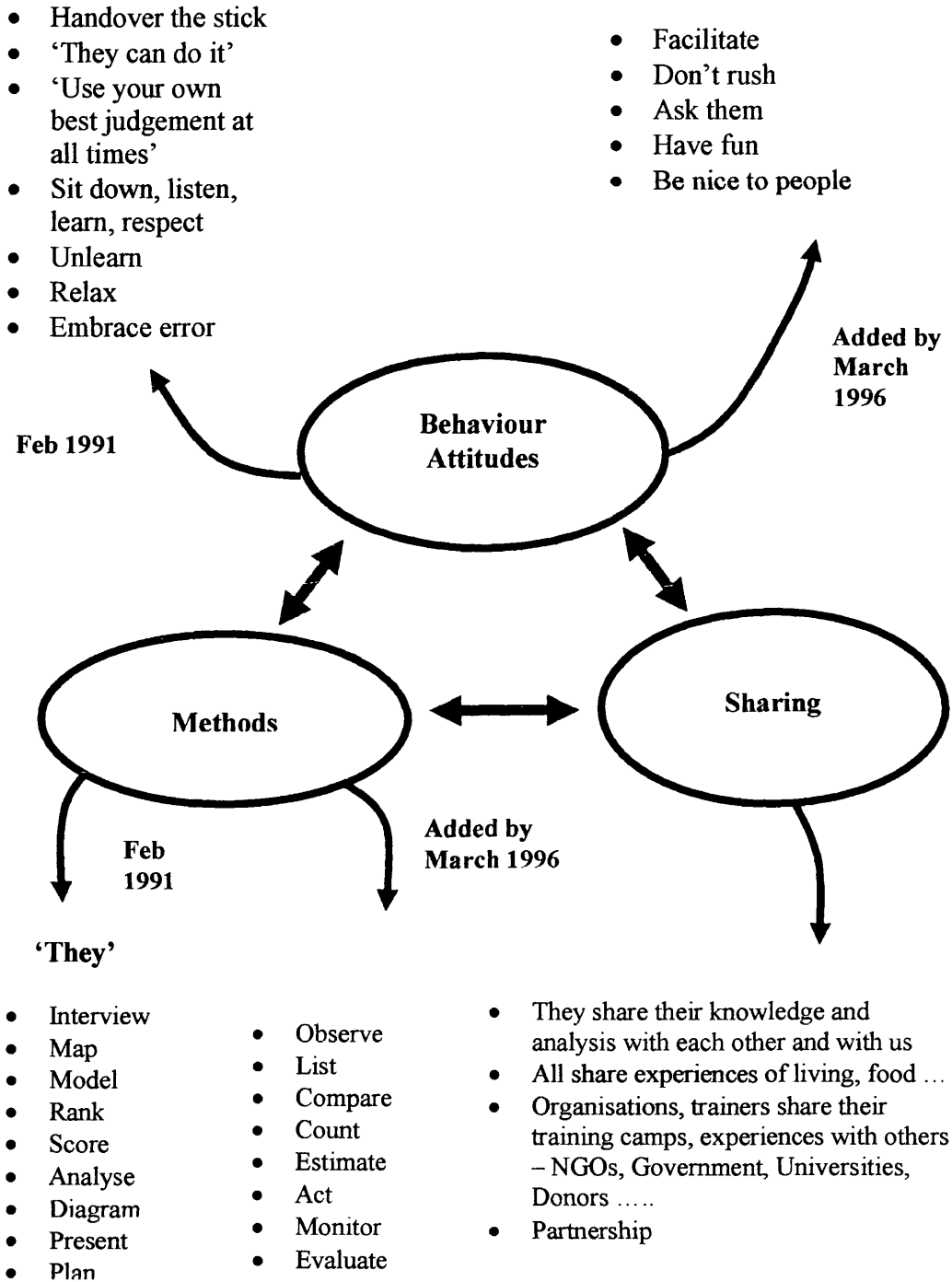
Appendix 12 – A Typology of Interests in Participation

Source: Mikkelsen (2005, after: Nilsson, & Woodford-Berger, 2000)

Form of Participation	What ‘Participation’ means to the implementing agency	What ‘Participation’ means for those on the receiving end	What ‘Participation’ is for (The purpose)
Nominal	Legitimization – To show that they are doing something	Inclusion – To retain some access to potential benefits	Display
Instrumental	Efficiency – To limit funders’ input and make projects more effective	Cost – Of time spent on project-related labour and on other activities	As a means to achieving cost-effectiveness and local facilities
Representative	Sustainability – To avoid creating dependency	Leverage – To influence the shape of the project and its management	To give people a voice in determining their own development
Transformative	Empowerment – To enable people to make their own decisions, work out what to do and take action	Empowerment – To be able to decide and act for themselves	Both as a means and an end, a continuing dynamic

Appendix 13 – The 3 Pillars of PRA

Source: Chambers (1997)



Appendix 14 – Classification of PRA Methods by Space, Time and Relations

Source: Mikkelsen (2005)

Space related PRA Methods

- Social maps
- Resource maps
- Participatory modelling methods
- Mobility maps
- Services and opportunities maps
- Transects
- Participatory Census Methods

PRA Relational Methods – including Ranking & Prioritising

- Cause-effect diagram
- Impact diagram
- Systems diagram
- Network diagram
- Process map
- Well-being ranking methods
- Venn diagram
- Pair-wise ranking method
- Matrix ranking/scoring method
- Force field analysis
- Pie diagram
- Livelihood analysis
- Spider diagram
- Body mapping

Time-related PRA Methods

- Time line
- Trend analysis
- Historical transect
- Seasonal diagram
- Daily activity schedule
- Participatory genealogy method
- Dream map

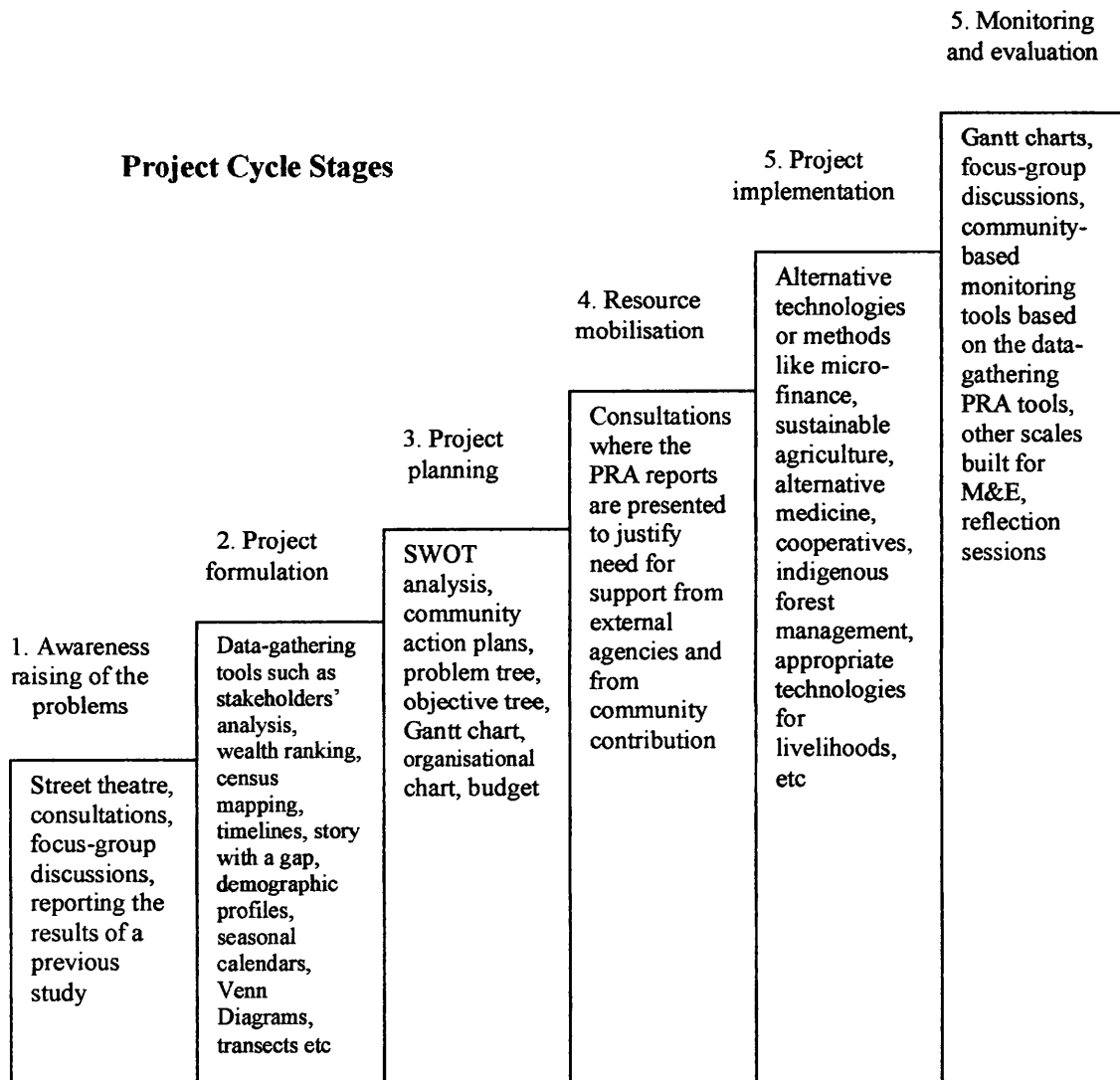
Appendix 15 – Tools for Enabling Participatory Learning at Different Stages in the Project Development Cycle

Source: IFAD, ANGROC & IIRR (2003)

Tools	Situation analysis	Planning	Implementation	Monitoring	Evaluation
Secondary data analysis	YES	YES			
Social & resource mapping	YES	YES		YES	YES
Seasonality charts	YES	YES		YES	YES
Historical timeline	YES				
Daily activity charts	YES			YES	YES
Wealth & well-being ranking	YES			YES	YES
Livelihood profiles	YES				YES
Matrix ranking / paired ranking	YES				
Venn diagramming	YES			YES	YES
Semi-structured interviews	YES			YES	
Problem analysis	YES	YES			YES
Objectives analysis		YES			
Alternatives analysis / options assessment		YES			YES
Project planning matrix		YES	YES	YES	
Gantt / flowchart		YES	YES	YES	
Stakeholders workshops	YES	YES			YES
SWOT analysis		YES		YES	YES
Group discussion	YES	YES	YES	YES	YES
Joint field visits	YES	YES	YES	YES	YES
Brainstorming	YES	YES	YES	YES	YES

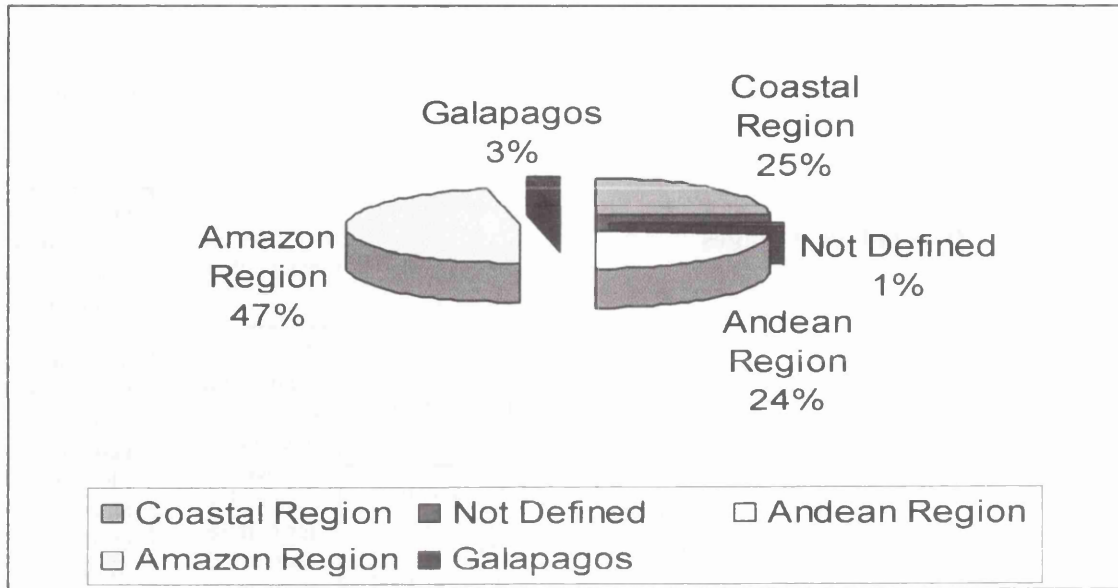
Appendix 16 – Matching the Different PRA Tools to Each Step in the Project Cycle

Source: IFAD, ANGROC & IIRR (2003)



Appendix 17 - Territorial Distribution by Region of Ecuador

Source: Vázquez & Saltos (2006)



Appendix 18 – Geographical Map of Ecuador

Source: Keese & Argudo (2006)



Appendix 19 - Provinces of Ecuador: Areas, Populations and Cantons

Source: Vázquez & Saltos (2006, after INEC, 2001)

PROVINCES OF ECUADOR				
Province	Capital	Area Km2	Population	Number of Cantons
COASTAL REGION				
Esmeraldas	Esmeraldas	15,916	385,223	7
Manabí	Portoviejo	18,400	1,186,025	22
Guayas	Guayaquil	20,902	3,309,034	28
Los Ríos	Babahoyo	6,254	650,178	12
El Oro	Machala	5,988	525,763	14
ANDEAN REGION				
Carchi	Tulcán	3,699	152,939	6
Imbabura	Ibarra	4,986	344,044	6
Pichincha	Quito	16,559	2,388,817	9
Cotopaxi	Latacunga	5,287	349,540	7
Tungurahua	Ambato	2,896	441,034	9
Bolivar	Guaranda	3,254	169,370	7
Chimborazo	Riobamba	5,673	403,632	10
Cañar	Azogues	3,908	206,981	7
Azuay	Cuenca	7,701	599,546	14
Loja	Loja	10,793	404,835	16
AMAZON REGION				
Sucumbíos	Nueva Loja	18,612	128,995	7
Napo	Tena	11,409	79,139	5
Orellana	Pto Frco. de Orellana	22,000	86,493	4
Pastaza	Puyo	29,520	61,779	4
Morona Santiago	Macas	28,915	115,412	11
Zamora Chinchipe	Zamora	20,681	76,601	8
GALAPAGOS				
Galápagos	Pto. Baquerizo Moreno	8,010	18,640	3

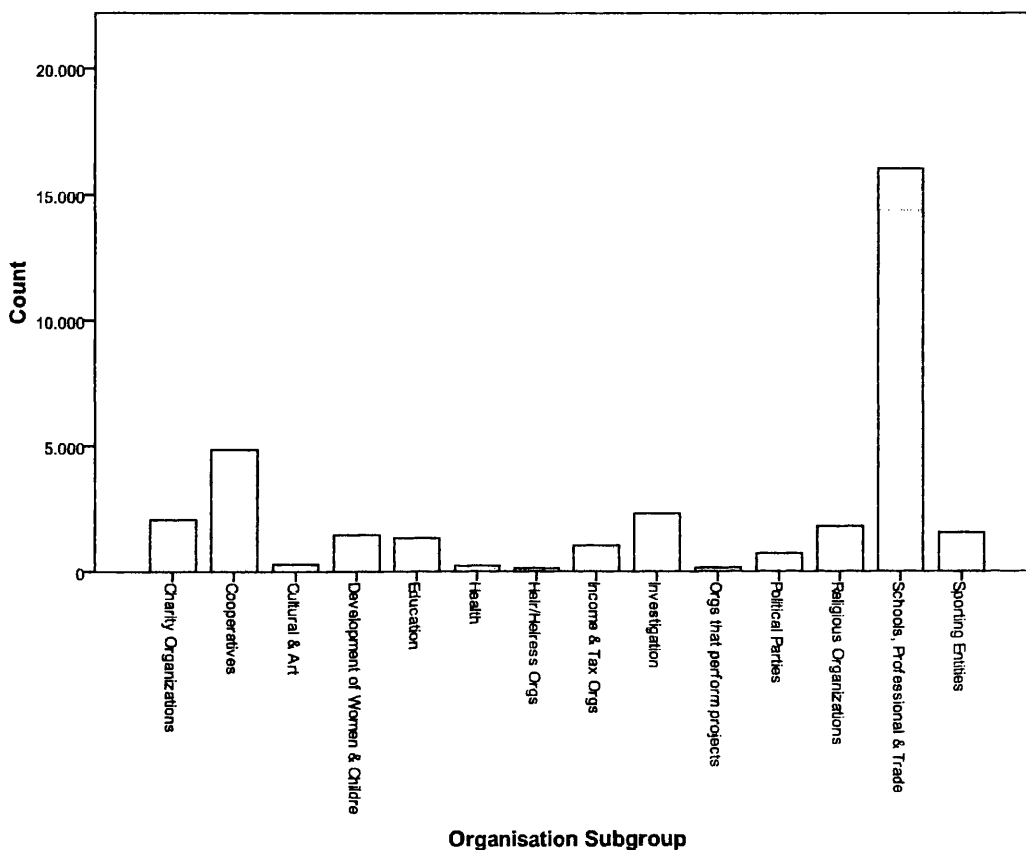
Appendix 20 - Ecuadorean Political Administrative Structure

Source: Adapted from Vazquez & Saltos (2006) and *Red de Centros Educativos* (Networks of Education Centres) (Accessed 2010)

Administrative Level	Organism/Authority
National Congress	President / Congress members
Province	<p>Provincial Council / Councillors</p> <p>The Prefect is an elected leader of the Provincial council</p> <p>A provincial Governor is appointed by the president to oversee provincial activities</p>
Canton	<p>City/Town Council / Mayor / City/Town Councillors</p> <p>The Mayor is an elected leader of the city/town council</p> <p>A Political chief is appointed by the president to oversee cantonal activities</p>
Parroquia (Parish)	Parroquial Assembly / Assembly President

Appendix 21 – Ecuadorean NGOs registered with the MCDS categorised by Organisation Subgroup

n=33,998

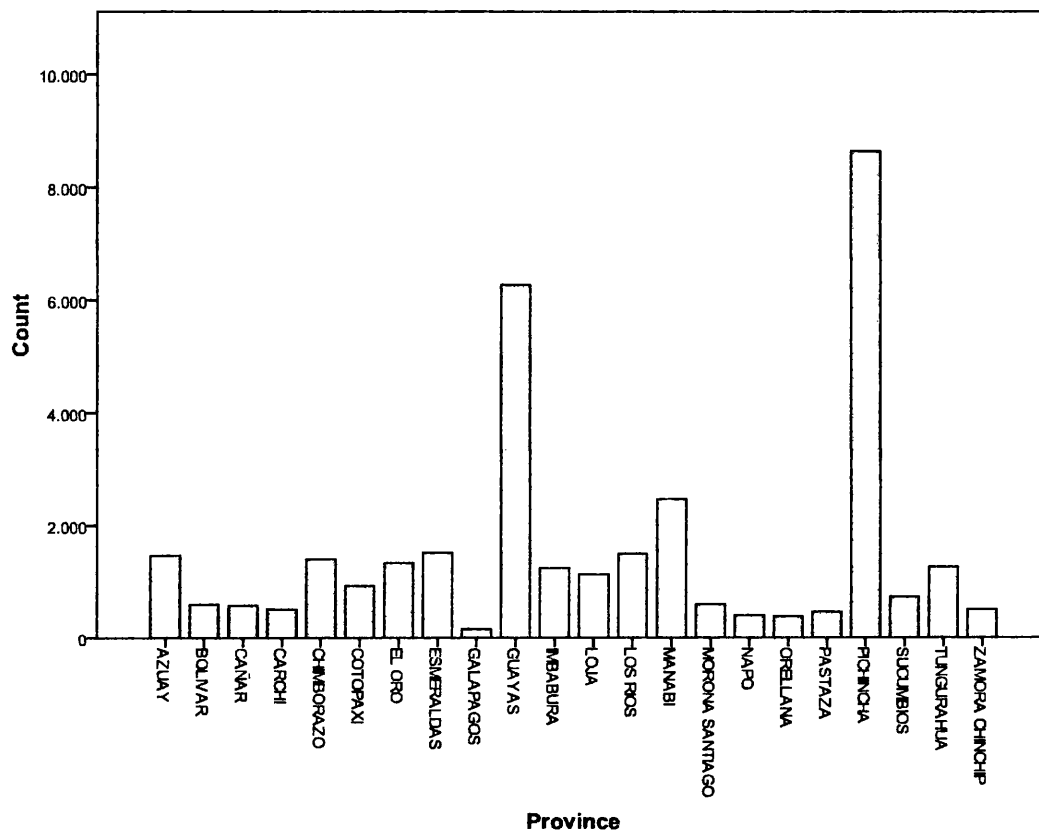


Organisation Subgroup	Count	Percentage
Charity Organisations	2069	6.1%
Cooperatives	4880	14.3%
Cultural & Art	292	0.9%
Development of Women & Children	1452	4.3%
Education	1330	3.9%
Health	244	0.7%
Heir/Heiress Orgs	137	0.4%
Income & Tax Orgs	1041	3.1%
Investigation	2304	6.8%
Orgs that perform projects with Exterior Funds	143	0.4%
Political Parties	718	2.1%
Religious Organisations	1794	5.3%
Schools, Professional & Trade	16043	47.2%
Sporting Entities	1551	4.6%

Source: MCDS Database (2006)

Appendix 22 – Ecuadorean NGOs registered with the MCDS categorised by Province

n=33,998



Province	Count	Percentage
Azuay	1469	4.3%
Bolivar	595	1.8%
Cañar	574	1.7%
Carchi	513	1.5%
Chimborazo	1395	4.1%
Cotopaxi	921	2.7%
El Oro	1331	3.9%
Esmeraldas	1515	4.5%
Galápagos	145	0.4%
Guayas	6265	18.4%
Imbabura	1242	3.7%
Loja	1126	3.3%
Los Ríos	1493	4.4%
Manabí	2461	7.2%
Morona Santiago	594	1.7%
Napo	393	1.2%
Orellana	380	1.1%
Pastaza	463	1.4%
Pichincha	8635	25.4%
Sucumbios	729	2.1%
Tungurahua	1260	3.7%
Zamora Chinchipe	499	1.5%

Source: MCDS Database (2006)

Appendix 23 – Development Organisation Survey Respondents

Case Number	Survey Type	Organisation name	Org Type	Org subgroup	Province	Canton
Case 1	Interview	Conservacion & Desarrollo	1	1	19	QUITO
Case 2	Interview	CIUDAD Terra des	1	7	19	QUITO
Case 3	Interview	Hommes	1	8	19	QUITO
Case 4	Interview	SAFIQUI	1	7	19	QUITO
Case 5	Interview	Conservacion Internacional	1	7	19	QUITO
Case 6	Interview	Fundacion Zoologica de Ecuador	2	7	19	QUITO
Case 7	Interview	Fundacion de Waal	2	11	19	QUITO
Case 8	Interview	Fondo Agil	1	11	19	QUITO
Case 9	Interview	Solidaridad Sueca America Latina	1	8	19	QUITO
Case 10	Interview	SNV	1	13	19	QUITO
Case 11	Interview	Red Infodesarrollo	1	7	19	QUITO
Case 12	Interview	SERPAJ	1	3	19	QUITO
Case 13	Interview	IEE	1	1	19	QUITO
Case 14	Interview	Instituto Latinoamericano de Investigaciones Sociales	1	8	19	QUITO
Case 15	Interview	Machangarasoft Corporacion	1	7	19	QUITO
Case 16	Interview	Ecopar	1	7	19	QUITO
Case 17	Interview	CARE Ecuador	1	11	19	QUITO
Case 18	Interview	FORDES	1	7	19	QUITO
Case 19	Interview	Centro de Estudios de Poblacion y Desarrollo Social	1	1	19	QUITO
Case 20	Interview	CEDECOOP	1	1	19	QUITO
Case 21	Interview	CIDES	1	1	19	QUITO
Case 22	Interview	Corporacion de Estudios Educativos y Sociales para el Desarrollo	1	1	19	QUITO
Case 23	Interview	Yanapuma	2	11	19	QUITO
Case 24	Interview	PRODES	2	1	19	QUITO
Case 25	Interview	Fabian Ponce	2	7	19	QUITO
Case 26	Interview	INEDES	2	7	19	QUITO

Case 27	Interview	Corporacion Participacion Ciudadana Fundacion	1	1	19	QUITO
Case 28	Interview	Alternativa Fundacion	2	7	19	QUITO
Case 29	Interview	CAMARI	2	1	19	QUITO
Case 30	Interview	Esquel	2	8	19	QUITO
Case 31	Interview	Children International Quito Fundacion	1	7	19	QUITO
Case 32	Interview	SERVIR Fundacion	2	7	19	QUITO
Case 33	Interview	Stratega	2	7	19	QUITO
Case 34	Interview	Fundacion E- ducate	2	1	19	QUITO
Case 35	Interview	Fundacion Ecuatoriana del Habitat	2	1	19	QUITO
Case 36	Email	Federacion de Organizaciones Culturales Afroecuatorianos	1	4	8	SAN LORENZO
Case 37	Email	Centro de Desarrollo Integral Tupigachi CEDIT	1	7	19	PEDRO MONCAYO
Case 38	Email	Unidad Educativa Daulis	1	3	10	DAULE
Case 39	Email	Fundacion para la investigacion Geologica Minera en el Ecuador	2	7	19	QUITO
Case 40	Email	Fundacion Verde Milenio	2	11	19	QUITO
Case 41	Email	Fundacion Desarrollo Integral para el Futuro FUDEN	2	11	19	QUITO
Case 42	Email	Asociacion de Productores y Comercializadores de Leche Canton Quero APROLEQ	1	1	21	QUERO
Case 43	Email	Fundacion Internacional para la Adolescencia Fundacion Amazonica "LEONIDAS PROAÑO" Para la Defensa de los Derechos	2	1	19	QUITO
Case 44	Email	Humanos y	2	1	20	LAGO AGRIO

		Ciudadanos				
Case 45	Email	Fundacion para el Desarrollo Humano	2	11	3	AZOGUES
Case 46	Email	Fundacion Baeza Nacionalidad Shiwiar del Ecuador	2	1	4	MIRA
Case 47	Email	Fundacion de Investigacion y Desarrollo Ecuatoriano	1	1	18	PASTAZA
Case 48	Email	Integral FIDELIS	2	7	19	QUITO
Case 49	Email	Fundacion de Vida, Realidad y Servicio	2	8	21	BAÑOS DE AGUAS
Case 50	Email	Fundacion Ecuatoriana de Fibrosis Quistica Corporacion Cultural	2	8	10	GUAYAQUIL
Case 51	Email	Imaginario	3	4	10	GUAYAQUIL
Case 52	Email	Fundacion Tankarana	2	7	18	ARAJUNO
Case 53	Email	Fundacion Desarrollo Verde	2	8	15	MORONA
Case 54	Email	Corporacion para la Prevencion de Embarazos no Deseados	3	1	19	QUITO
Case 55	Email	Fundacion Hermano Miguel Pichincha	2	12	19	QUITO
Case 56	Email	Fundacion para el Aseguramiento Popular en Materia de Salud	2	8	10	GUAYAQUIL
Case 57	Email	Corporacion Ornitologica del Ecuador CECIA	3	7	19	QUITO
Case 58	Email	Fundacion Comunidad, Ambiente y Desarrollo	2	8	19	QUITO
Case 59	Email	COADE Manos de Compasion Internacional	1	1	10	GUAYAQUIL
Case 60	Email	Fundacion Desarrollo Integral a Favor de la Vida	2	11	19	QUITO

Case 61	Email	Fundacion de Ayuda Social y Desarrollo Chontoa Urku Colegio de Sociologos de el Oro	2	1	18	PASTAZA
Case 62	Email	Iglesia del Pacto Evangelico del Ecuador	1	1	7	MACHALA
Case 63	Email	Fundacion Ambiente y Sociedad	2	7	19	QUITO
Case 64	Email	Fundacion Tierra Nueva Pichincha	2	8	19	QUITO
Case 65	Email	Cooperativa de Ahorro y Credito AMBACREDIT	1	2	21	AMBATO
Case 66	Interview	Organizacion Movimiento Ciudadano por la Democracia	1	7	19	QUITO
Case 67	Email	Fundacion de Desarrollo Comunitario sin Fronteras DECOF	2	7	12	LOJA
Case 68	Email	Fundacion Ecuatoriana Principios y Valores	2	1	10	GUAYAQUIL
Case 69	Email	Proyecto Fortalecimiento de los Servicios Publicos de Atencion de Salud en el Distrito Metropolitano de Quito	1	13	19	QUITO
Case 70	Email	Fundacion Ecuatoriana para el Medio Ambiente Andino FUEMA	2	7	19	PEDRO MONCAYO
Case 71	Email	Fundacion para el Fomento de la Pequeña Industria AYUDEMOS	2	1	19	QUITO
Case 72	Email	Centro de Gestion Comunitaria de la Puntilla	1	1	7	EL GUABO
Case 73	Email	Fundacion Ecuatoriana para el Desarrollo Productivo y Popular FEDEPP	2	1	19	QUITO
Case 74	Email					

Case 75	Email	Fundacion Mary McGovern Sun Yat Sen America Eurasia	2	1	19	QUITO
Case 76	Email	Corporacion Cultural Imaginario	3	4	10	GUAYAQUIL
Case 77	Email	Corporacion Foro de la Juventud	3	1	10	GUAYAQUIL
Case 78	Email	Corporacion Esmeraldeña para la Formacion y Desarrollo Integral	3	1	8	ESMERALDAS
Case 79	Email	Fundacion Jersey	2	12	19	QUITO
Case 80	Email	Fundacion Vida Libre	2	8	10	GUAYAQUIL
Case 81	Email	Fundacion para la Ayuda Social	2	1	18	PASTAZA
Case 82	Email	Corporacion Imbaya para el Desarrollo Comunitario	3	1	11	OTAVALO
Case 83	Email	Cooperativa de Produccion Pesquera Artesanal Punta de Faro de Jambeli	1	2	7	MACHALA
Case 84	Email	Colegio de Sociologos de el Oro	1	1	7	MACHALA
Case 85	Email	Instituto Nacional Democrata	1	13	19	QUITO
Case 86	Email	Asociacion de Emprendedores Juveniles Peninsulares ALEPEN	1	1	10	LA LIBERTAD
Case 87	Email	Fundacion de los Andes FUNANDES	2	1	11	IBARRA
Case 88	Email	Fundacion Brethren y Unida	2	8	19	QUITO
Case 89	Email	Fundacion ALADIS Alternativas Laborales para Personas con Discapacidad	2	7	1	CUENCA
Case 90	Email	Fundacion Andina para la Observacion Social y el Estudios de Medios	2	11	19	QUITO

FUNDAMEDIOS

Case 91	Email	Fundacion de Accion Social Nuevos Senderos Fundacion Rescatando el Mañana	2	7	19	QUITO
Case 92	Email	FUNDAREM Fundacion Crecer	2	7	11	IBARRA
Case 93	Email	Arte Fundacion de Cooperacion Social e Investigacion Pro Futuro	2	4	19	QUITO
Case 94	Email	Fundacion Padre Angel Maria	2	7	11	IBARRA
Case 95	Email	Iglesias	2	8	3	CAÑAR
Case 96	Email	Fundacion para el Desarrollo Integral FUNDESIN Corporacion Auditoria y Asesoría para Cooperativas	2	7	12	LOJA
Case 97	Email	Junta de Aguas de la Acequia Santa Marianita	3	1	19	QUITO
Case 98	Email	Fundacion Alianza Estrategica	1	1	11	COTACACHI
Case 99	Email	Fundacion Materno Infantil	2	7	19	QUITO
Case 100	Email	Maraliz	2	8	10	GUAYAQUIL
Case 101	Email	Fundacion Atasim	2	1	15	MORONA
Case 102	Email	Fundacion Bosques para la Conservacion Asociacion Flamenca de Cooperacion al Desarrollo y Asistencia Tecnica	2	7	19	QUITO
Case 103	Interview	Aldea Infantiles	1	13	19	QUITO
Case 104	Interview	SOS Ecuador	1	8	19	QUITO
Case 105	Email	Instituto Tecnico Superior Particular Jubones	1	3	7	PASAJE
Case 106	Email	Fundacion Juventud sin Limites	2	7	6	RIOBAMBA
Case 107	Email	Fundacion Rescatando el Mañana	2	7	11	IBARRA

FUNDAREM						
Case 108	Email	Asociacion 6 de Marzo	1	1	4	MIRA
Case 109	Email	Fundacion Ecuatoriano para el Desarrollo Social	2	8	10	GUAYAQUIL
Case 110	Email	Fundacion Señora Teolinda Troya Escobar	2	1	8	ESMERALDAS
Case 111	Email	Organización Ecuatoriana de Mujeres Lesbianas OEML	1	1	19	QUITO
Case 112	Email	Fundacion Educacion Salud y Bienestar Omar Mosquera	2	8	19	CAYAMBE
Case 113	Email	Asociacion de Desarrollo de Area Sultana de los Andes	1	1	6	RIOBAMBA
Case 114	Email	Fundacion Allpa Samay Killa ASK	2	1	19	RUMIÑAHUI
Case 115	Email	Fundacion para la Conservacion y el Desarrollo del Sur CONDESUR	2	7	12	LOJA
Case 116	Email	Fundacion Jatun Kawsay	2	11	12	SARAGURO
Case 117	Email	Fundacion Cultura de Paz	2	7	19	QUITO
Case 118	Email	Campamento de Dios IMI	1	5	19	QUITO
Case 119	Email	Fundacion Cultural y Artistica Zero no Zero Teatro	2	4	19	QUITO
Case 120	Email	Fundacion Educacion Fe en Accion FEFA	2	3	19	QUITO
Case 121	Email	Universidad Particular San Gregorio de Portoviejo	1	3	14	PORTOVIEJO
Case 122	Email	Asociacion de Empleados del I. Consejo Municipal de Azogues	1	1	3	AZOGUES

KEY

Organisation Type

1 = NGO 2 = Foundation 3 = Corporation

Organisation Subgroup

1 = Schools, Professional & Trade 2 = Cooperatives 3 = Education
4 = Culture & Art 5 = Religious Organisations 6 = Sporting Entities
7 = Investigation 8 = Charity Organisations 9 = Income/Tax orgs
10 = Political parties 11 = Promotion & Development Women/Children
12 = Health 13 = Orgs performing projects with exterior funds

Province

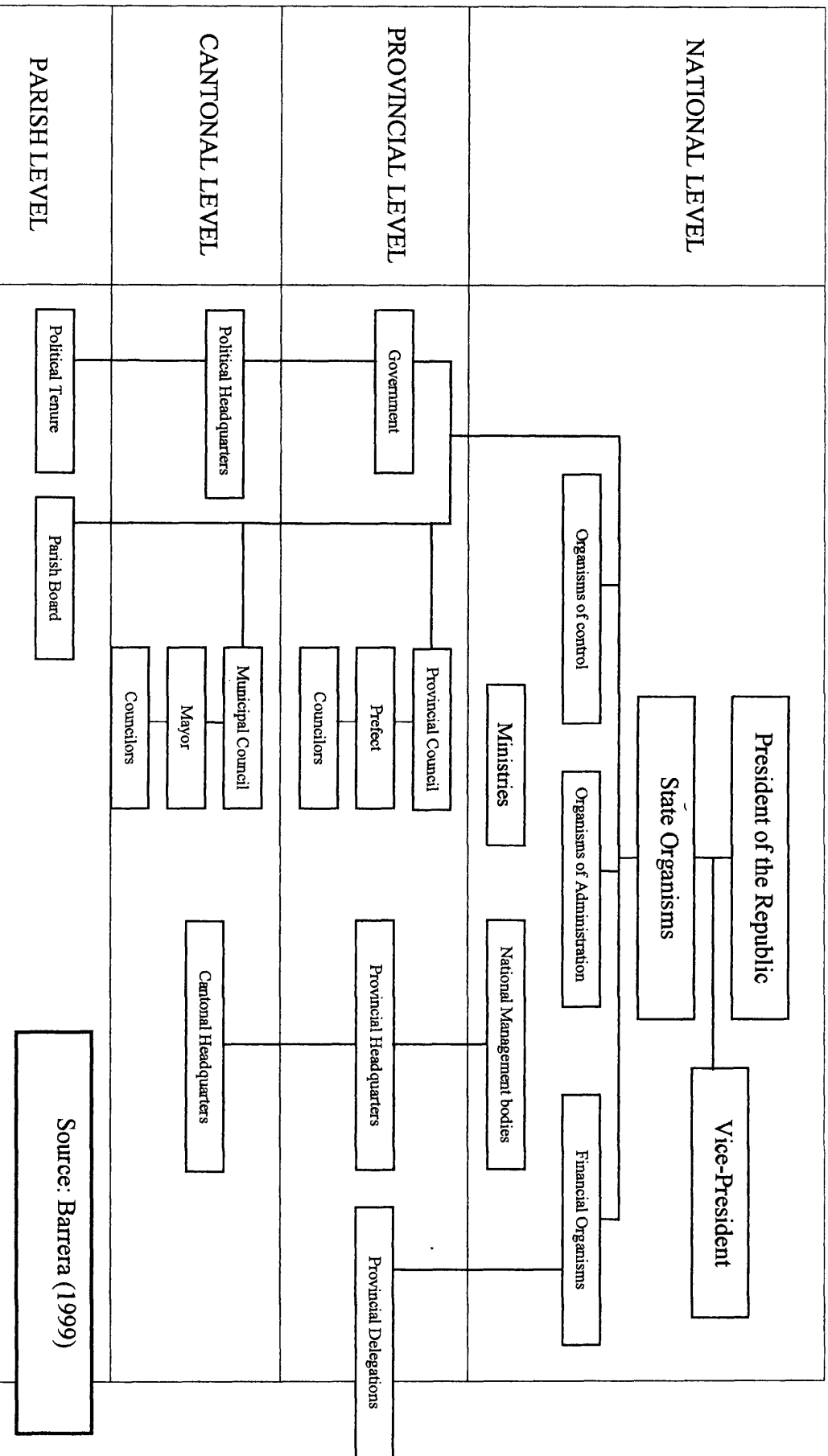
1 = Azuay 2 = Bolivar 3 = Cañar 4 = Carchi
5 = Cotopaxi 6 = Chimborazo 7 = El Oro 8 = Esmeraldas
9 = Galápagos 10 = Guayas 11 = Imbabura 12 = Loja
13 = Los Ríos 14 = Manabí 15 = Morona Santiago
16 = Napo 17 = Orellana 18 = Pastaza 19 = Pichincha
20 = Sucumbíos 21 = Tungurahua 22 = Zamora Chinchipe

Appendix 24 – Sequence for Completion of the Logical Framework Matrix

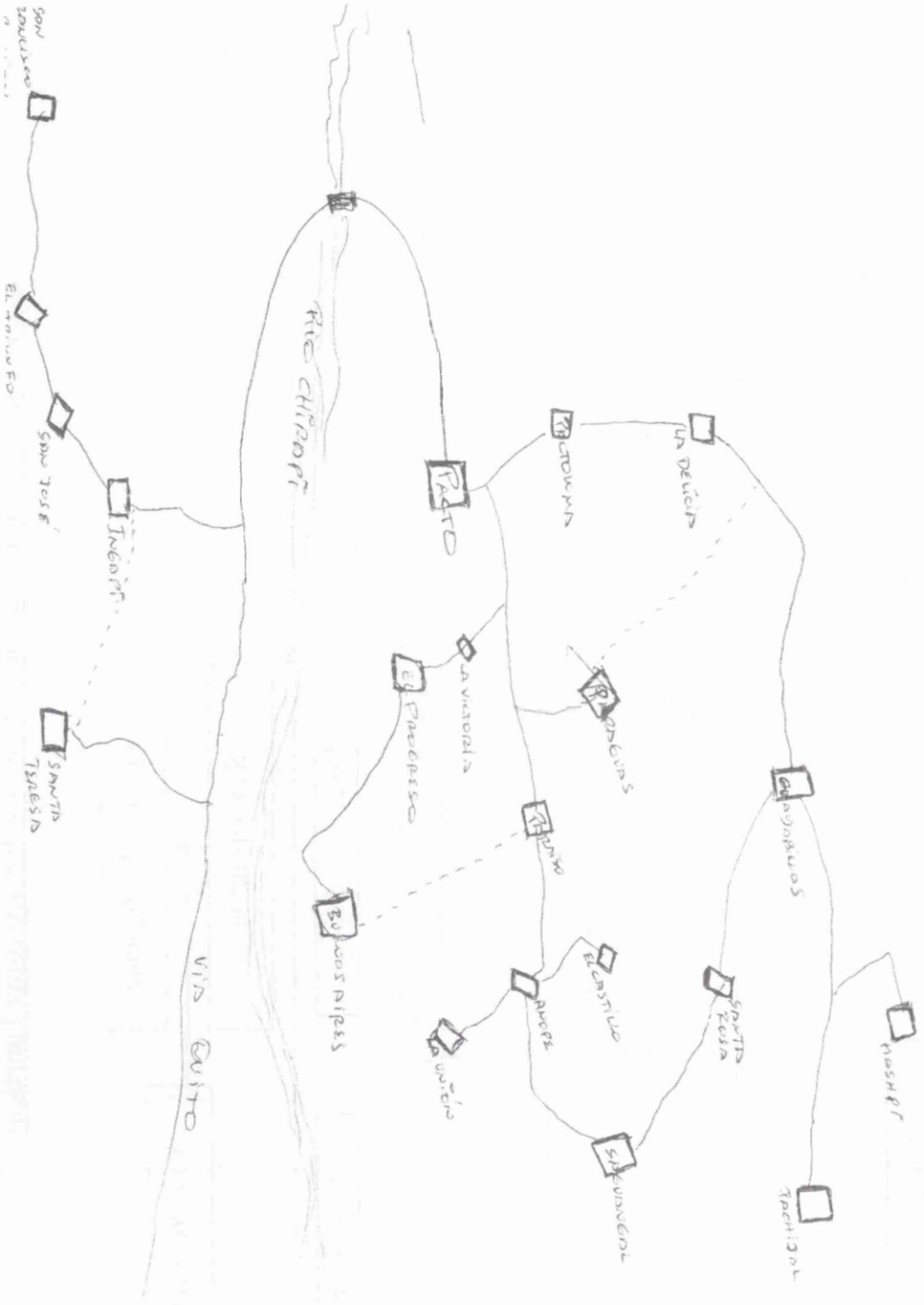
Source: Jackson (2000)

Objectives/Activities	Indicators	Means of Verification	Assumptions
1 Overall Objectives	15 Indicators	16 Means of Verification	8 Assumptions
2 Project Purpose	13 Indicators	14 Means of Verification	7 Assumptions
3 Results	11 Indicators	12 Means of Verification	6 Assumptions
4 Activities	9 Means and Indicators	10 Costs and Means of Verification	5 Assumptions

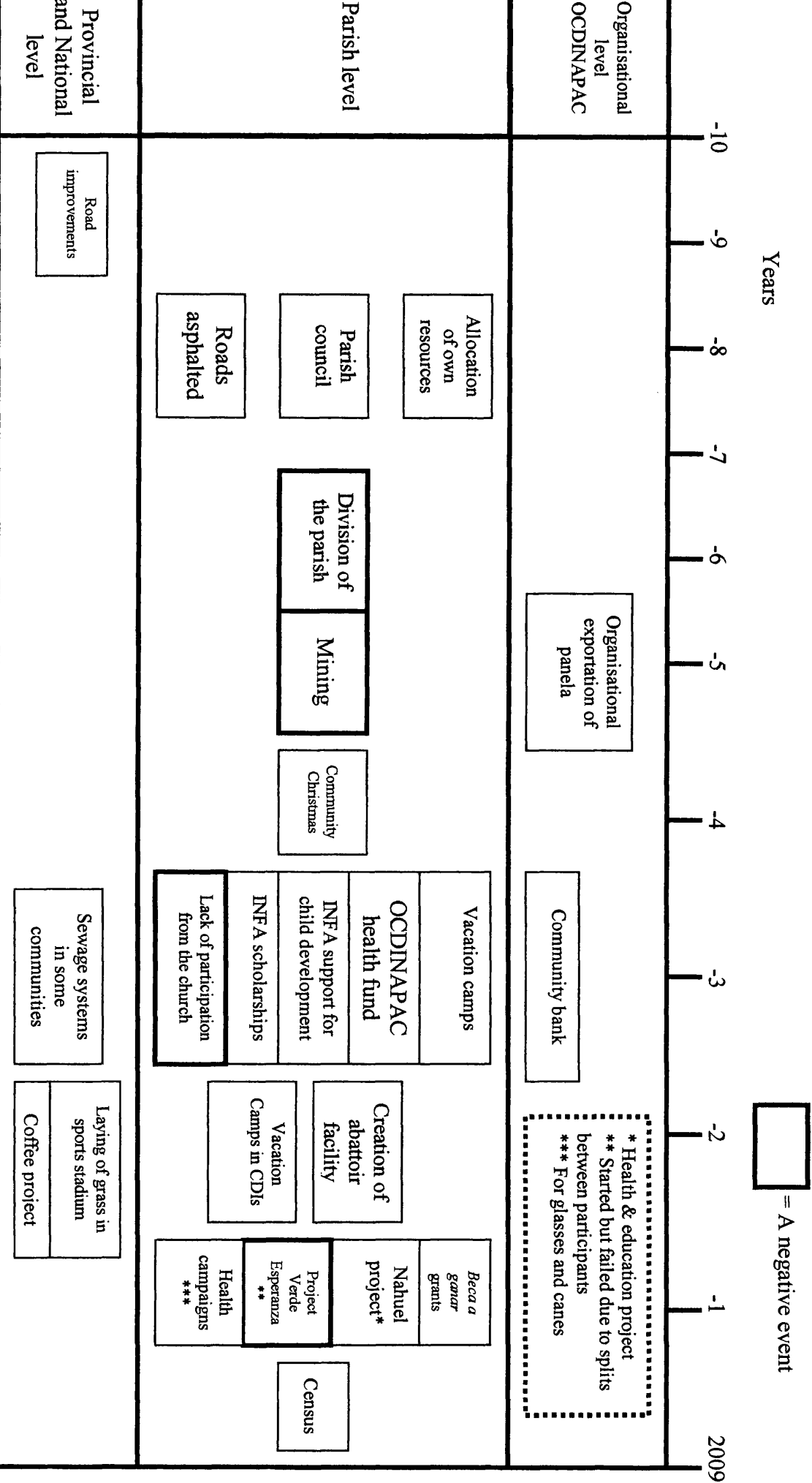
Appendix 25 - Political Structure of the State of Ecuador (Executive Function)



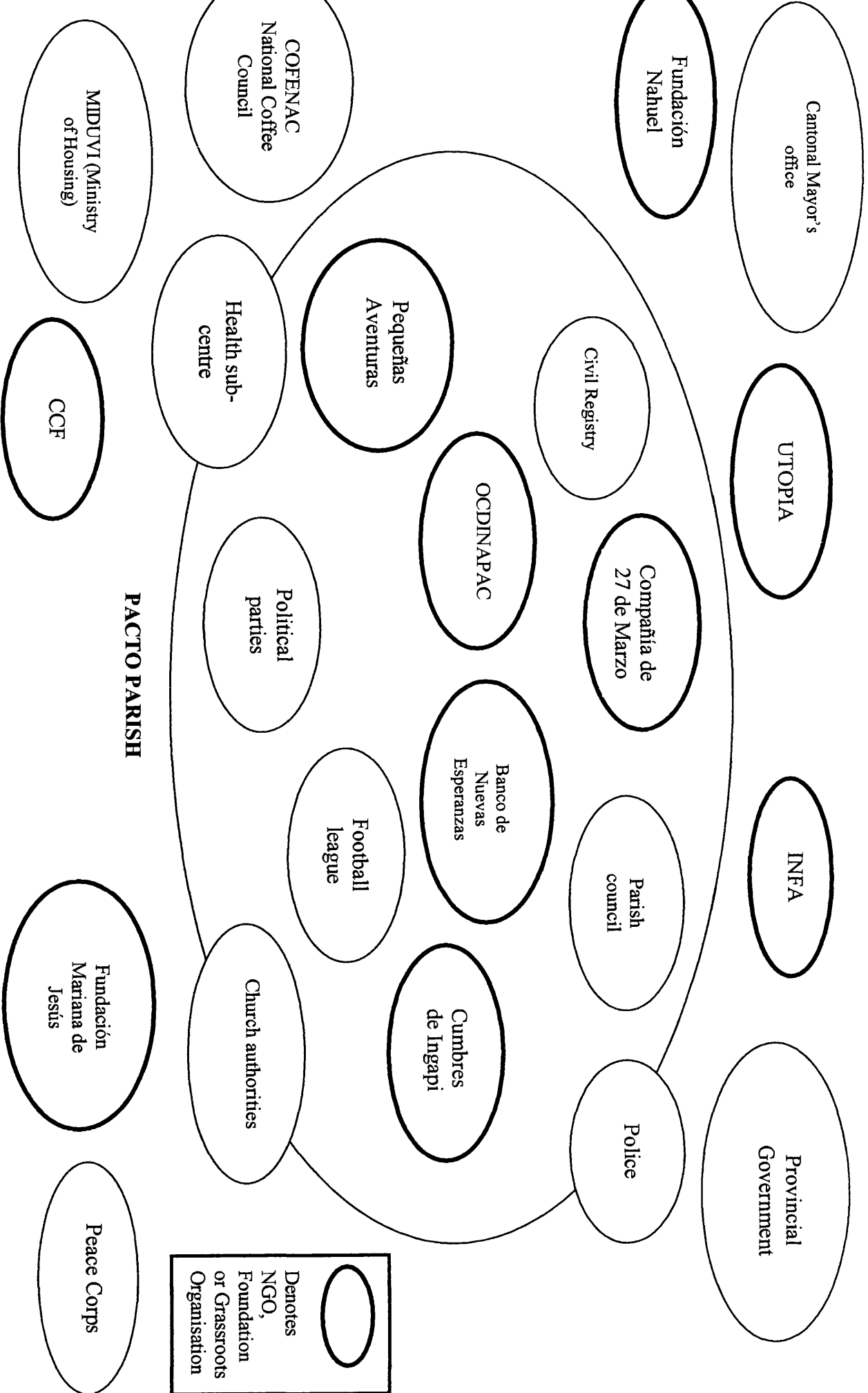
Appendix 26 - Map of Pacto Parish drawn by Workshop Participants



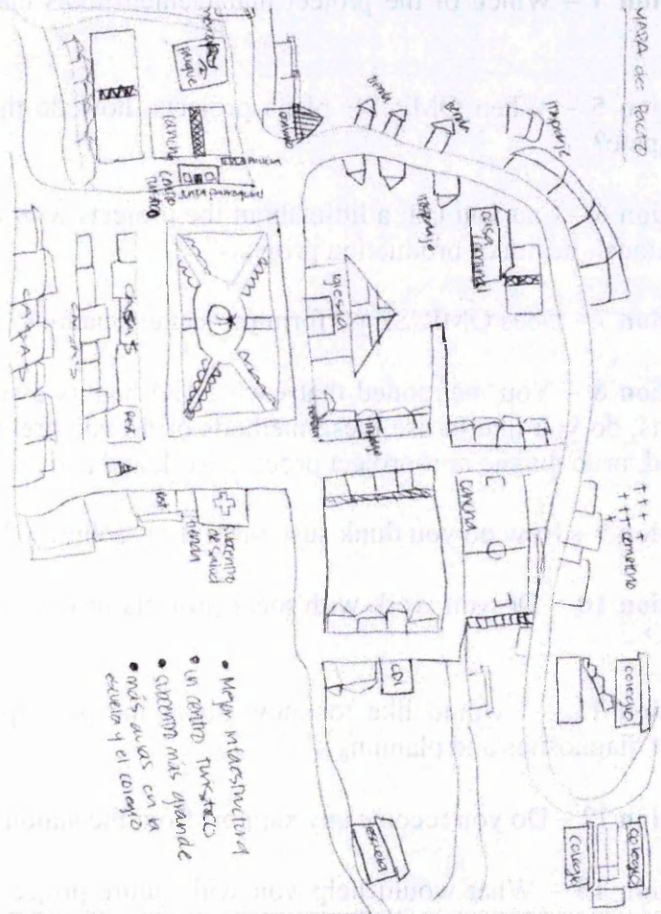
Appendix 27 - Historical Timeline for the period 1999-2009 for the Parish of Pacto



Appendix 28 – Diagram of Institutional Relationships for the Parish of Pacto



Appendix 29 – Participatory Mapping Exercise for the Parish of Pacto



- Mejora infraestructura
- un centro turístico
- escuelas más grandes
- más aulas en la escuela y el colegio

Future map improvements listed as:

- Better infrastructure
- A tourist centre
- Larger health sub-centre
- More Classrooms in the primary and secondary schools

**Appendix 30 – Interview Questions asked at the First OMICSE Group Interview on
May 14th, 2010**

Question 1 – I would like to know how your projects are managed, and what type of participation OMICSE has in the phases of planning, execution and evaluation

Question 2 – What are the different ways in which OMICSE works with the various NGOs and development organisations with which the organisation is involved?

Question 3 – What tools and methods are used in the phases of planning, execution and evaluation?

Question 4 – Which of the project management tools that you have used is the best and why?

Question 5 – When OMICSE plans projects, how do the people from the communities participate?

Question 6 – Can you talk a little about the projects with which you are involved; are they educational, health or production projects?

Question 7 – Does OMICSE perform project evaluations?

Question 8 – You mentioned that each NGO has its own preferred method of managing projects, do you like to use these methods or do you prefer either to work with a different method, or to pursue non-project process work and activities?

Question 9 – How do you think sustainability is achieved?

Question 10 – Do you work with local projects or ones that are not organised by outside NGOs?

Question 11 – I would like to know about the participatory tools that you use during project diagnostics and planning

Question 12 – Do you receive any support from the national government?

Question 13 – What would help you with future projects, for example more training or equipment?

Appendix 31 – Interview Questions asked at the Second OMICSE Group Interview on March 9th, 2012

- Question 1** – How has the Correa government been for Ecuadorean development? How has the government affected the work of OMICSE? Have there been laws or policies that have affected OMICSE?
- Question 2** – What are the external factors that delay or interrupt the work of OMICSE?
- Question 3** – Please explain the relationship between OMICSE and the other levels of the indigenous movement's hierarchy. How does the hierarchy work? What are the benefits and what are the disadvantages of being part of that hierarchy?
- Question 4** – How does participation work within the indigenous movement? Explain how OMICSE's members participate in the higher levels of the movement's hierarchy.
- Question 5** – How does participation work within OMICSE? How can residents of the communities participate in the activities of OMICSE? How can OMICSE's members influence the decisions and strategies of the organisation?
- Question 6** – What are the strategies and goals of OMICSE? How does the organisation promote development in the region? What are the most important development activities for OMICSE?

Glossary

Blueprint project

A project implemented according to a detailed project plan with little or no flexibility for changes during project execution.

Bottom-up development

An approach to the planning and implementation of development activities that uses local skills, knowledge and needs as the basis for the design and execution of projects and interventions. Bottom-up development is associated with the participation and consultation of beneficiaries during project/intervention diagnostics, planning, monitoring and evaluation.

Canton

A geopolitical division in Ecuador. Cantons are above parishes and below provinces in Ecuador's geopolitical structure.

Change control

The project management process for introducing changes from or additions to the project plan once the project has left the planning phase and is being executed. Effective change control ensures that authorised changes are introduced to the project in a controlled manner that eliminates the risk of adverse consequences and disruptions caused by those changes.

Clientelism

A term used for the process by which regional and local politicians secure votes by championing and promising public works such as the construction of roads, sports and communal facilities and other infrastructure projects.

Critical Path Analysis

A project planning and management technique that uses activity durations to determine the shortest possible time required to complete the project as well as the series of activities, or 'critical path', to which a delay will result in a delay to the delivery date of the entire project.

Democratic participation

A participatory approach which seeks to secure participation through people's involvement in democratic decision-making processes.

First Grade Organisation

Local/community grassroots organisations in Ecuador and other countries. Local associations and committees are First Grade Organisations.

Gantt chart

A project planning and management tool that shows a visual representation of a project schedule, showing information relating to the project's activities including durations, start and finish dates and costs. This schedule and information is displayed in a horizontal bar chart.

'Go/no go' controls

A process used in project management which seeks verification that predetermined preconditions have been met before the project is given authorisation to continue. Go/no go controls are used at strategically important points during a project and act as exit gates from one project phase to the next, such as from planning to execution.

Lock-frame

A possible scenario resulting from the improper use of the Logical Framework Approach, first identified by Gasper (2000). A lock-frame scenario occurs when the logframe matrix is left unrevised once project planning is finished and the project enters the execution phase.

Logframe

The end result of the Logical Framework Approach, the logframe is a matrix of goals, objectives, activities, indicators, means of verification and assumptions used to plan a development project or intervention. Logframes may or may not be completed after the use of the tools for problem, objectives and strategy analysis that constitute the earlier stages of the LFA.

Logical Framework Approach (LFA)

An objectives-oriented approach to the diagnostics and planning of development projects and interventions. LFA follows a logical process of identifying problems and their causes and effects, objectives and their means and ends, and then performing a strategy analysis. The results of this diagnostics and planning process are used to create a logframe matrix.

Logical planning method

An approach to the planning of development projects and interventions that uses logical relationships between goals, objectives, problems and activities to create an implementable project plan. The Logical Framework Approach is a logical planning method.

Logic-less frame

A possible scenario resulting from the improper use of the Logical Framework Approach, first identified by Gasper (2000). A logic-less frame occurs when a project is designed without the use of LFA's tools for the identification of problems and objectives. The logframe matrix is then completed with information solely in order to comply with the requirements of donor or other organisations.

Parish

A geopolitical division in Ecuador. Parishes are the lowest level of regional government in Ecuador's geopolitical structure, below cantons.

Participation 'as a means'

An approach to the participation of people in development work which uses the knowledge, skills, labour and contributions of participants in order to achieve the project or intervention's stated goals and objectives. Proponents believe that through such participation interventions become more efficient and effective.

Participation 'as an end'

An approach to the participation of people in development work which considers people's participation to be the most important end result of a project or intervention. Proponents believe that through their involvement in such initiatives participants attain personal benefits such as learning, self-confidence and empowerment.

Participatory Budgeting (PB)

The process by which part of a regional government's budget is allocated to specific projects and activities according to the results of a consultation of the population of that regional government's geopolitical area.

Participatory Governance

The process by which citizens of a geopolitical area take part in the decision-making of their local or regional government. Participatory Governance can involve Participatory Budgeting and/or the prioritisation and planning of different governance activities.

Participatory Rural Appraisal (PRA)

A collection or 'menu' of tools and techniques used for the diagnostics, planning, monitoring and evaluation of development interventions. These tools enable beneficiaries and/or local people to contribute their knowledge and ideas, even if those people are educationally challenged, for example if they are illiterate.

Portfolio Management

The management of a collection of projects and programmes that have been grouped together to facilitate effective management. The programmes of which a portfolio is comprised may or may not be interrelated.

PRINCE2

PRINCE2 is a process-based methodology for the management of projects developed by the government of the United Kingdom. PRINCE stands for Projects In Controlled Environments.

Process/Operational Management

An approach to the management of ongoing and repetitive activities that creates processes to manage those activities based on their repetitive nature.

Process programme

A type of programme identified by this work in which the often non-interrelated individual projects within the programme are implemented without time restrictions/limitations other than the overall programme deadline.

Process project

A type of project performed in the development sector which has distinctly different aims to project management in traditional industries. Project management in traditional industries seeks to implement a project's activities in the shortest time period possible and at the lowest cost necessary in order to achieve the required quality of service or product. In contrast, a process project is more concerned with the development processes performed in order to achieve a project's objectives. Such processes may include activities for the participation of beneficiaries, and those required in order to build social capital and/or organisational capacities.

Program Evaluation and Review Technique (PERT)

An event-oriented technique for the analysis of networks of project and programme activities. PERT is used to calculate the best (shortest), worst (longest) and most probable project/programme durations based on the planned durations of complex strings of activities.

Programme

A group of related projects that are managed as a whole in order to attain additional benefits such as savings on costs or resources. Programmes may include additional activities that are not projects, but will always include projects.

Programme management

The management of a group of projects in order to attain additional benefits from the management of those projects as a whole. Such benefits may include cost savings, time gains or advantages associated with the sharing of human or physical resources.

Project

A venture or undertaking which creates a unique product or service with time, budgetary and quality constraints.

(The) Project approach

The approach that seeks to introduce change by the performance of time-bounded project activities. The project approach stands in contrast to process/operational management, which relies on ongoing efforts to manage activities or create change.

Project life cycle

The complete cycle of phases performed in order to successfully implement a project. Those phases can differ according to the sector in which the project is performed and also according to the nature of the project itself, but normally include phases for the planning, execution and closure of the project.

Project Management Approach (PMA)

The approach to the management of projects that recognises the unique nature of projects and their activities, and seeks to ensure project success through the use of processes for the effective planning, execution and closure of the project.

Province

A geopolitical division in Ecuador. Provinces are the highest level of regional government in Ecuador's geopolitical structure, above cantons.

Rapid Rural Appraisal (RRA)

A series of techniques used in the development sector for the quick research of development settings. RRA was a forerunner to Participatory Rural Appraisal (PRA).

Scope Management

A project management process that seeks to ensure that all of the work required and only the work required is performed in order to meet a project's objectives and successfully complete the project.

Second Grade Organisation

An organisation above community level in Ecuador and other countries that has acquired a mandate to represent a group of grassroots organisations.

Social capital

Relating to the relationships between networks of individuals in society. Definitions of social capital vary but often refer to the information, education, relationships and other factors present in social organisations.

SWOT analysis

An analysis of the Strengths, Weaknesses, Opportunities and Threats associated with an organisation or a particular undertaking or situation.

Sustainability

The ability to maintain or sustain an activity or course of action. In the development sector sustainability can refer to the impacts on different factors such as environmental, social or economic.

Systematisation

Definitions of systematisation vary considerably. As far as this work is concerned, systematisation refers to a system for recording and learning from the phases, activities and processes of a project for the benefit of future projects and development activities.

Third Grade Organisation

An organisation in Ecuador and other countries that groups together Second Grade Organisations into national confederations or unions.

Top-down development

An approach to the planning and implementation of development projects and interventions that does not include the participation of beneficiaries. Instead, top-down interventions are planned and executed by the development practitioners working for organisations such as international Non-Government Organisations.

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