

*For restricted circulation*

**MANUAL FOR TRAINING OF TRAINERS  
ON  
HUMAN DEVELOPMENT**

**PART I**



**Dr. Arabinda Ghosh**  
JOINT DIRECTOR



**Administrative Training Institute  
Government of West Bengal**

*Planning Commission – UNDP sponsored project  
“Strengthening State Plans for Human Development”*

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ON  
HUMAN DEVELOPMENT**

**PART – I**

**PRE – COURSE MATERIAL**

- **A Journey through Human Development Reports (1990-2007/08)**
- **Understanding Participation**
- **Participatory Learning and Action (PLA)**

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## PREFACE

Human Development (HD) has, in recent times, replaced economic growth (EG) as the central objective of human activity. It has been defined as enlarging people's choices in a way which enables them to lead a longer, healthier and fuller life. Economic growth is considered potentially a very important instrument for advancing it. While EG fulfils the necessary condition for HD, if distribution of income is unequal and if social expenditures are low or distributed unevenly, the quality of life may not improve significantly, despite rapid growth of gross national product (GNP). There is no automatic mechanism interlinking EG and HD. While some developing countries have been very successful in managing growth to improve human conditions, others are less so. Advances in HD can make a critical contribution to EG. Thus, improved health and increased life expectancy raise the returns for all types of investment. Higher levels of HD, besides being an end in themselves, affect the economy by enhancing people's capabilities and consequently their creativity and productivity. Health and education status of a population represent one of the main determinants of the composition and growth of output and exports.

According to the UNDP's Global Human Development Report (HDR) 2007-08, in spite of the absolute value of the human development index (HDI) for India improving from 0.577 in 2000 to 0.619 in 2005, the relative ranking of India has not changed much. The HDI rank indicates that the country has done better in terms of per capita income than in other components of human development. The other indicators related to Health and Education reinforce this and highlight the need for greater focus on this area in our planning for development. It is this concern that is reflected in the Eleventh Plan which seeks to reduce not only poverty but also the various kinds of disparities across regions and communities by ensuring better access not only to basic physical infrastructure but also to health and education services for all. In consonance with the commitment to faster social sector development under the National Common Minimum Programme (NCMP), the Government of India has launched new initiatives.

The benefits of such enhanced expenditure largely depend on the proper implementation of the programmes with a human face. The performance of these initiatives, be it poverty, health or education related, reinforce one another. While sensitising the policy makers at the national and sub-national level for designing development plans with a human face is extremely important, the sensitisation of the implementers at the grass root level is also crucial.

In view of India's commitment to Millennium Development Goals (MDGs), it is imperative to train development managers and implementers at all levels of government not only to understand the conceptual underpinnings of human development but also for discussing ways and means of operationalising it on the ground.

Responding to this need, UNDP (India) and the Planning Commission requested the Administrative Training Institute, West Bengal, to develop a training module on Human Development.

This module has two parts. Part-I is a journey through the important issues highlighted in the Human Development Reports since 1990. Further, Participatory Learning and Action is an important tool for formulating a participatory development plan to which participants get an exposure.

Part–II starts with Training Techniques covering the concept of Andragogy, how trainees learn, the concepts of feedback and Experiential Learning. It deals with the technique of preparing and conducting interactive sessions, how to lead a discussion and how to run group exercises. We acknowledge the extensive use of training material developed by Department of Personnel & Training (DOPT), Government of India, under its Trainer Development Programme.

This is followed by various aspects of Human Development. Module–1 discusses the common characteristics of an underdeveloped economy, unfolds the concept of human development, discusses issues relating to economic growth and human development. Module–2 discusses four pillars of Human Development and depicts the journey from concepts and analysis to action. Module–3 explains Human Development Index (HDI), Gender related Development Index (GDI), Gender Empowerment Measure (GEM) and Human Poverty Index (HPI). Module–4 states the innovations in calculating indices and highlights various statistical challenges pertaining to social sector. Module–5 elaborates the poverty scenario in India and integrates the concept of HD with poverty. Module–6 explains how public spending on HD can be designed and monitored. Module–7 explains how the process of HD is incomplete without gender equality and elaborates on various forms of gender inequality. Module–8 discusses the role of people’s participation in HD through a case. Module–9 deals with acquiring skill for decision-making by consensus and collaboration through group exercise.

The entire material has been prepared by West Bengal government’s only Master Trainer accredited by the DOPT, Dr. Arabinda Ghosh, Joint Director in the ATI, who has the added distinction of being an economist whose research is widely appreciated in international fora. For optimising the effectiveness of the training handbook, he innovated the idea of making the first part available in the distance learning mode.

A test-run of the handbook was conducted in the ATI with trainers drawn from across the country and participants from UN agencies and the RBI. Following this validation, the material has been given final shape and is now being published under the auspices of the Planning Commission and the UNDP (India).

P. Bhattacharya IAS, Ph. D.  
*International HRD Fellow (Manchester)*  
Additional Chief Secretary  
Development and Planning Department  
&  
Director, ATI  
P & AR Department  
Government of West Bengal

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# A Journey through Human Development Reports (1990-2007/08)

## CONCEPT OF HUMAN DEVELOPMENT

We are rediscovering the essential truth that people must be at the centre of all development. The purpose of development is to offer people more options. One of their options is access to income —not as an end in itself but as a means for acquiring human well-being. However, there are other options too such as long life (India's ancient exhortation is *jeevema sharadah shatam*, may you live a hundred years), knowledge, political freedom, personal security, community participation and guaranteed human rights. People cannot be reduced to a single dimension merely as economic creatures. What makes them and the study of the development process fascinating is the entire spectrum through which human capabilities are expanded and utilised to the fullest.

UNDP has undertaken to produce an annual report on the human dimension of development.

### Human Development Report 1990

The *Human Development Report 1990* was the first such effort.

The central message of the *Human Development Report 1990* is that while growth in national production (GDP) is absolutely necessary to meet all essential human objectives, what is important is to study how this growth translates — or fails to translate — into human development in various societies. Some societies have achieved high levels of human development at modest levels of per capita income. Other societies have failed to translate their comparatively high income levels and rapid economic growth into commensurate levels of human development. What were the policies that led to such results? In this line of enquiry lies promising seeds of forging a much better link between economic growth and human development, which is by no means automatic.

The orientation of this Report is practical and pragmatic. It aims at analysing country experience to distil practical insights. Its purpose is neither to preach nor recommend any particular model of development, but to make relevant experience available to all policymakers.

### Typology of country experience

The human development experience in various countries during the last three decades reveals three broad categories of performance. First are countries that sustained their success in human development, sometimes achieved very rapidly, sometimes more gradually. Second are countries whose initial success slowed down significantly or sometimes even reversed. Third are countries that achieved good economic growth but did not translate it into human development. From these country experiences emerges the following typology:

- ✍ *Sustained human development*, as in Botswana, Costa Rica, the Republic of Korea, Malaysia and Sri Lanka.
- ✍ *Disrupted human development*, as in Chile, China, Colombia, Jamaica, Kenya and Zimbabwe.
- ✍ *Missed opportunities for human development*, as in Brazil, Nigeria and Pakistan.

Figure 1 shows that Venezuela and South Africa have similar income but different Human Development Indices (HDI)

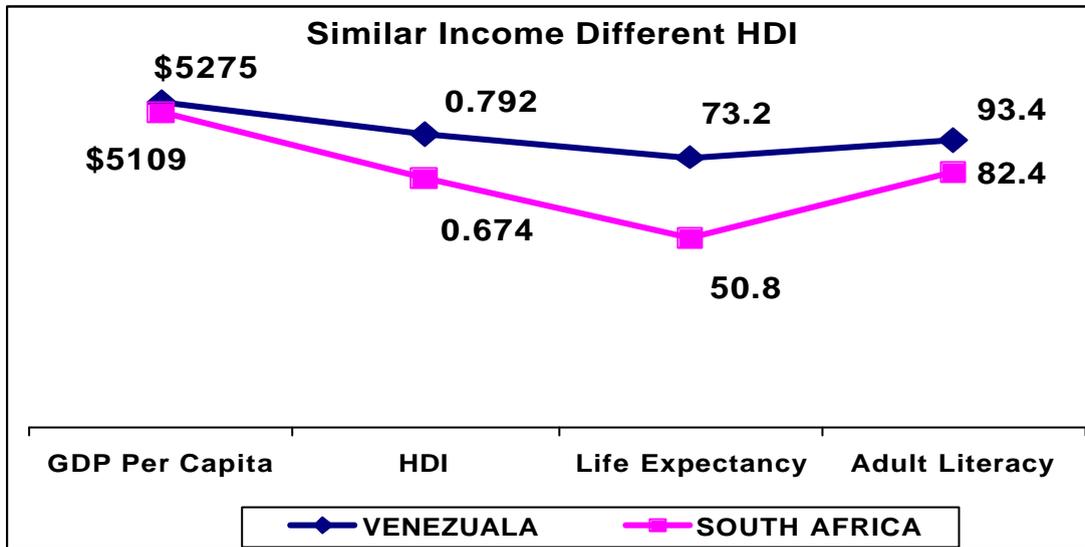


Figure 1

Source : Developed from data available at UNDP (United Nations Development Programme) Human Development Report, 2007:

Figure 2 highlights that Equador, Tunisia, China and Sri Lanka have different per capita income but have similar Human Development Indices.

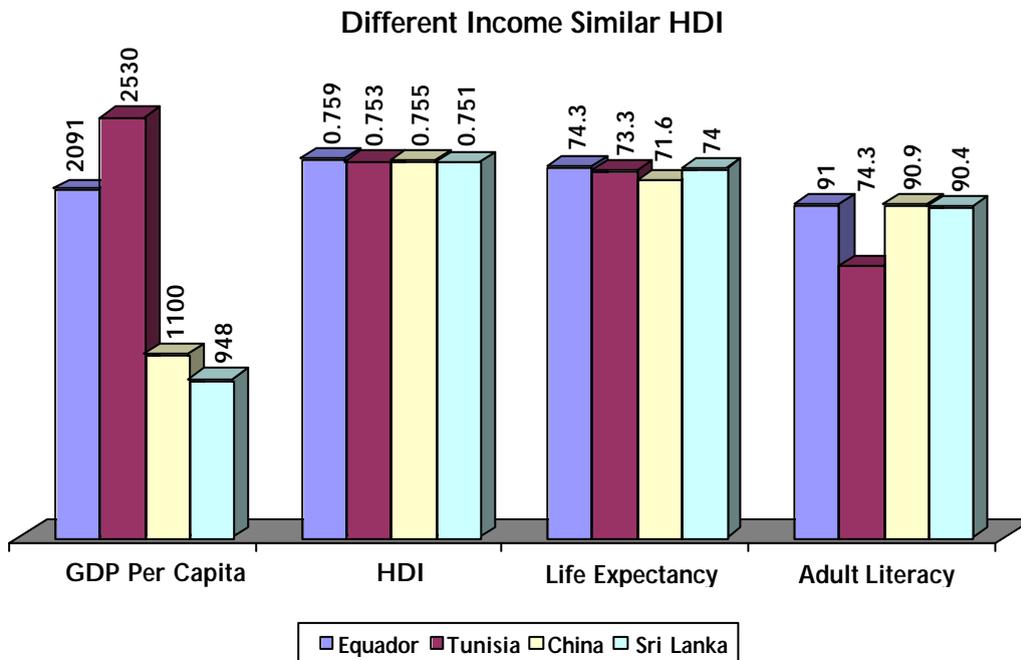


Figure 2

Source : Human Development Report 2006

*The analysis of these country cases leads to several important conclusions:-*

**First**, growth accompanied by an equitable distribution of income appears to be the most effective means of sustained human development. The Republic of Korea is a stunning example of growth with equity.

**Second**, countries can make significant improvements in human development over long periods—even in the absence of good growth or good distribution—through well-structured social expenditures by governments (Botswana, Malaysia and Sri Lanka).

**Third**, well-structured government social expenditures can also generate fairly dramatic improvements in a relatively short period. This is true not only for countries starting from a low level of human development but also for those that already have moderate human development (Chile and Costa Rica).

**Fourth**, to maintain human development during recessions and natural disasters, targeted interventions may be necessary (Botswana, Chile, Zimbabwe and the Republic of Korea in 1979-80).

**Fifth**, growth is crucial for sustaining progress in human development in the long run, otherwise human progress may be disrupted (Chile, Colombia, Jamaica, Kenya and Zimbabwe).

**Sixth**, despite rapid periods of GNP growth, human development may not improve significantly if the distribution of income is badly skewed and if social expenditures are low (Nigeria and Pakistan) or appropriated by those who are better off (Brazil).

**Finally**, while some countries show considerable progress in certain aspects of human development (particularly in education, health and nutrition), this should not be interpreted as broad human progress in all fields, especially when we focus on the question of democratic freedoms. The main policy conclusion is that economic growth, if it is to enrich human development, requires effective policy management.

Conversely, if human development is to be durable, it must be continuously nourished by economic growth. Excessive emphasis on either economic growth or human development will lead to developmental imbalances that, in due course, will hamper further progress.

*The main conclusions in this report are as follows:*

### **Economic growth for human development**

The best way to achieve human development is to promote more equitable economic growth and more participatory development. During the 1980s, countries throughout the world increasingly relied on private initiative and market mechanisms to promote faster economic growth and improve the quality of human life. The moving agents behind this growth are manifold. Among the more important are the many small businesses that provide income for the rapidly growing labour force, stimulating private savings and enhancing investments to increase people's productivity. This approach is exemplified, in part, by the recent experience of newly industrializing economies of East Asia. Their efficient, broadly based and employment-intensive economic growth was backed by social services for those who, for various reasons, were unable to earn their own living.

Growth is particularly needed where it has been lacking. For many of the least developed countries, sustained human development cannot be envisaged without a broad range of actions to increase people's capabilities and opportunities. This involves not only mobilising and developing human capacities but also investing in order to expand and diversify the economic base and eliminating the barriers to equal opportunity. Without such action, no human development can be sustained in the longer run. Economic growth has to reach people, and people have to contribute to growth. Both nationally and internationally, economic growth with human development will, in the long term, depend on achieving a better match between economic opportunities and people's needs.

## **Human Development Report 1991**

The lack of political commitment, not of financial resources, is often the real cause of human neglect. That is the main conclusion of *Human Development Report 1991*. The Report is about financing human development. A single powerful idea runs through it that the potential is enormous for restructuring national budgets and international aid in favour of human development. The Report concludes that much current spending is misdirected and inefficiently used.

### **Optimizing human expenditure**

Adequate income-earning opportunities and properly directed public spending on human priority needs are essential components of the path to human development.

While private spending on human development is quite important in both developing and industrial countries, the public sector often plays a critical, complementary role, especially where incomes are low and basic human needs would otherwise remain unmet. Public action in support of human development can take several forms. It can be policy action aimed at activating private initiative; or the provision of public finance to subsidise privately run services; or public finance for publicly run programmes. Whatever the approach or mix of strategies adopted, past development experience shows that markets alone cannot ensure good human development; and neither can overextended public sector spending, because it is not sustainable.

### **Restructuring national budgets**

It is possible to release nearly \$50 billion a year— about 2% of the GNP of the developing countries— for more productive purposes. Much of this could come from freezing military expenditure, which absorbs 5.5% of the GNP of the developing world. Added savings could come from:

- ✍ Halting capital flight
- ✍ Combating corruption
- ✍ Reforming public enterprises
- ✍ Reducing internal policing

## Reallocating social expenditures

To develop a sound basis for analysing public spending on human development, countries should monitor four ratios:

***The public expenditure ratio***— the percentage of national income that goes into public expenditure.

***The social allocation ratio***— the percentage of public expenditure earmarked for social services.

***The social priority ratio***— the percentage of social expenditure devoted to human priority concerns.

***The human expenditure ratio***— the percentage of national income devoted to human priority concerns.

The human expenditure ratio is the product of the first three ratios. A powerful operational tool, it allows policy-makers who want to restructure their budgets to see clearly the available options.

- ✍ If public expenditure is already high (as in many developing countries) but the social allocation ratio is low (as in Indonesia), the budget will need to be reassessed to identify which areas of expenditure could be reduced. Military spending, debt servicing, prestige projects and loss-making public enterprises would all be likely candidates.
- ✍ If the first two ratios are comparatively high but the ultimate human development impact is low (as in Pakistan), the social priority ratio must be increased. For the poorest countries, this is likely to involve arranging a better balance between curative hospitals and primary health care, between universities and primary schools, and between focusing attention on the cities and on the rural areas, where the majority of poor people live.
- ✍ If the problem is a low public expenditure ratio (as in Bangladesh), raising this and therefore raising revenue could be an essential part of the strategy.

## Cost savings and efficiency

Most countries could use existing resources more efficiently by adopting more decentralized, participatory approaches to development, by making prudent economies and reducing unit costs, by charging many users for the benefits they receive and by encouraging private initiative in both the financing and delivery of social services,

Many countries have adopted measures along these lines. Here are just a few of the lessons:

***Involving the community***- A community self-help water programme in Malawi in which the government provides equipment and training, and the community provides labour for construction and maintenance and local leaders are involved in planning and design benefits over one million people.

***Involving NGOs***- It is often taken for granted that the provision of social services is the government's responsibility. This need not be so. The current trend is towards greater involvement of private organizations in the provision of services. The trend is towards choices and away from standardization, towards smaller-scale and away from centralization. NGOs are important in all this.

**Improving Management-** Simple management changes in the principal hospital in Malawi could lead to savings of two-fifths in recurrent non-salary expenditures.

**Using double-shift schools-** Zambia has used double (and even triple) shifts in classrooms to reduce its capital costs in education by almost half.

**Concentrating all basic drugs-** Average medicine consumption in developing countries was \$5.40 per head in 1985. Yet basic and essential drugs need cost only \$1.00 per head, and an even more basic list could be provided for \$0.25.

**Food subsidies-** An important social service in many developing countries, food subsidies can be a vital tool for transferring income to the poor and for improving their nutritional status. The challenge is to target the subsidies so that they support the nutrition of the poor most efficiently.

**Cheaper technology-** A pump and well construction project in India now allows people to pump water from a deep well for capital costs of less than \$1.00 a year per user.

### User Charges

Another approach to reducing costs for the public sector is to charge users for the services they receive. User charges have produced mixed results in developing countries, so far recovering only a modest proportion of costs. Their success or failure often depends on the sector in question.

### Human Development Report 1992

The world has now a unique opportunity to use global markets for the benefit of all nations and all people. *Human Development Report 1992* looks at the workings of these global markets— at how they meet or fail to meet the needs of the world's poorest people. Improvements in external environment can help greatly, but they can never substitute for domestic reforms.

This Report attempts to place global markets in proper perspective. Competitive markets are the best guarantee for efficient production. But to be open to all the people, they require a skilfully crafted regulatory framework and they must be supplemented by judicious social policy action. "It is not a question of state or market: each has a large and irreplaceable role", as World Bank's *World Development Report 1991* aptly summed up.

If global markets were truly open, they would allow capital, labour and goods to flow freely round the world and help equalize economic opportunities for all. But global markets are neither free nor efficient. At a time when national markets are opening, global markets remain greatly restricted.

The developing countries, with some notable exceptions, are finding it difficult to exploit fully the potential of these markets. This reflects the weakness in their policies and the restrictions on global markets. This Report analyses global markets from a human perspective. Markets may be impressive economically or technologically. But they are of little value if they do not serve human development. Markets are the means. Human development is the end. The Report presents a disturbing new analysis of the global distribution of income and opportunities, demonstrating that income disparities have in recent years widened dramatically.

**First**, where world trade is completely free and open—as in financial markets—it generally works to the benefit of the strongest. Developing countries enter the market as unequal partners and leave with unequal rewards.

**Second**, in precisely those areas where developing countries may have a competitive edge, as in labour-intensive manufactures and the export of unskilled labour, the market rules are often changed to prevent free and open competition.

**The Report** concludes that if developing countries are to trade on a more equal basis, they will need massive investments in people because knowledge and the mastery of new technology are a country's best competitive advantage today.

### **Political freedom and human development**

The purpose of human development is to increase people's range of choices. If they are not free to make those choices, the entire process becomes a mockery. So, freedom is more than an idealistic goal; it is a vital component of human development. People who are politically free can take part in planning and decision-making and they can ensure that society is organized through consensus and consultation rather than dictated by autocratic elite.

Democratic rule can never be perfect. It needs constant injections of energy and effort. And it demands patient renewal—a continuous search for the best balance between conflicting social interest groups and priorities. But such processes can ensure that, as far as possible, a country's development is truly "people-centred".

There clearly are many kinds of freedom, freedom to vote, for example, or freedom from hunger. So, any form of measurement must start with a system of classification and selection. Freedom can be grouped into five broad clusters, reflecting values common to all cultures, all religions and all stages of development.

**1. Personal security.**

**2. Rule of law.**

**3. Freedom of expression.**

**4. Political participation.**

**5. Equality of opportunity.**

*An illustrative checklist of indicators of political freedom*

<p style="text-align: center;"><b><u>Personal security</u></b></p> <ul style="list-style-type: none"><li>✍ Arbitrary arrest and detention</li><li>✍ Torture or cruel treatment or punishment</li><li>✍ Arbitrary killing</li><li>✍ Disappearances</li></ul>	<p style="text-align: center;"><b><u>Rule of law</u></b></p> <ul style="list-style-type: none"><li>✍ Fair and public hearings</li><li>✍ Competent, independent and impartial tribunal</li><li>✍ Legal counsel</li><li>✍ Review of conviction</li><li>✍ Failure to prosecute</li></ul>
<p style="text-align: center;"><b><u>Freedom of expression</u></b></p> <ul style="list-style-type: none"><li>✍ Restrictions in law and practice</li><li>✍ Media censorship</li><li>✍ Media ownership</li><li>✍ Freedom of speech</li></ul>	<p style="text-align: center;"><b><u>Political participation</u></b></p> <ul style="list-style-type: none"><li>✍ Political participation</li><li>✍ Free and fair elections</li><li>✍ Continuity of democratic system</li><li>✍ Community and local decision making</li></ul>
<p style="text-align: center;"><b><u>Equality of opportunity</u></b></p> <ul style="list-style-type: none"><li>✍ Legal guarantees</li><li>✍ Violence against or harassment of particular groups</li><li>✍ Political participation</li><li>✍ Economic participation</li></ul>	

**Global markets, poor nations, poor people**

- ✍ The disparities in the distribution of global economic opportunities between rich and poor nations are widening. There are many reasons for this, both domestic and international. The Human Development Report 1992 focuses on two of the reasons: the role of international markets in this process, and the impact of human development on a country's performance in international markets. We look at the international flows of capital, labour, goods and services, assessing them from the perspective of poor nations and poor people.
- ✍ It is revealed that education is one of the best investments any country can make. Educated people are more productive-and they contribute more to a country's economic growth. In agriculture, for example, studies covering 31 countries concluded that if a farmer had completed four years of elementary education, his or her productivity was on average 8.7% higher than that of a farmer who had no education at all.

- ✍ In industry, most evidence is at the enterprise level, but a series of studies from engineering factories in Bangladesh to car plants in China shows that educated workers are more productive.
- ✍ The poorer countries get much higher rates of returns than richer countries from investing in education. And for the poorest countries, the highest returns are from primary education. For African countries, the estimated rate of return for primary education is 26% compared to 17% for secondary education and 13% for higher education.

## **Human Development Report 1993**

### **People's participation**

People's participation is becoming the central issue of our time. The democratic transition in many developing countries, the collapse of many socialist regimes, and the worldwide emergence of people's organizations these are all part of a historic change, not just isolated events. People today have an impatient urge to participate in the events and processes that shape their lives. That impatience brings many dangers and opportunities. It can dissolve into anarchy, ethnic violence or social disintegration. If properly nurtured in a responsive national and global framework, it can also become a source of tremendous vitality and innovation for the creation of new and more just societies. The dangers arise as the irresistible urge for participation clashes with inflexible systems. Although the achievements in human development have been significant during the past three decades, the reality is continuing exclusion. More than a billion of the world's people still languish in absolute poverty, and the poorest fifth find that the richest fifth enjoy more than 150 times their income. Women still earn only half as much as men and, despite constituting more than half the votes; have great difficulty securing even 10% representation in parliaments. Rural people in developing countries still receive less than half the income opportunities and social services available to their urban counterparts. Many ethnic minorities still live like a separate nation within their own countries. Political and economic democracy is still a reluctant process in several countries. Our world is still a world of difference. But many new windows of opportunity are opening. Many old concepts must now be radically revised. Security should be reinterpreted as security for people, not security for land. Development must be woven around people, not people around development and it should empower individuals and groups rather than disempowering them. And development cooperation should focus directly on people, not just on nation states. Many of the old institutions of civil society need to be rebuilt and many new ones created. And because future conflicts may well be between people rather than between states, national and international institutions will need to accommodate much more diversity and difference and to open many more avenues for constructive participation. All this will take time, for participation is a process, not an event. It will proceed at different speeds for different countries and regions, and its form and extent will vary from one stage of development to another. That is why it is necessary to address not only the levels of participation, but also whether participation is increasing. What is important is that the impulses for participation be understood and nurtured. The implications of widespread participation are profound, embracing every aspect of development. Markets need to be reformed to offer everyone access to the

benefits they can bring. Governance needs to be decentralized to allow greater access to decision-making and community organizations need to be allowed to exert growing influence on national and international issues. This calls for at least five new pillars of a people-centred world order:

**i) New concepts of human security must stress the security of people not only of nations.**

The concept of security must change from an exclusive stress on national security to a much greater stress on people's security, from security through armaments to security through human development, from territorial security to food, employment and environmental security.

**ii) New models of sustainable human development are needed to invest in human potential and to create an enabling environment for the full use of human capabilities.**

- ✍ Invest generously in basic education, relevant skills and worker retraining.
- ✍ Liberate private enterprise and make markets more accessible to everyone.
- ✍ Support small-scale enterprises and informal employment, mainly through reform of the credit system and fiscal incentives.
- ✍ Create an efficient service economy for the future by investing in the new skills required.
- ✍ Encourage labour-intensive technologies, especially through tax incentives.
- ✍ Extend employment safety nets through labour-intensive public works programmes in periods of major economic distress.
- ✍ Policy-makers are searching not only for development models that are people centred. They also want development to be more sustainable to protect the options of future generations.

**iii) New partnerships are needed between the state and the market to combine market efficiency with social compassion.**

**Preconditions**—People need the education and health standards to take advantage of market opportunities. Also needed is a reasonable distribution of productive assets (particularly land) so that people do not come to the market with totally unequal buying or selling power.

**Accompanying conditions**—are needed to ensure that markets work as freely and efficiently as possible. One of the most important is a stable macroeconomic environment especially to ensure stability in domestic prices and external currency values.

**Corrective actions**—When markets do not produce a desirable outcome, the state needs to regulate and correct.

**Social safety nets**—This must be in place to catch the victims of the competitive struggle.

**iv) New patterns of national and global governance are needed to accommodate the rise of people's aspirations and the steady decline of the nation-state.**

- ✍ Pressures on the nation-state, from above and below, are beginning to change traditional concepts of governance.
- ✍ National governments must find new ways of enabling their people to participate more in government and to allow them much greater influence on the decisions that affect their lives.
- ✍ Decentralization also increases the pressure on governments to concentrate on human priority concerns. Given a fair chance, local people are likely to choose ready access to basic education and health care rather than the construction of distant colleges or hospitals.

**Advocacy on behalf of the disadvantaged**— On such issues as human rights, the environment, women, poverty alleviation and indigenous peoples, NGOs have organized powerful advocacy groups that have changed the thinking of national and international policy-makers.

**The empowerment of marginalized groups**— In most developing countries, poverty is often caused less by an absolute shortage of resources than by their skewed distribution.

**Reaching the poorest**— NGOs often manage to reach groups that governments find the most difficult to help, particularly the poorest 20% of the population and those in the rural areas, where government services may be thin or non-existent.

**Providing emergency assistance**— One strength of NGOs is the ability to respond quickly and effectively to emergencies. Their network of contacts allows them to give advance warning of disasters and urge international action.

**v) New forms of international cooperation must be evolved to focus directly on the needs of the people rather than on the preferences of nation-states.**

The new emphasis on human security coupled with sustainable development will have to be matched by a fresh approach to international development cooperation. So far, the basic motivation for donors to give aid has been to win friends in the cold-war confrontation between socialism and capitalism.

In this Report, the critical difference is that participation is an overall development strategy focusing on the central role that people should play in all spheres of life. Human development involves widening their choices, and greater participation enables people to gain for themselves access to a much broader range of opportunities.

People can participate as individuals or as groups. As individuals in a democracy, they may participate as voters or political activists or in the market as entrepreneurs or workers. Often, however, they participate more effectively through group action as members of a community organization, perhaps, or a trade union or a political party.

Participation, from the human development perspective, is both a means and an end. Human development stresses the need to invest in human capabilities and then ensure that those capabilities are used for the benefit of all. Greater participation has an important part to play here: it helps maximize the use of human capabilities and is thus a means of increasing levels of social and economic development. But human development is also concerned with personal fulfilment. So, active participation which allows people to realize their full potential and make their best contribution to society is also an end in itself.

### **Forms of participation**

Since participation can take place in the economic, social and political arenas, each person necessarily participates in many ways, at many levels, in economic life as a producer or a consumer, an entrepreneur or an employee, in social life, as a member of a family, or of a community organization or ethnic group and in political life as a voter, or as a member of a political party or perhaps a pressure group.

**Household participation-** It is almost always women who rear the children and provide food and water, as well as ensure adequate health care for the family. To fulfil such responsibilities, they also work outside the home, often in the informal sector. This contribution of women to society remains unrecognized in economic statistics, and it does not give women even an equal say in decisions in the household.

**Economic participation-** Most people spend a large part of their lives in economic activity. It is in the economic arena that people have a unique opportunity to use their capabilities and to gain a remunerative income, which in turn enables them, through increased purchasing power, to increase their range of choices. Participation in economic life also affords people a basis for self-respect and social dignity, attributes that are integral to participating in all dimensions of life.

**Social and cultural participation-** All people, and all communities, have a right to create their culture in whatever way they wish—whether through language, through ritual, art, music and dance or through literature or storytelling—in any of the myriad forms of culture through which human beings the world over express themselves.

### **Making markets more people-friendly**

People-friendly markets allow people to participate fully in their operation and to share equitably in their benefits. Making markets more people-friendly will require a strategy that maintains their dynamism but supplements them with other measures to allow many more people to capitalize on the advantages they offer.

### **Steps towards people-friendly markets**

People-friendly markets allow people to participate fully in their operations and to share equitably in their benefits. Having markets serve people, rather than people serve markets, requires concrete steps:

### ***Preconditions***

- ✍ Adequate investment in the education, health and skills of people to prepare them for the market
- ✍ An equitable distribution of assets, particularly land in poor agrarian societies
- ✍ Extension of credit to the poor
- ✍ Access to information, particularly about the range of market opportunities
- ✍ Adequate physical infrastructure, especially roads, electricity and telecommunications,
- ✍ Adequate support for R&D
- ✍ A legal framework to protect property rights
- ✍ No barriers to entry, irrespective of race, religion, sex or ethnic origin
- ✍ A liberal trade regime, supported by the dismantling of international trade barriers.

### ***Accompanying conditions***

- ✍ A stable macroeconomic environment, especially ensuring stability in domestic prices and external currency values
- ✍ A comprehensive incentive system, with correct price signals, a fair tax regime and adequate rewards for work and enterprise
- ✍ Freedom from arbitrary government controls and regulations.

### ***Corrective actions***

- ✍ Protection of competition, through antimonopoly laws and safeguards against financial malpractices
- ✍ Protection of consumers, especially through drug regulations, safety and hygiene standards and honest advertising
- ✍ Protection of workers, through regulated working conditions and minimum wage standards
- ✍ Protection of special groups, particularly women, children and ethnic minorities
- ✍ Protection of the environment, particularly through incentive systems and by banning pollution or making polluters pay.

### ***Social safety nets***

Adequate arrangements to look after the temporary victims of market forces to bring them back into the markets, primarily through human investment, worker retraining and access to credit opportunities as well as more permanent support for groups such as the disabled and the aged.

## **Jobless growth**

Many parts of the world are witnessing a new phenomenon-jobless growth. Even when output increases, increase in employment lags way behind.

- ✍ Encourage labour-intensive technologies, especially through tax breaks.
- ✍ Extend employment safety nets through labour-intensive public works programmes in periods of major economic distress.

## **Markets and the state**

The concept of people-friendly markets clearly envisages state and markets working in tandem. For this to happen there must be a realistic assessment of the strengths and weaknesses of each. Today, markets are much more popular. Indeed, some people claim that recent events prove the triumph of capitalism and the demise of socialism. This is too simplistic a view. If there is a triumph of capitalism, it need not be the triumph of personal greed. If there is a demise of socialism, it need not be the demise of all social objectives. Indeed, such labels inhibit creative thinking and risk repeating the mistakes of the past. The issues are further clouded by three persistent myths about the roles of the public and private sectors in developing countries.

**Myth 1:** The public sector is too large in developing countries

**Myth 2** After privatization, the balance between private and public investment will change dramatically. In fact, privatization will have very little effect on this balance. First, the number of enterprises that can be privatised is not merely a technocratic exercise. It is also a political process privatized is not that great in most countries.

**Myth 3:** The activities of the state should be minimal. The real problem with the public sector in developing countries is not so much its size as its activities. To quote Keynes: "The important thing for Governments is not to do things which individuals are doing already, and to do them a little better or a little worse; but to do those things which at present are not done at all."

## **1994 A new concept of human security**

The world can never be at peace unless people have security in their daily lives. Future conflicts may often be within nations rather than between them with their origins buried deep in growing socio-economic deprivation and disparities. The search for security in such a milieu lies in development, not in arms. More generally, it will not be possible for the community of nations to achieve any of its major goals-not peace, not environmental protection, not human rights or democratization, not fertility reduction, not social integration except in the context of sustainable development that leads to human security.

For too long, the concept of security has been shaped by the potential for conflict between states. For too long, security has been equated with the threats to a country's borders. For too long, nations have sought arms to protect their security. For most people today, a feeling of insecurity arises more from

worries about daily life than from the dread of a cataclysmic world event. Job security, income security, health security, environmental security, security from crime these are the emerging concerns of human security all over the world. This should not surprise us.

Several insights can help in redefining the basic concept of security:

- ✍ Human security is relevant to people everywhere, in rich nations and in poor. The threats to their security may differ hunger and disease in poor nations and drugs and crime in rich nations but these threats are real and growing. Some threats are indeed common to all nations job insecurity and environmental threats, in particular.
- ✍ When the security of people is attacked in any corner of the world, all nations are likely to get involved. Famines, ethnic conflicts, social disintegration, terrorism, pollution and drug trafficking are no longer isolated events, confined within national borders. Their consequences travel the globe.
- ✍ It is less costly and more humane to meet these threats upstream rather than downstream, early rather than late. Short-term humanitarian assistance can never replace long-term development support. It is important to develop some operational indicators of human security.

### **A new paradigm of development**

To address the growing challenge of human security, a new development paradigm is needed that puts people at the centre of development, regards economic growth as a means and not an end, protects the life opportunities of future generations as well as the present generations and respects the natural systems on which all life depends. Such a paradigm of development enables all individuals to enlarge their human capabilities to the full and to put those capabilities to their best use in all fields economic, social, cultural and political.

Sustainable human development addresses both intra-generational and intergenerational equity enabling all generations, present and future, to make the best use of their potential capabilities. A major restructuring of the world's income distribution, production and consumption patterns may therefore be a necessary precondition for any viable strategy for sustainable human development. In the final analysis, sustainable human development is pro-people, pro-jobs and pro-nature. It gives the highest priority to poverty reduction, productive employment, social integration and environmental regeneration.

### **A world social charter**

To give clear and precise expression to the emerging concept of human security, now is the time to draw up a world social charter. Just as social contracts emerged in the 1930s and 1940s at the national level-the New Deal in the United States and the Beveridge Plan for the welfare state in the United Kingdom-so the growing consensus on the new compulsions of global human security requires social contracts at the global level.

## **A 20:20 compact for human development**

The world social charter would encompass a broad range of human security issues in both industrial and developing countries. The list of international commitments from which to choose is already long, but the most important targets include the following:

- ✍ *Universal primary education-for girls as well as for boys.*
- ✍ *Adult illiteracy rates to be halved-with the female rate to be no higher than the male one.*
- ✍ *Primary health care for all-with special stress on the immunization of children.*
- ✍ *Severe malnutrition to be eliminated and moderate malnutrition rates to be halved.*
- ✍ *Family planning services for all willing couples.*
- ✍ *Safe drinking water and sanitation for all.*
- ✍ *Credit for all-to ensure self-employment opportunities.*

## **A global human security fund**

Human security is indivisible. Famine, pollution, ethnic violence, their consequences travel the globe. Yet responses are still largely national. The Social Summit should therefore consider setting up a global human security fund to finance an international response. The issues, the fund could address, would include drug trafficking, international terrorism, nuclear proliferation, transmittable diseases, environmental pollution, natural resource depletion, natural disasters, ethnic conflicts and refugee flows.

## **A strengthened United Nations umbrella for human development**

The logical forum for the administration of this new global human security fund is the United Nations. But to cope with the increased responsibility, the UN system needs to strengthen its capabilities in the area of sustainable human development. The development funds of the UN (UNDP, UNICEF, UNFPA, IFAD and WFP) provide substantial resources to developing countries about \$5 billion a year.

## **An Economic Security Council**

To take this process of strengthening the development mandate of the UN to its logical conclusion, it would also be essential to set up an Economic Security Council. This would be a decision-making forum at the highest level to review the threats to global human security and agree on the necessary actions. The proposed' Economic Security Council would need to include some of the following elements:

***A focus on sustainable human development-*** rather than on political and peacekeeping matters.

***A small and manageable membership*** say, 11 permanent members from the main industrial and more populous developing countries, and another 11 members on a rotating basis.

***A protected voting mechanism-such*** as a requirement that, beyond an overall majority, all decisions should also be ratified by majorities of both the industrial and the developing countries.

***A professional secretariat-small*** and highly qualified, led by an outstanding person, to prepare policy options for the council's consideration.

**Expert national delegates-the** regular meetings would involve nationals with economic and financial expertise, but there would also be occasional high-level meetings of ministers of finance and planning, as well as annual sessions at the level of head of state or government.

**Supervision of global institutions-the** council would act as a watchdog over the policy direction of all international and regional institutions. The Economic Security Council would thus consist of about 22 members meeting year-round.

## 1995 The revolution for gender equality

One of the defining movements of the 20<sup>th</sup> century has been the relentless struggle for gender equality, led mostly by women, but supported by growing numbers of men. When this struggle finally succeeds-as it must-it will mark a great milestone in human progress. And along the way it will change most of today's premises for social, economic and political life. At the heart of this concept are three essential components:

- ✍ Equality of opportunity for all people in society.
- ✍ Sustainability of such opportunities from one generation to the next.
- ✍ Empowerment of people so that they participate in and benefit from development processes.

Equal enjoyment of human rights by women and men is a universally accepted principle, reaffirmed by the Vienna declaration, adopted by 171 states at the World Conference on Human Rights in June 1993. It has many dimensions:

- ✍ Equal access to basic social services, including education and health.
- ✍ Equal opportunities for participation in political and economic decision-making.
- ✍ Equal reward for equal work.
- ✍ Equal protection under the law.
- ✍ Elimination of discrimination by gender and violence against women.
- ✍ Equal rights of citizens in all areas of life, both public such as the workplace and private such as the home. The recognition of equal rights for women along with men, and the determination to combat discrimination on the basis of gender, are achievements equal in importance to the abolition of slavery, the elimination of colonialism and the establishment of equal rights for racial and ethnic minorities.

## **Human development, if not engendered, is endangered. That is the simple but far-reaching message of this Report**

Human development is a process of enlarging the choices for **all** people, not just for one part of society. Such a process becomes unjust and discriminatory if most women are excluded from its benefits. And the continuing exclusion of women from many economic and political opportunities is a continuing indictment of modern progress. For too long, it was assumed that development was a process that lifts all boats, that its benefits trickled down to all income classes and that it was gender-neutral in its impact.

Experience teaches otherwise. Wide income disparities and gender gaps stare us in the face in all societies. Moving towards gender equality is not a technocratic goal it is a political process. It requires a new way of thinking in which the stereotyping of women and men gives way to a new philosophy that regards all people, irrespective of gender, as essential agents of change.

### **In no society do women enjoy the same opportunities as men**

An innovation of the Human Development Report, 1995, the gender-related development index (GDI), reflects gender disparities in basic human capabilities and ranks 130 countries on a global scale. The four top countries are in the Nordic belt-Sweden, Finland, Norway and Denmark, in that order. This is hardly surprising. These countries, much concerned with ending the relative deprivation of women, have adopted gender equality and women's empowerment as conscious national policies. In these countries, adult literacy rates are similar for women and men, and combined enrolment is higher for females. Life expectancy is, on average, about seven years higher for women (compared with an estimated global biological edge of five years). And women's earned income is around three-fourths of men's income.

### **Removing gender inequality has nothing to do with national income**

Income is not the decisive factor. Several of the world's poor nations have been able to raise female literacy rates. With limited resources but a strong political commitment, China, Sri Lanka and Zimbabwe raised adult women's literacy to 70% or more. By contrast, several richer countries lag behind. The decision to invest in the education and health of people, irrespective of gender, seems to cut across income levels, political ideologies, cultures and stages of development.

In many cases, a strong political commitment has driven efforts to improve women's human development despite a shortage of resources.

### **Every country has made progress in developing women's capabilities, but women and men still live in an unequal world**

Gender gaps in education and health have narrowed rapidly in the past two decades, although the pace of this progress has been uneven between regions and countries.

- ✍ *While doors to education and health opportunities have opened rapidly for women, the doors to economic and political opportunities are barely ajar*
- ✍ *A major index of neglect is that many of women's economic contributions are grossly undervalued or not valued at all.*
- ✍ *Another major element of discrimination is the unacceptably low status of women in society, with continuing legal discrimination and violence against women*
- ✍ *The revolution towards gender equality must be propelled by a concrete strategy for accelerating progress*

Engendering the development paradigm involves radical change in the long-standing premises for social, economic and political life.

- ✍ ***National and international efforts must be mobilized to win legal equality within a defined period-say, the next ten years.*** To achieve this objective, the international community will need to move on several fronts:
- ✍ ***Many economic and institutional arrangements may need revamping to extend more choices to women and men in the work-place.*** For example: *Encouraging Men to Participate in Family Care.*
- ✍ ***Key programmes should embrace universal female education, improved reproductive health and more credit for women.*** These programmes can make a decisive difference in enabling women to gain more equitable access to economic and political opportunities.

Analysis of experience shows that in three critical areas-access to education, reproductive health and credit resources women face barriers that can be overcome only through determined policy action.

*National and international efforts should target programmes that enable people, particularly women, to gain greater access to economic and political opportunities.* Reproductive Health Care, Credit for Poor People, Sustainable Livelihood for all, Remunerative employment opportunities are the key to the attack on poverty. But not all of them need to be in the formal, organized sectors of the economy. What is essential is to encourage self-employment schemes, micro enterprises and opportunities for the poor to enter the market, targeted programmes for poverty reduction, capacity building and empowerment.

## **1996 Growth for human development**

Human development is the end economic growth a means. So, the purpose of growth should be to enrich people's lives. But far too often it does not. The recent decades show all too clearly that there is no automatic link between growth and human development. And even when links are established, they may gradually be eroded unless regularly fortified by skilful and intelligent policy management. This year's *Human Development Report* explores the nature and strength of the links between economic growth and human development. The Human Development Report, 1996, concludes that more economic growth, not less, will generally be needed as the world enters the 21st century. But more attention must go to the structure and quality of that growth to ensure that it is directed to supporting human development, reducing poverty, protecting the environment and ensuring sustainability.

- ✍ Over the past 15 years the world has seen spectacular economic advance for some countries and unprecedented decline for others.
- ✍ Widening disparities in economic performance are creating two world severe more polarized.
- ✍ Everywhere the structure and quality of growth, demand more attention to contribute to human development, poverty reduction and long-term sustainability.

Policy-makers are often mesmerized by the quantity of growth. They need to be more concerned with its structure and quality. Unless governments take timely corrective action, economic growth can become lopsided and flawed. Determined efforts are needed to avoid growth that is jobless, ruthless, voiceless, rootless and futureless.

**Jobless growth**— where the overall economy grows but does not expand the opportunities for employment.

**Ruthless growth**— where the fruits of economic growth mostly benefit the rich, leaving millions of people struggling in ever deepening poverty.

**Voiceless growth**— where growth in the economy has not been accompanied by an extension of democracy or empowerment.

**Rootless growth**— which causes people's cultural identity to wither. There are thought to be about 10,000 distinct cultures, but many risk being marginalized or eliminated.

**Futureless growth**— where the present generation squanders resources needed by future generations.

- ✍ Progress in human development has mostly continued, but too unevenly.
- ✍ There are striking contrasts in today's relationship between human development and per capita income.
- ✍ Short-term advances in human development are possible but they will not be sustainable without further growth. Conversely, economic growth is not sustainable without human development.
- ✍ There need be no conflict between growth and equity.

The traditional view that economic growth in the early stages is inevitably associated with deteriorating income distribution has been proved false. The new insight is that an equitable distribution of public and private resources can enhance the prospects for further growth. The assertion that the benefits of growth in the early stages would inevitably be skewed towards the rich rested on two principal arguments. The first came from Nobel Laureate Simon Kuznets, who said that inequality would first rise, as workers left agriculture for industry, and then fall as industrial production became more widespread. The second was advanced by Nicholas Kaldor, who emphasized the importance of savings. He argued that the only way to finance growth would be by channelling the initial benefits into the pockets of rich capitalists. Since they have a higher propensity to save, only they could provide the funds for investment.

These hypotheses have been disproved by recent evidence of a positive correlation between economic growth and income equality (as represented by the share of the poorest 60% of the population). Japan and East Asia pioneered this form of equitable development, and China, Malaysia and Mauritius have been following a similar route more recently. The discovery of this reinforcing relationship between equity and growth has far-reaching implications for policy-makers. Well-developed human capabilities and well-distributed opportunities can ensure that growth is not lopsided and that its benefits are equitably shared. They can also help in getting the most growth.

**For policy-makers everywhere, the focus must be on strengthening the links between economic growth and human development.**

To ensure that these links work efficiently and effectively in both directions, policymakers need to understand how the links connect. Some of the most important issues determining how growth contributes to human development:

**Equity**—The more equally GNP and economic opportunities are distributed, the more likely that they will be translated into improved human well-being.

**Job opportunities**—Economic growth is translated into people's lives when they are offered productive and well-paid work. An important way to achieve this is to aim for patterns of growth that are heavily labour intensive.

**Access to productive assets**— Many people find their economic opportunities stifled by a lack of access to productive assets particularly land, physical infrastructure and financial credit. The state can do much in all these areas by stepping in and levelling the playing fields.

**Social spending**— Governments and communities can greatly influence human development by channelling a major part of public revenue into high-priority social expenditure-particularly by providing basic social services for all.

**Gender equality**— Fairer opportunities for women and better access to education, child care, credit and employment contribute to their human development. They also contribute to the human development of other family members and to economic growth. Investing in women's capabilities and empowering them to exercise their choices is the surest way to contribute to economic growth and overall development.

**Population policy**— Education, reproductive health and child survival all help lower fertility, thus creating the conditions for slower population growth and lower education and health costs in the longer run.

**Good governance**— When those in power give high priority to the needs of the whole population, and when people participate in decision-making at many levels, the links between economic growth and human well-being are likely to be stronger and more durable.

**An active civil society**— Non-governmental organizations and community groups also play a vital part in enhancing human development. They not only supplement government services, extending them to people and groups who would otherwise remain unserved. They also play a vital advocacy role, mobilizing public opinion and community action and helping shape human development priorities

**New approaches are needed to expand and improve employment opportunities, so that people can participate in growth and benefit from it.**

Without growth, it is difficult to create jobs and increase wages. With growth, job opportunities normally expand. But again, the process is not automatic. To forge a strong link between economic growth and employment requires employment-generating growth strategies.

**A political commitment to full employment**— The countries achieving the greatest success in employment have generally been those that deliberately set out to do so.

**Enhancing human capabilities**—High employment economies have generally invested heavily in the development of human capabilities particularly education, health and skills.

**Strengthening small-scale and informal sector production**- In many countries such production has demonstrated the potential for generating employment and incomes for millions of people while providing a wide range of the basic goods and services needed in daily life.

**Broader and more egalitarian access to land**— Numerous studies show that small farmers achieve higher output per hectare than large farmers. So, providing greater access to land can increase productivity, employment and growth while reducing poverty and easing the pressure on scarce resources.

**Research and development**—Another part of successful employment strategies is intensive investment in research and development for labour-intensive technology, including the adaptation of imported capital-intensive technologies to fit local needs.

**New patterns of growth will need to be developed and sustained well into the 21st century to prevent ever more extreme imbalances and inequalities in the world economy.**

The imbalances in economic growth over the past 15 years are clear enough. But if allowed to continue well into the next century, they will produce a world gargantuan in its excesses and grotesque in its human and economic inequalities. New mechanisms must be developed to help the weak and the vulnerable seize the opportunities of the new global economy, while protecting them from marginalization.

## 1997 Human development to eradicate poverty

The great success in reducing poverty in the 20th century shows that eradicating severe poverty in the first decades of the 21st century is feasible. This may seem an extraordinary ambition but it is well within our grasp. Almost all countries committed themselves to this goal at the World Summit for Social Development in 1995. *Human Development Report 1997* reviews the challenge to eradicate poverty from a human development perspective. Over the years the concept of poverty has been defined in different ways.

- ✍ **Income perspective:** A person is poor if and only if, her income level is below the defined poverty line. Many countries have adopted income poverty lines to monitor progress in reducing poverty incidence.
- ✍ **Basic needs perspective:** Poverty is deprivation of material requirements for minimally acceptable fulfilment of human needs, including food. This concept of deprivation goes well beyond the lack of private income: it includes the need for basic health and education and essential services that have to be provided by the community to prevent people from falling into poverty. It also recognizes need for employment and participation.
- ✍ **Capability perspective:** Poverty represents the absence of some basic capabilities to function – a person lacking the opportunity to achieve some minimally acceptable levels of these functioning. The functioning relevant to this analysis can vary from such physical ones as being well nourished, being adequately clothed and sheltered and avoiding preventable morbidity, to more complex social achievements such as partaking in the life of the community.

✍ **Poverty in the human development approach** draws on each of these perspectives, but draws particularly on the capability perspective.

It focuses not just on poverty of income but on poverty from a human development perspective- on poverty as a denial of choices and opportunities for living a tolerable life.

**The progress in reducing poverty over the 20th century is remarkable and unprecedented ... .. but the advances have been uneven and marred by setbacks and poverty remains pervasive.**

Some stark figures summarize the balance sheet of poverty towards the end of the 20th century: More than a quarter of the developing world's people still live in poverty as measured by the human poverty index introduced in this Report.

**From a human development perspective, poverty means the denial of choices and opportunities for a tolerable life.**

It is in the deprivation of the lives people lead that poverty manifests itself. Poverty can mean more than a lack of what is necessary for material well-being. It can also mean the denial of opportunities and choices most basic to human development- to lead a long, healthy, creative life and to enjoy a decent standard of living, freedom, dignity, self-esteem and the respect of others.

**Table-1: Poverty measures for \$1 a day (Number of people in million with Percentage of population)**

Region	1981	1990	1999	2004
East Asia and Pacific (EAP)	796.40 (57.73)	476.22 (29.84)	276.54 (15.46)	169.13 (9.05)
Of which China	633.66 (63.76)	374.33 (32.98)	222.78 (17.77)	128.36 (9.90)
Eastern Europe + Central Asia (ECA)	3.00 (0.70)	2.16 (0.46)	17.90 (3.78)	4.42 (0.94)
Latin America + Caribbean (LAC)	39.35 (10.77)	44.60 (10.19)	49.03 (9.66)	47.02 (8.64)
Middle East + North Africa (MNA)	8.81 (5.08)	5.26 (2.33)	5.67 (2.08)	4.40 (1.47)
South Asia (SAS)	455.18 (49.57)	479.10 (43.04)	463.40 (34.92)	446.20 (30.84)
Of which India	363.72 (51.75)	376.44 (44.31)	376.25 (37.66)	370.67 (34.33)
Sub-Saharan Africa (SSA)	167.53 (42.26)	240.34 (46.73)	296.07 (45.77)	298.30 (41.10)
Total	1470.28 (40.14)	1247.68 (28.66)	1108.61 (22.10)	696.48 (18.09)

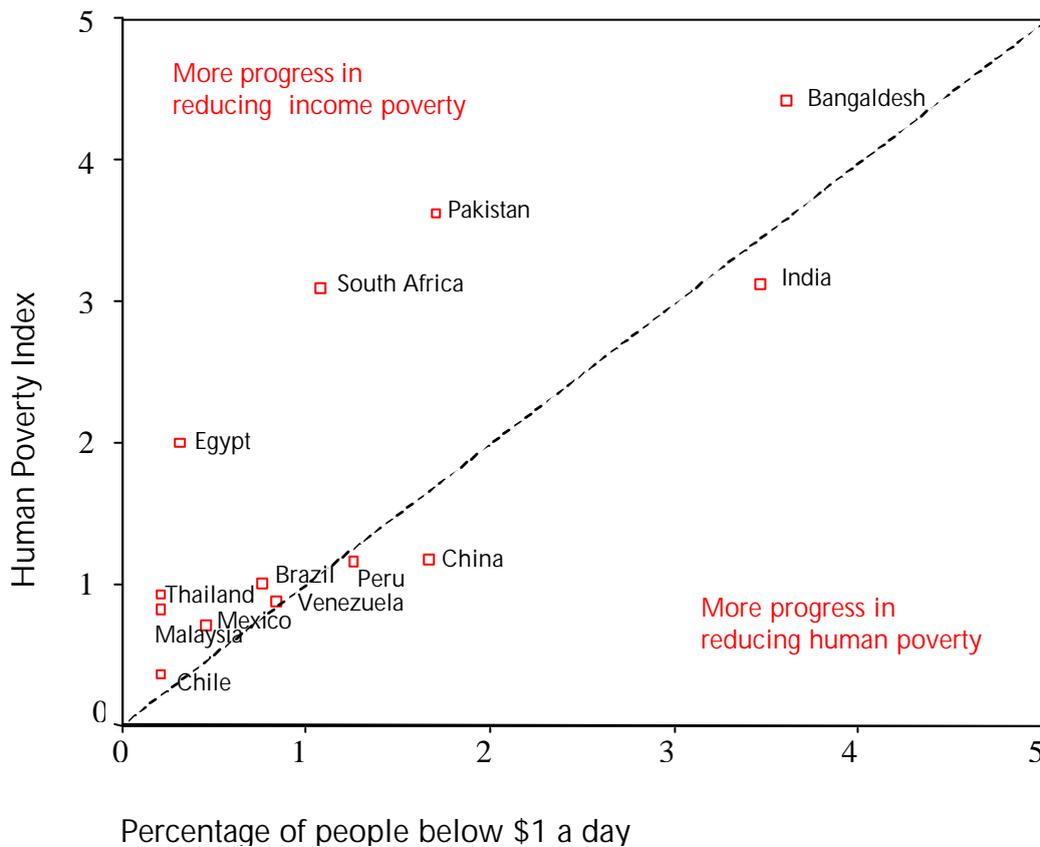
Source : *Absolute Poverty Measures for the Developing World, 1981-2004*, Shaohua Chen and Martin Ravallion, Development Research Group, World Bank

## Human Poverty Index

The human poverty index combines basic dimensions of poverty and reveals interesting contrasts with income poverty. This Report introduces a human poverty index (HPI). Rather than measure poverty by income, it uses indicators of the most basic dimensions of deprivation: a short life, lack of basic education and lack of access to public and private resources. Like all measures the HPI has weaknesses in data and in concept. Like all measures it cannot capture the totality of human poverty. But by combining in a single poverty index the concerns that often get pushed aside when the focus is on income alone, the HPI makes a useful addition to the measures of poverty.

- ✍ The scale of poverty is daunting, but we should take heart from what's already been achieved and focus on six priorities for action to eradicate poverty.
- ✍ Indicating absolute poverty in the first decades of the 21st century is feasible, affordable and a moral imperative.

Eradicating poverty everywhere is more than a moral imperative and a commitment to human solidarity. It is a practical possibility. The time has come to eradicate the worst aspects of human poverty within a decade or two to create a world that is more humane, more stable, more just.



Source: Developed by using data from Human Development Report, 2006 and World Development Indicators 2006.

## 1998 Changing today's consumption patterns for tomorrow's human development

World consumption has expanded at an unprecedented pace over the 20th century, with private and public consumption expenditures. The benefits of this consumption have spread far and wide. More people are better fed and housed than ever before. Living standards have risen to enable hundreds of millions to enjoy housing with hot water and cold, warmth and electricity, transport to and from work with time for leisure and sports, vacations and other activities beyond anything imagined at the start of this century. How do these achievements relate to human development?

Consumption is clearly an essential means, but the links are not automatic. Consumption clearly contributes to human development when it enlarges the capabilities and enriches the lives of people without adversely affecting the well-being of others. It clearly contributes when it is as fair to future generations as it is to the present ones. And it clearly contributes when it encourages lively, creative individuals and communities. But the links are often broken, and when they are, consumption patterns and trends are inimical to human development. Today's consumption is undermining the environmental resource base. It is exacerbating inequalities. And the dynamics of the consumption -poverty- inequality-environment nexus are accelerating. If the trends continue without change not redistributing from high-income to low-income consumers, not shifting from polluting to cleaner goods and production technologies, not promoting goods that empower poor producers, not shifting priority from consumption for conspicuous display to meeting basic needs, today's problems of consumption and human development will worsen. But trend is not destiny, and none of these outcomes is inevitable. Change is needed and change is possible. In short, consumption must be shared, strengthening, socially responsible and sustainable.

*Shared.* Ensuring basic needs for all.

*Strengthening.* Building human capabilities.

*Socially responsible.* So the consumption of some does not compromise the wellbeing of others.

*Sustainable.* Without mortgaging the choices of future generations. Human life is ultimately nourished and sustained by consumption. Abundance of consumption is no crime. It has, in fact, been the life blood of much human advance. The real issue is not consumption itself but its patterns and effects. Consumption patterns today must be changed to advance human development tomorrow. Consumer choices must be turned into a reality for all. Human development paradigms, which aim at enlarging all human choices, must aim at extending and improving consumer choices too, but in ways that promote human life.

- ✍ The 20th century's growth in consumption, unprecedented in its scale and diversity, has been badly distributed, leaving a backlog of shortfalls and gaping inequalities.
- ✍ Ever-expanding consumption puts strains on the environment-emissions and wastes that pollute the earth and destroy ecosystems, and growing depletion and degradation of renewable resources that undermines livelihoods.
- ✍ The world's dominant consumers are overwhelmingly concentrated among the well-off-but the environmental damage from the world's consumption falls most severely on the poor.

- ✍ Rising pressures for conspicuous consumption can turn destructive, reinforcing exclusion, poverty and inequality.
- ✍ Globalization is integrating consumer markets around the world and opening opportunities. But it is also creating new inequalities and new challenges for protecting consumer rights.
- ✍ Poor countries need to accelerate their consumption growth but they need not follow the path taken by the rich and high-growth economies over the past half century.
- ✍ Ensure minimum consumption' requirements for all as an explicit policy objective in all countries.
- ✍ Develop and apply technologies and methods that are environmentally sustainable for both poor and affluent consumers.
- ✍ Strengthen public action for consumer education and information and environmental protection.
- ✍ Strengthen international mechanisms to manage consumption's global impacts.
- ✍ Build stronger alliances among the movements for consumer rights, environmental protection, poverty eradication, gender equality and children's rights.
- ✍ Think globally, act locally. Build on the burgeoning initiatives of people in communities everywhere and foster synergies in the actions of civil society, the private sector and government.

### 1999 Globalization with a human face

The real wealth of a nation is its people. And the purpose of development is to create an enabling environment for people to enjoy long, healthy and creative lives. This simple but powerful truth is too often forgotten in the pursuit of material and financial wealth. *Globalization is not new, but the present era has distinctive features. Shrinking space, shrinking time and disappearing borders are linking people's lives more deeply, more intensely, more immediately than ever before.*

Globalization is a process integrating not just the economy but culture, technology and governance. People everywhere are becoming connected and affected by events in far corners of the world. The collapse of the Thai baht not only threw millions into unemployment in South-East Asia, the ensuing decline in global demand meant slowdowns in social investment in Latin America and a sudden rise in the cost of imported medicines in Africa. Globalization is not new. Recall the early sixteenth century and the late nineteenth. But this era is different:

**Table-2: The phases of globalization**

	1870-1913	1945-1973	From 1974
Capital mobility	High	Low	High
Labour mobility	High	Low	Low
Free trade	Limited	Limited	Extensive
Global institutions	Non-existent	Created	Lagging
National institutions	Heterogeneity	Heterogeneity	Standardization

Source: *Globalization and Development, United Nation, CEPAL ECLAC Twenty-Ninth Session, Brasilia, Brazil, 6-10 May, 2002*

**New markets**—foreign exchange and capital markets linked globally, operating 24 hours a day, with dealings at a distance in real time.

**New tools**—Internet links, cellular phones, media networks.

**New actors**—the World Trade Organization (WTO) with authority over national governments, the multinational corporations with more economic power than many states, the global networks of non-governmental organizations (NGOs) and other groups that transcend national boundaries.

**New rules**—multilateral agreements on trade, services and intellectual property, backed by strong enforcement mechanisms and more binding for national governments, reducing the scope for national policy.

### **Globalization offers great opportunities for human advance—but only with stronger governance.**

This era of globalization is opening many opportunities for millions of people around the world. Increased trade, new technologies, foreign investments, expanding media and internet connections are fuelling economic growth and human advance. The challenge is to find the rules and institutions for stronger governance—local, national, regional and global—to preserve the advantages of global markets and competition, but also to provide enough space for human, community and environmental resources to ensure that globalization works for people not just for profits. Globalization with:

**Ethics**—less violation of human rights, not more.

**Equity**—less disparity within and between nations, not more.

**Inclusion**—less marginalization of people and countries, not more.

**Human security**—less instability of societies and less vulnerability of people, not more.

**Sustainability**—less environmental destruction, not more.

**Development**—less poverty and deprivation, not more.

### **The opportunities and benefits of globalization need to be shared much more widely.**

Since the 1980s many countries have seized the opportunities of economic and technological globalization. Beyond the industrial countries, the newly industrializing East Asian tigers are joined by Chile, the Dominican Republic, India, Mauritius, Poland, Turkey and many others linking into global markets, attracting foreign investment and taking advantage of technological advance. By the late 1990s the fifth of the world's people living in the highest-income countries had:

- ✍ 86% of world GDP—the bottom fifth just 1%.
- ✍ 82% of world export markets—the bottom fifth just 1%.
- ✍ 68% of foreign direct investment—the bottom fifth just 1%.

- ✍ 74% of world telephone lines, today's basic means of communication—the bottom fifth just 1.5%.
- ✍ In 1993 just 10 countries accounted for 84% of global research and development expenditures and controlled 95% of the US patents of the past two decades. Moreover, more than 80% of patents granted in developing countries belong to residents of industrial countries. All these trends are not the inevitable consequences of global economic integration—but they have run ahead of global governance to share the benefits.

### **Globalization is creating new threats to human security—in rich countries and poor.**

One achievement of recent decades has been greater security for people in many countries — more political freedom and stability in Chile, peace in Central America, safer streets in the United States. But in the globalizing world of shrinking time, shrinking space and disappearing borders, people are confronting new threats to human security—sudden and hurtful disruptions in the pattern of daily life.

### **Financial volatility and economic insecurity.**

The financial turmoil in East Asia in 1997–99 demonstrates the risks of global financial markets. Bankruptcies spread. Education and health budgets came under pressure. More than 13 million people lost their jobs. As prices of essentials rose sharply, real wages fell sharply, down some 40–60% in Indonesia. The consequences go deeper—all countries report erosion of their social fabric, with social unrest, more crime, more violence in the home

The turmoil in the international financial markets of advanced economies started around mid-2007, has exacerbated substantially since August 2008. The financial market crisis has led to the collapse of major financial institutions and is now beginning to impact the real economy in the advanced economies. As this crisis is unfolding, credit markets appear to be drying up in the developed world. With the substantive increase in financial globalisation, these developments affect India and other Asian emerging market economies (EMEs).

There are indications that the current crisis will have some implications in terms of higher funding costs and raising external finance, particularly, for lower rated firms. Further, countries with significant foreign bank presence, mostly in East European economies, might be vulnerable to financial stress faced by a parent bank. Similarly, slowdown in advanced countries is impacting the remittances to EMEs.

As regards the impact of financial turbulence on the real sector, Asian EMEs will be adversely affected by slowing growth in developed economies. For East Asian economies, since most of these economies are small and their trade sector (export plus imports) as proportion of GDP varies at a significantly higher level between over 200 per cent and 60 per cent, it would be an area of concern for these countries. Therefore, for these set of countries, the crises could be transmitted through the trade channel also.

### **Job and income insecurity.**

In both poor and rich countries dislocations from economic and corporate restructuring, and from dismantling the institutions of social protection, have meant greater insecurity in jobs and incomes. The pressures of global competition have led countries and employers to adopt more flexible labour policies with more precarious work arrangements.

### **Cultural insecurity.**

Globalization opens people's lives to culture and all its creativity— and to the flow of ideas and knowledge. But the new culture carried by expanding global markets is disquieting. As Mahatma Gandhi expressed so eloquently earlier in the century, "I do not want my house to be walled in on all sides and my windows to be stuffed. I want the cultures of all the lands to be blown about my house as freely as possible. But I refuse to be blown off my feet by any." Today's flow of culture is unbalanced, heavily weighted in one direction, from rich countries to poor. Weightless goods—with high knowledge content rather than material content—now make for some of the most dynamic sectors in today's most advanced economies. The single largest export industry for the United States is not aircraft or automobiles, it is entertainment —Hollywood films grossed more than \$30 billion worldwide in 1997.

### **Personal insecurity.**

Criminals are reaping the benefits of globalization. Deregulated capital markets, advances in information and communications technology and cheaper transport make flows easier, faster and less restricted not just for medical knowledge but for heroin, not just for books and seeds but for dirty money and weapons.

### **Environmental insecurity.**

Chronic environmental degradation, today's silent emergency, threatens people worldwide and undercuts the livelihoods of at least half a billion people. Poor people themselves, having little choice, put pressure on the environment, but so does the consumption of the rich. The growing export markets for fish, shrimp, paper and many other products mean depleted stocks, less biodiversity and fewer forests. Most of the costs are borne by the poor though it is the world's rich who benefit most.

### **New information and communications technologies are driving globalization but polarizing the world into the connected and the isolated.**

With the costs of communications plummeting and innovative tools easier to use, people around the world have burst into conversation using the Internet, mobile phones and fax machines. Barriers of size, time and distance are coming down for small businesses, for governments of poor countries, for remote academics and specialists.

- ✍ **Geography divides.** Thailand has more cellular phones than Africa. South Asia, home to 23% of the world's people, has less than 1% of Internet users.
- ✍ **Education is a ticket to the network high society.** Globally, 30% of users had at least one university degree.
- ✍ **Income buys access.** To purchase a computer would cost the average Bangladeshi more than eight years' income, the average American, just one month's wage.
- ✍ **Men and youth dominate.** Women make up just 17% of the Internet users in Japan, only 7% in China. Most users in China and the United Kingdom are under 30.

- ✍ **English talks.** English prevails in almost 80% of all Websites, yet less than one in 10 people worldwide speaks it. This exclusivity is creating parallel worlds. Those with income, education and—literally— connections have cheap and instantaneous access to information. The rest are left with uncertain, slow and costly access. When people in these two worlds live and compete side by side, the advantage of being connected will overpower the marginal and impoverished, cutting off their voices and concerns from the global conversation. This risk of marginalization does not have to be a reason for despair.

**It should be a call to action for:**

- ✍ More connectivity: setting up telecommunications and computer hardware.
- ✍ More community: focusing on group access, not just individual ownership.
- ✍ More capacity: building human skills for the knowledge society.
- ✍ More content: putting local views, news, culture and commerce on the Web.
- ✍ More creativity: adapting technology to local needs and opportunities.
- ✍ More collaboration: developing Internet governance to accommodate diverse national needs.
- ✍ More cash: finding innovative ways to fund the knowledge society everywhere.

**Global technological breakthroughs offer great potential for human advance and for eradicating poverty but not with today's agendas.**

Liberalization, privatization and tighter intellectual property rights are shaping the path for the new technologies, determining how they are used. But the privatization and concentration of technology are going too far. Corporations define research agendas and tightly control their findings with patents, racing to lay claim to intellectual property under the rules set out in the agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS). Poor people and poor countries risk being pushed to the margin in this proprietary regime controlling the world's knowledge

A broader perspective is needed. Intellectual property rights were first raised as a multilateral trade issue in 1986 to crack down on counterfeit goods. The reach of those rights now goes far beyond that into the ownership of life

**The relentless pressures of global competition are squeezing out care, the invisible heart of human development.**

Caring labour—providing for children, the sick and the elderly, as well as all the rest of us, exhausted from the demands of daily life—is an important input for the development of human capabilities. It is also a capability in itself. And it is special—nurturing human relationships with love, altruism, reciprocity and trust. Without enough care, individuals do not flourish. Without attention and stimulus, babies languish, failing to reach their full potential. And without nurturing from their families, children under perform in school. Human support to others is essential for social cohesion and a strong community. It is also essential for economic growth. But the market gives few incentives and few rewards for it. The traditional model of a patriarchal household is no solution—a new approach must build gender equity into sharing the burdens and responsibility for care. New institutional mechanisms, better public policy and a social consensus are needed to provide incentives for rewarding care and increasing its supply and quality:

- ✍ Public support for care services—such as care for the elderly, day care for children and protection of social services during crises.
- ✍ Labour market policies and employer action to support the care needs of employees.
- ✍ More gender balance and equity in carrying the burden of household care services.

**National and global governance have to be reinvented with human development and equity at their core.**

None of these pernicious trends—growing marginalization, growing human insecurity, growing inequality is inevitable. With political will and commitment in the global community, they can all be reversed. With stronger governance—local, national, regional and global—the benefits of competitive markets can be preserved with clear rules and boundaries, and stronger action can be taken to meet the needs of human development. Governance does not mean mere government. It means the framework of rules, institutions and established practices that set limits and give incentives for the behaviour of individuals, organizations and firms. Reinventing governance for the 21st century must start with strong commitments:

***To Global Ethics, Justice and Respect for the Human Rights of All People.*** Global governance requires a common core of values, standards and attitudes, a widely felt sense of responsibility and obligations, not just by individuals, but by governments, corporations and civil society organizations.

***To human well-being as the end, with open markets and economic growth as means.*** Human development and social protection have to be incorporated in the principles and practices of global governance.

***To respect for the diverse conditions and needs of each country.*** Economic policy-making should be guided by pragmatism rather than ideology and recognition that what works in Chile does not necessarily work in Argentina, what is right for Mauritius may not work for Madagascar.

***To the accountability of all actors.*** Multilateral agreements and international human rights regimes hold only national governments accountable. National governance holds all actors accountable within national borders, but it is being overtaken by the rising importance of supra-national global actors (multinational corporations) and international institutions (IMF, World Bank, WTO, Bank for International Settlements). The agenda for action to secure human development in this era of globalization should focus on seven key challenges, each requiring national and international action.

**Strengthen policies and actions for human development, and adapt them to the new realities of the global economy.**

- ✍ Social policies and national governance are even more relevant today to make globalization work for human development and to protect people against its new threats. New policies are needed to tackle:
- ✍ Changing labour markets—not by going back to the old rigidities of labour market policies that protect elite labour, but by promoting job-creating growth, investing in workers' skills, promoting labour rights and making informal work more productive and remunerative. This is the new road to flexibility in the labour market.

- ✍ Shrinking fiscal resources of states, the results of liberalizing trade and financial markets, of the global tax competition and of the growth of the underground economy by generating more revenue from new sources, such as taxes on income and land, abysmally low in many developing countries, or on value added; by improving efficiency in tax administration, cutting costs and increasing collections; by reducing military spending globally, still as high as a third of education and health spending.
- ✍ Increasing pressures on people's ability to provide caring labour in the family and community and on the state's ability to support it— by restoring strong commitments to preserving time, resources and rewards for care and restoring gender balance in the distribution of costs and burdens.
- ✍ Declining cultural diversity—by supporting national cultures, not by shutting out imports but by supporting local culture, arts and artists.

**Reduce the threats of financial volatility —of the boom and bust economy—and all their human costs.**

***Policy should focus on:***

- ✍ Liberalizing the capital account more carefully.
- ✍ Subjecting financial institutions to greater transparency and accountability.
- ✍ Integrating macroeconomic management and social policies to reduce the impact of financial turmoil on the economy and to minimize the social costs.
- ✍ Strengthening international action to regulate and supervise banking systems
- ✍ Developing better institutions of early warning and crisis management.
- ✍ Establishing an international lender of last resort for people to complement financial packages.

**Take stronger global action to tackle global threats to human security.**

Stronger global cooperation and action are needed to address the growing problems beyond the scope of national governments to manage.

- ✍ The fight against global crime requires national police to take cooperative action as rapidly as the crime syndicates do.
- ✍ The “loud emergencies” of environmental degradation (acid rain, global warming and ozone depletion) have trans-boundary consequences, particularly for poor people and nations.
- ✍ Violations of human rights are often observed in export processing zones and in the factories of multinational corporations. The international community should formulate codes of conduct for multinationals to safeguard workers' rights.
- ✍ More global action is essential to address HIV/AIDS, which is penetrating borders everywhere.

### **Enhance public action to develop technologies for human development and the eradication of poverty.**

The potential of the new technologies for human development and poverty eradication must be tapped.

- ✍ Intellectual property rights under the TRIPS agreement need comprehensive review to redress their perverse effects undermining food security, indigenous knowledge, bio-safety and access to health care.
- ✍ The governance of global communications— especially the Internet—must be broadened to embrace the interests of developing countries in decisions on Internet protocols, taxation, domain name allocation and telephony costs.
- ✍ Public investments are needed in technologies for the needs of poor people and poor countries—in everything from seeds to computers.
- ✍ New funds must be raised to ensure that the information revolution leads to human development.

### **Reverse the marginalization of poor, small countries.**

Narrowing the gaps between rich and poor and the extremes between countries should become explicit global goals

- ✍ To capture the opportunities of markets in trade and investment, each country should adopt a coordinated policy package.
- ✍ To negotiate more favourable provisions in multilateral agreements, poor and small countries should pursue active participation in the global dialogues on multilateral agreements—from their development to negotiations to implementation.

### **Remedy the imbalances in the structures of global governance with new efforts to create a more inclusive system.**

Poor countries and poor people have little influence and little voice in today's global policymaking forums.

- ✍ Provide legal aid. WTO dispute settlement mechanisms can be fair only when the parties to a dispute have access to expert services of equal calibre to argue their case.
- ✍ Appoint an ombudsman to respond to grievances and investigate injustices.
- ✍ Support policy research
- ✍ Rely more on regional solidarity and regional institutions to develop common positions for negotiations. Regional support would help in crises, as with the regional fund for financial stability proposed in 1997.
- ✍ A multilateral code of conduct needs to be developed for multinational corporations.
- ✍ National policies ensure free competition in national markets, but there is no parallel in global markets.

## **Build more coherent and more democratic architecture for global governance in the 21st century.**

Just as the nineteenth century mechanisms of national government were inadequate for the challenges of the post war era, so today's institutions of international governance are inadequate for the challenges of the 21st century. Many of the basic elements of national governance will be needed in a more robust structure of global governance. An essential aspect of global governance, as of national governance, is responsibility to people—to equity, to justice, to enlarging the choices of all.

The surge of globalization over the past decade or two is only a beginning. The globally integrated world will require stronger governance if it is to preserve the advantages of global market competition, and to turn the forces of globalization to support human advance. On the eve of the millennium, people are unusually expectant of a more fundamental diagnosis, more ready to receive it, more eager to act on it. Millennium fever is already stimulating many groups to sketch out their visions of the future—for their community, their country and their planet. The future of global governance—objectives, institutions, responsibilities and actions—needs to be part of this exploration by people everywhere.

## **2000 Human rights and human development —for freedom and solidarity**

Human rights and human development share a common vision and a common purpose to secure the freedom, well-being and dignity of all people everywhere. To secure:

- ✍ **Freedom from discrimination**—by gender, race, ethnicity, national origin or religion.
- ✍ **Freedom from want**—to enjoy a decent standard of living.
- ✍ **Freedom to develop and realize** one's human potential.
- ✍ **Freedom from fear**—of threats to personal security, from torture, arbitrary arrest and other violent acts.
- ✍ **Freedom from injustice** and violations of the rule of law.
- ✍ **Freedom of thought and speech** and to participate in decision-making and form associations.
- ✍ **Freedom for decent work**—without exploitation. One of the 20th century's hallmark achievements was its progress in human rights. Many countries—poor and rich—are already demonstrating a new dynamism in taking initiatives for human rights and human development. In India, the world's largest democracy, the supreme court has insisted on the rights of all citizens to free education and basic health care. The mark of all civilizations is the respect they accord to human dignity and freedom. All religions and cultural traditions celebrate these ideals. That struggle continues today in all countries, rich and poor.

***Human freedom is the common purpose and common motivation of human rights and human development. The movements for human rights and for human development have had distinct traditions and strategies. United in a broader alliance, each can bring new energy and strength to the other.***

Human rights and human development are both about securing basic freedoms. Human rights express the bold idea that all people have claims to social arrangements that protect them from the worst abuses and deprivations and that secure the freedom for a life of dignity. Human development, in turn, is a process of enhancing human capabilities to expand choices and opportunities so that each person can lead a life of respect and value. When human development and human rights advance together, they reinforce one another expanding people's capabilities and protecting their rights and fundamental freedoms. Human rights can add value to the agenda of development.

**The 20th century's advances in human rights and human development were unprecedented but there is a long unfinished agenda.**

The major advances in human rights and human development came after the horrors of the Second World War. The 1945 Charter of the United Nations, followed by the Universal Declaration of Human Rights in 1948, ushered in a new era of international commitment to human freedoms:

- ✍ Emphasizing the universality of rights, centred on the equality of all people.
- ✍ Recognizing the realization of human rights as a collective goal of humanity.
- ✍ Identifying a comprehensive range of all rights—civil, political, economic, social and cultural—for all people.
- ✍ Creating an international system for promoting the realization of human rights with institutions to set standards, establish international laws and monitor performance (but without powers of enforcement).
- ✍ Establishing the state's accountability for its human rights obligations and commitments under international law:

***Freedom from discrimination for equality*** The 20th century's progress towards equality, regardless of gender, race, religion, ethnicity or age, was propelled by social movements. One of the most significant has been the movement for women's rights, with roots back over the centuries.

***Freedom from want for a decent standard of living*** : The world has made much progress in achieving freedom from want and in improving the standard of living of millions.

***Freedom to develop and realize one's human potential*** : The achievement of human potential reached unprecedented heights in the 20th century.

***Freedom from fear with no threats to personal security*** : No other aspect of human security is so vital as security from physical violence. But in poor nations and rich, people's lives are threatened by violence.

***Freedom of participation, speech and association*** : The 20th century's brutal militaries, fascist regimes and totalitarian one party states committed some of the worst abuses of human rights. But thanks to impressive struggles, most of these ugly regimes have given way to democracies.

***Freedom for decent work without exploitation*** : Productive and satisfying livelihoods give people the means to buy goods and services. They empower people socially by enhancing their dignity and self-esteem and they can empower people politically by enabling them to influence decision-making in the workplace and beyond.

### **The 21st century opens with new threats to human freedoms.**

- ✍ ***Conflicts within national borders.***
- ✍ ***Economic and political transitions.*** Transitions to democracy brought advances in many human rights, advances now under threat as a result of ethnic conflict, rising poverty, growing inequality and social strain.
- ✍ ***Global inequalities and the marginalization of poor countries and poor people.*** Global inequalities in income increased in the 20th century by orders of magnitude out of proportion to anything experienced before.

***Bold new approaches are needed to achieve universal realization of human rights in the 21st century adapted to the opportunities and realities of the era of globalization, to its new global actors and to its new global rules.***

Today's technologies and today's more open societies present great opportunities for networking and for building alliances. Seven key features are needed for a broader approach to securing human rights.

***Every country needs to strengthen its social arrangements for securing human freedoms with norms, institutions, legal frameworks and an enabling economic environment. Legislation alone is not enough.***

Laws alone cannot guarantee human rights. Institutions to support the legal process are also needed as is a culture of social norms and ethics to reinforce the legal structures, not threaten them. New institutions are being established to promote human rights and tackle complaints.

- ✍ ***Legal recognition and enforcement*** Recognition under the law lends legal weight to the moral imperative of human rights and mobilizes the legal system for enforcement.
- ✍ ***An enabling economic environment*** The economic environment needs to facilitate access to many rights, not threaten it. A growing economy is thus important for human rights, especially for poor countries. But that growth must be pro-poor, pro-rights and sustainable.

***The fulfilment of all human rights requires democracy that is inclusive protecting the rights of minorities, providing separation of powers and ensuring public accountability. Elections alone are not enough.***

- ✍ ***Inclusion of minorities*** : To secure human rights for all requires inclusive democracies, not just majoritarian democracies.
- ✍ ***Separation of powers*** : When the independence of the judiciary is not ensured, people cannot enjoy legal protection from injustice and abuses of their rights.
- ✍ ***Open civil society and free and independent media.***
- ✍ ***Transparent policy-making*** Economic policy-making behind closed doors violates the right to political participation and is susceptible to the corrupting influences of political power and big money.
- ✍ ***Containment of the corrupting power of big money*** : All countries, rich, poor, stagnant, dynamic and in transition, face the challenge of ensuring that the voices of the people are heard above the whirl of spin doctors and the lobbying power of corporations and special interests.

**Poverty eradication is not only a development goal it is a central challenge for human rights in the 21st century.**

Poverty eradication is a major human rights challenge of the 21st century. A decent standard of living, adequate nutrition, health care, education, decent work and protection against calamities are not just development goals they are also human rights. Three priorities for human rights and development policies:

- ✍ ***Ensuring civil and political rights, freedom of speech, association and participation to empower poor people to claim their social, economic and cultural rights.*** Given the causal links among the many human rights, they can be mutually reinforcing and can empower poor people to fight poverty.
- ✍ ***For the state, meeting its human rights obligations to implement policies and policy-making processes that do the most to secure economic, social and cultural rights for the most deprived and to ensure their participation in decision-making.*** Rights to housing, health care and the like do not mean a claim to free services or a state handout. Instead, they are claims to social arrangements and policies that promote access to these rights through both the market (housing) and the state (free primary education).
- ✍ ***Investing economic resources in promoting human rights.***

***Human rights in an integrated world require global justice. The state-centred model of accountability must be extended to the obligations of non-state actors and to the state's obligations beyond national borders.***

Global integration is shrinking time, shrinking space and eroding national borders. People's lives are more interdependent.

- ✍ ***States*** : Decisions of states, whether on interest rates or arms sales, have significant consequences for the lives of people outside national boundaries.
- ✍ ***Global actors*** : The World Trade Organization, the Bretton Woods institutions, global corporations, global NGO networks and the global media—all have significant impacts on the lives of people around the world.
- ✍ ***Global rules*** : More global rules are being developed in all areas, from human rights to environment and trade. But they are developing separately, with the potential for conflict. The present global order suffers from three gaps—in incentives, jurisdiction and participation.
- ✍ ***Incentive gaps*** : Governments are charged in trade negotiations to pursue national interests, not global interests.
- ✍ ***Jurisdictional gaps*** : Human rights treaties have weak enforcement mechanisms, while the trade agreements are backed by the “teeth” of enforcement. So there is pressure to include human rights, such as labour rights, in trade agreements.
- ✍ ***Participation gaps***. Small and poor countries generally participate little in global economic rule-making for a host of reasons, starting with the costs of participation and policy research.

***Information and statistics are a powerful tool for creating a culture of accountability and for realizing human rights. Activists, lawyers, statisticians and development specialists need to work together with communities. The goal is to generate information and evidence that can break down barriers of disbelief and mobilize changes in policy and behaviour.***

Four priorities for strengthening the use of indicators in human rights:

- ✍ ***Collecting new and better official data and ensuring greater public access to the data***—an effort spearheaded by the right to information movement.
- ✍ ***Diversifying the sources of information*** from national human rights institutions to civil society and community organizations and building the reliability and credibility of the information they provide.
- ✍ ***Setting benchmarks for assessing performance*** : All countries need to build social consensus on priorities and the rate of progress possible in their context.
- ✍ ***Strengthening the procedures that hold actors accountable*** from state reports to treaty bodies and NGO “shadow reports” to independent monitoring of multinational corporations.

***Achieving all rights for all people in all countries in the 21st century will require action and commitment from the major groups in every society—NGOs, media and businesses, local as well as national government, parliamentarians and other opinion leaders.***

In every country, five priorities will help advance national action:

- ✍ ***Assessing nationally the existing human rights situation to set priorities for action.***
- ✍ ***Reviewing national legislation against core international human rights to identify areas where action is needed to deal with gaps and contradictions.***
- ✍ ***Using education and the media to promote the norms of human rights throughout society.***
- ✍ ***Building alliances for support and action.***
- ✍ ***Promoting an enabling economic environment.***

***Human rights and human development cannot be realized universally without stronger international action, especially to support disadvantaged people and countries and to offset growing global inequalities and marginalization.***

Growing global interdependence and the desperate scarcity of resources and capacity in poor countries underline the need for the international community to take much stronger action to promote human rights. Five priority areas for international action:

- ✍ ***Strengthening a rights-based approach in development cooperation, without conditionality.***
- ✍ ***Mobilizing the support of international corporations for human rights.***
- ✍ ***Strengthening regional approaches.***
- ✍ ***Embarking on new efforts for peacemaking, peace-building and peacekeeping.***
- ✍ ***Strengthening the international human rights machinery.***

Human rights could be advanced beyond all recognition over the next quarter century. The progress in the past century justifies bold ambitions. But for the globally integrated, open societies of the 21st century, we need stronger commitments to universalism combined with respect for cultural diversity. This will require six shifts from the cold war thinking that dominated the 20th century:

- ✍ ***From the state-centred approaches to pluralist, multi-actor approaches with accountability not only for the state but for media, corporations, schools, families, communities and individuals.***
- ✍ ***From the national to international and global accountabilities and from the international obligations of states to the responsibilities of global actors.***
- ✍ ***From the focus on civil and political rights to a broader concern with all rights giving as much attention to economic, social and cultural rights.***

- ✍ *From a punitive to a positive ethos in international pressure and assistance from reliance on naming and shaming to positive support.*
- ✍ *From a focus on multiparty elections to the participation of all through inclusive models of democracy.*
- ✍ *From poverty eradication as a development goal to poverty eradication as social justice, fulfilling the rights and accountabilities of all actors. The world community needs to return to the audacious vision of those who dreamed of the Rights of Man and of the Citizen and drafted the Universal Declaration of Human Rights. A new millennium is just the occasion to reaffirm such a vision and to renew the practical commitments to make it happen.*

## 2001 Making new technologies work for human development

This Report is about how people can create and use technology to improve their lives. It is also about forging new public policies to lead the revolutions in information and communications technology and biotechnology in the direction of human development. People all over the world have high hopes that these new technologies will lead to healthier lives, greater social freedoms, increased knowledge and more productive livelihoods. There is a great rush to be part of the network age—the combined result of the technological revolutions and globalization that are integrating markets and linking people across all kinds of traditional boundaries. At the same time, there is great fear of the unknown. This Report looks specifically at how new technologies will affect developing countries and poor people. Many people fear that these technologies may be of little use to the developing world or that they might actually widen the already savage inequalities between North and South, rich and poor. Without innovative public policy, these technologies could become a source of exclusion, not a tool of progress. The needs of poor people could remain neglected, new global risks left unmanaged. But managed well, the rewards could be greater than the risks. Without China and India, only 9 countries with 5% of the world's people are on track to halve income poverty. New technology policies can spur progress towards reaching these and other goals.

**The technology divide does not have to follow the income divide. Throughout history, technology has been a powerful tool for human development and poverty reduction.**

It is often thought that people gain access to technological innovations, more effective medicine or transportation, the telephone or the Internet, once they have more income. This is true. Economic growth creates opportunities for useful innovations to be created and diffused. But the process can also be reversed: Investments in technology, like investments in education, can equip people with better tools and make them more productive and prosperous. Technology is a tool, not just a reward, for growth and development. In fact, the 20th century's unprecedented gains in advancing human development and eradicating poverty came largely from technological breakthroughs.

Moreover, technology-supported advances in health, nutrition, crop yields and employment are usually not just one-time gains. They typically have a multiplier effect, creating a virtuous cycle, increasing people's knowledge, health and productivity, and raising incomes and building capacity for future innovation, all feeding back into human development. These transformations multiply the possibilities of what people can do with technology in areas that include:

- ✍ **Participation.** The Internet, the wireless telephone and other information and communications technology enable people to communicate and obtain information in ways never before possible, dramatically opening up possibilities to participate in decisions that affect their lives.
- ✍ **Knowledge.** Information and communications technology can provide rapid, low-cost access to information about almost all areas of human activity.
- ✍ **New medicines.**
- ✍ **New crop varieties.** Transgenics offer the hope of crops with higher yields, pest and drought resistant properties and superior nutritional characteristics, especially for farmers in ecological zones left behind by the green revolution.
- ✍ **New employment and export opportunities.** Revenues from India's information technology industry jumped exceptionally. All this is just the beginning. Much more can be expected as more technologies are adapted to the needs of developing countries.

***The market is a powerful engine of technological progress but it is not powerful enough to create and diffuse the technologies needed to eradicate poverty.*** Technology is created in response to market pressures, not the needs of poor people, who have little purchasing power. Research and development, personnel and finance are concentrated in rich countries, led by global corporations and following the global market demand dominated by high-income consumers.

**Developing countries may gain especially high rewards from new technologies, but they also face especially severe challenges in managing the risks.**

The current debate in Europe and the United States over genetically modified crops mostly ignores the concerns and needs of the developing world. Environmental risks in particular are often specific to individual ecosystems and need to be assessed case by case. If new technologies offer particular benefits for the developing world, they also pose greater risks. Technology-related problems are often the result of poor policies, inadequate regulation and lack of transparency. From that perspective, most developing countries are at a disadvantage because they lack the policies and institutions needed to manage the risks well. Stronger policies and mechanisms are needed at the regional and global levels, and should include active participation from developing countries.

**The technology revolution and globalization are creating a network age and that is changing how technology is created and diffused.**

Two simultaneous shifts in technology and economics, the technological revolution and globalization are combining to create a new network age. Just as the steam engine and electricity enhanced physical power to make possible the industrial revolution, digital and genetic breakthroughs are enhancing brain power. The industrial age was structured around vertically integrated organizations with high costs of communications, information and transportation. But the network age is structured along horizontal networks, with each organization focusing on competitive niches.

***Even in the network age, domestic policy still matters. All countries, even the poorest, need to implement policies that encourage innovation, access and the development of advanced skills.***

***National policies will not be sufficient to compensate for global market failures. New international initiatives and the fair use of global rules are needed to channel new technologies towards the most urgent needs of the world's poor people.***

No national government can single handedly cope with global market failures. Yet there is no global framework for supporting research and development that addresses the common needs of poor people in many countries and regions.

The lesson of this Report is that at the global level it is policy, not charity, that will ultimately determine whether new technologies become a tool for human development everywhere.

- ✍ ***Creative incentives and new partnerships.*** At a time when universities, private companies and public institutions are reshaping their research relationships, new international partnerships for development can bring together the strengths of each while balancing any conflicts of interest. Many approaches to creating incentives are possible from purchase funds and prizes to tax credits and public grants.
- ✍ ***Dedicated funds for research and development.*** At the moment it is not even possible to track how much each government or international institution contributes to research and development to deal with global market failures.
- ✍ ***Debt for technology swaps.***
- ✍ ***Private foundations in developing countries.*** Developing countries could introduce tax incentives to encourage their billionaires to set up foundations.
- ✍ ***Industry.*** With their financial, intellectual and research resources, high-tech companies could make bigger contributions than they do now.
- ✍ ***Differential pricing.*** From pharmaceuticals to computer software, key technology products are in demand worldwide. An effective global market would encourage different prices for them in different countries, but the current system does not.
- ✍ ***Fair use of intellectual property rights and fair implementation of TRIPS.***

## **Policy not charity to build technological capacity in developing countries**

Global arrangements can only be as effective as national commitments to back them. The first step is for governments to recognize that technology policy affects a host of development issues, including public health, education and job creation. The ultimate significance of the network age is that it can empower people by enabling them to use and contribute to the world's collective knowledge. And the great challenge of the new century is to ensure that the entire human race is so empowered not just a lucky few.

## **2002 Deepening democracy in a fragmented world**

This Report is about politics and human development. It is about how political power and institutions—formal and informal, national and international—shape human progress. And it is about what it will take for countries to establish democratic governance systems that advance the human development of all people—in a world where so many are left behind. Politics matter for human development because people everywhere want to be free to determine their destinies, express their views and participate in the decisions that shape their lives. These capabilities are just as important for human development for expanding people's choices as being able to read or enjoy good health. Developing countries pursued democratization in the face of massive poverty and pervasive social and economic tensions. Several that took steps towards democracy after 1980 have since returned to more authoritarian rule: either military, as in Pakistan since 1999, or pseudo-democratic as in Zimbabwe in recent years. Many others have stalled between democracy and authoritarianism with limited political freedoms and closed or dysfunctional politics. Others, including such failed states as Afghanistan and Somalia, have become breeding grounds for extremism and violent conflict. Even where democratic institutions are firmly established, citizens often feel powerless to influence national policies. They and their governments also feel more subject to international forces that they have little capacity to control. Globalization is forging greater interdependence, yet the world seems more fragmented between rich and poor, between the powerful and the powerless, and between those who welcome the new global economy and those who demand a different course. For politics and political institutions to promote human development and safeguard the freedom and dignity of all people, democracy must widen and deepen. That is the subject of this Report.

## **Economically, politically and technologically, the world has never seemed more free—or more unjust.**

Many developing countries are making progress on several fronts, particularly in achieving universal primary education and gender equality in access to education. But for much of the world the prospects are bleak. At current trends, 33 countries with more than a quarter of the world's people will achieve fewer than half the goals by 2015. This Report argues that countries can promote human development for all only when they have governance systems that are fully accountable to all people and when all people can participate in the debates and decisions that shape their lives.

## **Advancing human development requires governance that is democratic in both form and substance for the people and by the people**

Democratic governance is valuable in its own right. But it can also advance human development for three reasons. **First**, in the decisions that shape one's life are fundamental human rights, they are part of human development in their own right. Democracy is the only political regime that guarantees political and civil freedoms and the right to participate, making democratic rule a good in itself. **Second**, democracy helps protect people from economic and political catastrophes such as famines and descents into chaos. This is no small achievement. Indeed, it can mean the difference between life and death. Nobel Prize-winner Amartya Sen has shown how elections and a free press give politicians in democracies much stronger incentives to avert famines. In 1958–61 nearly 30 million people died of famine in China. But since achieving independence in 1947, India has not had a single famine, even in the face of severe crop failures. Democracies also contribute to political stability, providing open space for political opposition and handovers of power. **Third**, democratic governance can trigger a virtuous cycle of development as political freedom empowers people to press for policies that expand social and economic opportunities, and as open debates help communities shape their priorities.

***The links between democracy and human development are not automatic: when a small elite dominates economic and political decisions, the link between democracy and equity can be broken.***

***Democracy that empowers people must be built—it cannot be imported.***

***Triggering a virtuous cycle for human development requires promoting democratic politics.***

Promoting democratic politics means expanding capabilities such as education, to enable people to play a more effective role in such politics, and fostering the development of civil society groups and other informal institutions to help democratic institutions better represent the people.

***Establishing democratic control over security forces is another priority otherwise, far from ensuring personal security and peace, security forces can actively undermine them.***

***Global interdependence also calls for more participation and accountability in global decision-making.***

Empowering people to influence decisions that affect their lives and hold their rulers accountable is no longer just a national issue. In an integrated world these democratic principles have a global dimension because global rules and actors often affect people's lives as much as national ones. This new reality has been reflected in recent anti-globalization protests in both industrial and developing countries.

## **2003 Millennium Development Goals: A compact among nations to end human poverty**

The new century opened with an unprecedented declaration of solidarity and determination to rid the world of poverty. In 2000 the UN Millennium Declaration, adopted at the largest-ever gathering of heads of state, committed countries, rich and poor, to doing all they can to eradicate poverty, promote human dignity and equality and achieve peace, democracy and environmental sustainability. World leaders promised to work together to meet concrete targets for advancing development and reducing poverty by

2015 or earlier. Emanating from the Millennium Declaration, the Millennium Development Goals (MDG) bind countries to do more in the attack on inadequate incomes, widespread hunger, gender inequality, environmental deterioration and lack of education, health care and clean water. They also include actions to reduce debt and increase aid, trade and technology transfers to poor countries. Some might argue that the war on poverty must take a back seat until the war on terrorism has been won, but they would be wrong. The need to eradicate poverty does not compete with the need to make the world more secure. On the contrary, eradicating poverty should contribute to a safer world—the vision of the Millennium Declaration. Addressing poverty requires understanding its causes. This Report adds to that understanding by analysing the root causes of failed development. During the 1990s debates about development focused on three sets of issues. The first was the need for economic reforms to establish macroeconomic stability. The second was the need for strong institutions and governance to enforce the rule of law and control corruption. The third was the need for social justice and involving people in decisions that affect them and their communities and countries, an issue that this Report continues to champion. These issues are all crucial for sustainable human development, and they continue to deserve priority attention in policy-making. But they overlook a fourth factor, explored here, the structural constraints that impede economic growth and human development. The Millennium Development Compact presented in this Report proposes a policy approach to achieving the MDG that starts by addressing these constraints.

***National ownership by governments and communities is key to achieving the Millennium Development Goals. Indeed, the Goals can foster democratic debate, and leaders are more likely to take the actions required for the Goals when there is pressure from engaged populations***

***Because the Millennium Development Goals will not be realized with a business as usual approach, the pace of progress must be dramatically accelerated.***

The past 30 years saw dramatic improvements in the developing world. Today's world has greater resources and know-how than ever before to tackle the challenges of infectious disease, low productivity, lack of clean energy and transport and lack of basic services such as clean water, sanitation, schools and health care. The issue is how best to apply these resources and know-how to benefit the poorest people.

***Two groups of countries require urgent changes in course. First are countries that combine low human development and poor performance towards the Goals—the top priority and high priority countries. Second are countries progressing well towards the Goals but with deep pockets of poor people being left behind.***

There are 59 top priority and high priority countries, where failed progress and terribly low starting levels undermine many of the Goals. It is on these countries that the world's attention and resources must be focused. In the 1990s these countries faced many types of crises:

- ✍ ***Income poverty:*** Poverty rates, already high, increased in 37 of 67 countries with data.
- ✍ ***Hunger:*** In 19 countries more than one person in four is going hungry, and the situation is failing to improve or getting worse. In 21 countries the hunger rate has increased.

- ✍ **Survival:** In 14 countries under-five mortality rates increased in the 1990s, and in 7 countries almost one in four children will not see their fifth birthdays.
- ✍ **Water:** In 9 countries more than one person in four does not have access to safe water, and the situation is failing to improve or getting worse.
- ✍ **Sanitation:** In 15 countries more than one person in four does not have access to adequate sanitation and the situation is failing to improve or getting worse.

**The Millennium Development Compact is a plan of action aimed primarily at the top priority and high priority countries most in need of support**

Global policy attention needs to focus on countries facing the steepest development challenges. Without an immediate change in course, they will certainly not meet the Goals. With that in mind, this Report offers a new plan of action aimed primarily at these countries: the Millennium Development Compact. To achieve sustainable growth, countries must attain basic thresholds in several key areas: governance, health, education, infrastructure and access to markets. If a country falls below the threshold in any of these areas, it can fall into a “poverty trap”. Most of the top and high priority countries are trying to attain these basic thresholds. Yet they face deep-seated structural obstacles that will be difficult to overcome on their own. Six policy clusters can help countries break out of their poverty traps:

- ✍ Invest early and ambitiously in basic education and health while fostering gender equity. These are preconditions to sustained economic growth. Growth, in turn, can generate employment and raise incomes feeding back into further gains in education and health gains.
- ✍ Increase the productivity of small farmers in unfavourable environments that is, the majority of the world’s hungry people
- ✍ Improve basic infrastructure, such as ports, roads, power and communications to reduce the costs of doing business and overcome geographic barriers.
- ✍ Develop an industrial development policy that nurtures entrepreneurial activity and helps diversify the economy away from dependence on primary commodity exports—with an active role for small and medium-size enterprises.
- ✍ Promote democratic governance and human rights to remove discrimination, secure social justice and promote the well-being of all people.
- ✍ Ensure environmental sustainability and sound urban management so that development improvements are long term. The thinking behind these policies is that for economies to function better, other things must fall into place first.

The poorest countries require significant external resources to achieve essential levels of human development.

- ✍ **Halving the proportion** of people in extreme poverty (**Goal 1**) will require far stronger economic growth in the top priority and high priority countries where growth has been failing. But growth alone will not be enough. Policies also need to strengthen the links between stronger growth and higher incomes in the poorest households.
- ✍ **Halving the proportion** of hungry people (Goal 1) presents two challenges: ensuring access to food now plentiful and increasing the productivity of farmers now hungry especially in Africa.
- ✍ **Achieving universal primary education** and eliminating gender disparities in primary and secondary education (Goals 2–3) require addressing efficiency, equity and resource levels as related problems.
- ✍ **Across developing regions**, more than 80% of children are enrolled in primary school. Yet some 115 million children do not attend primary school, and enrolments are woefully low in Sub-Saharan Africa (57%) and South Asia (84%). Once enrolled, there is a pitiful one in three chance that a child in Africa will complete primary school. In addition, one in six of the world's adults is illiterate. And gender gaps remain: three-fifths of the 115 million children out of school are girls, and two-thirds of the 876 million illiterate adults are women. Lack of education robs an individual of a full life. It also robs society of a foundation for sustainable development because education is critical to improving health, nutrition and productivity. The education Goal is thus central to meeting the other Goals.
- ✍ **Promoting gender equality** and empowering women (Goal 3), valuable in themselves, are also central to achieving all the other Goals.
- ✍ **Promoting gender equality** and women's empowerment in its broader scope is a key objective of the Millennium. Education contributes to better health, and better education and health increase the productivity that leads to economic growth. Growth then generates resources that finance improvements in people's health and education, further raising productivity. Gender equality is central in these synergies because women are agents of development.
- ✍ **Reducing child mortality**, improving maternal health and combating HIV/AIDS, malaria and other diseases (Goals 4–6) require a dramatic increase in access to health care.
- ✍ **Every year more than 10 million children die of preventable illnesses**—30,000 a day. More than 500,000 women a year die in pregnancy and childbirth. Around the world 42 million people are living with HIV/AIDS, 39 million of them in developing countries. Tuberculosis remains (along with AIDS) the leading infectious killer of adults, causing up to 2 million deaths a year. Malaria deaths, now 1 million a year, could double in the next 20 years. Without much faster progress, the Millennium Development Goals in these areas (Goals 4–6) will not be met. Public policy needs to respond to the issues of resource levels, equity and efficiency:

- ✍ **Mobilizing resources.** Governments in poor countries must rank health spending higher than other types of spending, such as defence and within health budgets, priority must be given to basic health.
- ✍ **Achieving greater equity.** Governments must redress imbalances by focusing on rural areas, poor communities, women and children.
- ✍ **Making health systems work better.** Cash-strapped governments face a dilemma when setting priorities. The first priority is to maintain an integrated system. Vertical programmes focused on specific diseases have become popular, but they cannot be effective or sustainable without basic health infrastructure. Such programmes should be integrated with the overall health structure. Maternal and reproductive health care also cry out for integration. Many countries focus on family planning to the exclusion of child and maternal health. Focusing on essential interventions is not enough; equal focus is needed to ensure that every primary health centre has essential drugs. Because private health care providers are the first port of call for many poor people, governments must bring them into the public domain through better regulation.

***Halving the proportion of people without access to safe drinking water and improved sanitation (Goal 7) requires an integrated approach. Without sanitation and hygiene, safe water is much less useful for health***

One person in five lacks access to safe water in developing countries. Diarrhoea is a major killer of young children. Most affected are poor people in rural areas and slums.

- ✍ **Water without sanitation.** Access to safe water is far less useful without improved sanitation and better hygiene. Better health care is wasted on treating water-borne diseases that could have been prevented by safe water, improved sanitation and better hygiene.
- ✍ **Lack of resources to finance high-cost infrastructure.** Sanitation requires public sewage collection and treatment systems. These investments entail significant costs far beyond the means of most local authorities.
- ✍ **High charges and poor maintenance.** Governments must ensure that poor people's access to water and sanitation services is not undermined by unfair charges that subsidize non poor people. The well-off must shoulder more of the financial costs of maintaining the infrastructure for these services. Spending on high cost systems for the better-off parts of towns leave few resources for low-cost schemes and often leave slums and semi-urban areas with no services. Moreover, water systems tend to be poorly maintained in rural and semi-urban areas. Community involvement has proven key to improving services in such areas.

***Ensuring environmental sustainability (Goal 7) will require managing ecosystems so that they can provide services that sustain human livelihoods. It will also be an important part of reaching the other Goals.***

Policies that promote environmental sustainability should stress the importance of involving local people in the solutions. They should also stress the importance of policy changes in rich countries. Among the policy priorities:

- ✍ ***Improving institutions and governance.*** Clearly define property and user rights, improve monitoring and compliance with environmental standards and involve communities in managing their environmental resources.
- ✍ ***Addressing environmental protection and management*** in each country's sector policies and other development strategies.
- ✍ ***Improving the functioning of markets.*** Remove subsidies, especially in rich countries, that damage the environment (such as subsidies for fossil fuels or large-scale commercial fishing fleets), and reflect environmental costs through pollution charges.
- ✍ ***Strengthening international mechanisms.*** Improve international management of global issues such as protecting international watersheds and reversing climate change, together with mechanisms to share these burdens equitably.
- ✍ ***Investing in science and technology.*** Invest more in renewable energy technologies and create an observatory to monitor the functioning and state of major ecosystems.
- ✍ ***Conserving critical ecosystems.*** Create protected areas with the involvement of local people.

***Policy changes in rich countries for aid, debt, trade and technology transfers (Goal 8) are essential to achieving the Goals.***

It is hard to imagine the poorest countries achieving Goals 1–7 without the policy changes required in rich countries to achieve Goal 8. Poor countries cannot on their own tackle the structural constraints that keep them in poverty traps, including rich country tariffs and subsidies that restrict market access for their exports, patents that restrict access to technology that can save lives and unsustainable debt owed to rich country governments and multilateral institutions. The Millennium Development Compact makes clear the critical role of rich countries, as reflected in Goal 8. Now is the time for rich countries to deliver on these promises. The top priority countries are in greatest need of actions by rich countries.

***Following through on commitments and setting new targets.***

This Report proposes that rich countries set targets to:

- ✍ Increase official development assistance to fill financing gaps
- ✍ Develop concrete measures for implementing the Rome Declaration on Harmonization.
- ✍ Remove tariffs and quotas on agricultural products, textiles and clothing exported by developing countries.

- ✍ Remove subsidies on agricultural exports from developing countries.
- ✍ Agree and finance, a compensatory financing facility for external shocks including collapses in commodity prices.
- ✍ Introduce protection and remuneration of traditional knowledge in the TRIPS agreement.
- ✍ Agree on what countries without sufficient manufacturing capacity can do to protect public health under the TRIPS agreement. Just as people can monitor actions by their governments to live up to their commitments, rich countries should monitor their progress in delivering on their commitments. They should prepare progress reports on contributing to a global poverty reduction strategy that set out their priorities for action.

The MDG present the world with daunting challenges. Unless there is radical improvement, too many countries will miss the targets, with disastrous consequences for the poorest and most vulnerable of their citizens. Yet today the world has an unprecedented opportunity to deliver on the commitment to eradicating poverty. For the first time there is genuine consensus among rich and poor countries that poverty is the world's problem. And it is together that the world must fight it. As this Report explains, many of the solutions to hunger, disease, poverty and lack of education are well known. What is needed is for efforts to be properly resourced, and for services to be distributed more fairly and efficiently. None of this will happen unless every country, rich and poor, assumes its responsibilities to the billions of poor people around the world.

## **2004 Cultural liberty in today's diverse world**

Managing cultural diversity is one of the central challenges of our time. Long thought to be divisive threats to social harmony, choices like these—about recognizing and accommodating diverse ethnicities, religions, languages and values are an inescapable feature of the landscape of politics in the 21st century. Political leaders and political theorists of all persuasions have argued against explicit recognition of cultural identities—ethnic, religious, linguistic, racial. The result, more often than not, has been that cultural identities have been suppressed, sometimes brutally, as state policy through religious persecutions and ethnic cleansings, but also through everyday exclusion and economic, social and political discrimination. In this era of globalization, a new class of political claims and demands has emerged from individuals, communities and countries feeling that their local cultures are being swept away. They want to keep their diversity in a globalized world.

Why these movements today? They are not isolated. They are part of a historic process of social change, of struggles for cultural freedom, of new frontiers in the advance of human freedoms and democracy. They are propelled and shaped by the spread of democracy, which is giving movements more political space for protest, and the advance of globalization, which is creating new networks of alliances and presenting new challenges. Cultural liberty is a vital part of human development because being able to choose one's identity, who one is, without losing the respect of others or being excluded from other

choices is important in leading a full life. People want the freedom to practice their religion openly, to speak their language, to celebrate their ethnic or religious heritage without fear of ridicule or punishment or diminished opportunity. People want the freedom to participate in society without having to slip off their chosen cultural moorings. It is a simple idea, but profoundly unsettling. States face an urgent challenge in responding to these demands. If handled well, greater recognition of identities will bring greater cultural diversity in society, enriching people's lives. But there is also a great risk. These struggles over cultural identity, if left unmanaged or managed poorly, can quickly become one of the greatest sources of instability within states and between them and in so doing trigger conflict that takes development backwards. Identity politics that polarize people and groups are creating fault lines between "us" and "them". Growing distrust and hatred threaten peace, development and human freedoms.

***Five myths debunked. Policies recognizing cultural identities and encouraging diversity to flourish do not result in fragmentation, conflict, weak development or authoritarian rule. Such policies are both viable, and necessary, for it is often the suppression of culturally identified groups that leads to tensions.***

***Myth 1.*** People's ethnic identities compete with their attachment to the state, so there is a trade-off between recognizing diversity and unifying the state.

***Myth 2.*** Ethnic groups are prone to violent conflict with each other in clashes of values, so there is a trade-off between respecting diversity and sustaining peace.

***Myth 3.*** Cultural liberty requires defending traditional practices, so there could be a trade-off between recognizing cultural diversity and other human development priorities such as progress in development, democracy and human rights.

***Myth 4.*** Ethnically diverse countries are less able to develop, so there is a trade-off between respecting diversity and promoting development.

***Myth 5.*** Some cultures are more likely to make developmental progress than others, and some cultures have inherent democratic values while others do not, so there is a trade-off between accommodating certain cultures and promoting development and democracy.

***Human development requires more than health, education, a decent standard of living and political freedom. People's cultural identities must be recognized and accommodated by the state, and people must be free to express these identities without being discriminated against in other aspects of their lives. In short: cultural liberty is a human right and an important aspect of human development—and thus worthy of state action and attention.***

Human development is the process of widening choices for people to do and be what they value in life. A further dimension of human development, difficult to measure and even to define, is vitally important. Cultural liberty is central to the capability of people to live as they would like. The advance of cultural liberty must be a central aspect of human development, and this requires going beyond social, political and economic opportunities since they do not guarantee cultural liberty.

***None of this is utopian. Incorporating multicultural policies is not always easy. Democracy, equitable development and state cohesion are essential, and many countries are successfully developing multicultural policies to address cultural exclusion.***

Cultural liberty will not just happen, any more than health, education and gender equity just happen. Fostering it should be a core concern of governments, even where there are no explicit policies of persecution or discrimination.

- ✍ ***Policies for ensuring political participation.*** Many historically marginalized groups are still excluded from real political power, and so they often feel alienated from the state.
- ✍ ***Policies for legal pluralism.*** In many multicultural societies, indigenous people and people from other cultural groups have pressed for recognition of their traditional legal systems to gain access to justice. There are real trade-offs societies must face, but legal pluralism does not require wholesale adoption of all traditional practices. Culture does evolve, and cultural liberty is not a knee jerk defence of tradition.
- ✍ ***Language policies.*** Language is often the most contested issue in multicultural states. Some countries have tried to suppress people's languages, labelling their use subversive. Many countries are finding ways to accommodate the twin objectives of unity and diversity by adopting two or three languages, recognizing a unifying national language as well as local languages.

Economic and social policies that promote equity are critical in addressing these inequalities. Redressing biases in public spending as well as targeting basic services to people with lower health and education outcomes would help—but would not be enough.

- ✍ ***Movements for cultural domination threaten cultural liberty.*** Fighting them with illegal and undemocratic measures violates human rights and does not make the problem go away. Democratic accommodation is more effective in exposing the intolerant agendas of such movements and undermining their appeal.
- ✍ ***Globalization can threaten national and local identities.*** The solution is not to retreat to conservatism and isolationist nationalism. It is to design multicultural policies to promote diversity and pluralism.

***Cultural goods.*** Should cultural goods be protected in international trade to help protect cultural diversity in the world? Are films and audiovisual products cultural goods? Two principles are critical: recognize the role of cultural goods in nurturing creativity and diversity, and recognize the disadvantage of small film and audiovisual industries in global markets. Support to cultural industries rather than tariffs would do more for diversity. Argentina, Brazil and France have successfully experimented with production subsidies and tax breaks for cultural industries, without stopping the flows of cultural products from overseas to local markets.

***Immigration.*** Should immigrants have to assimilate or should their cultures be recognized? Three principles are critical: respect diversity, recognize multiple identities and build common bonds of belonging to the local community.

## **2005 International cooperation at a crossroads Aid, trade and security in an unequal world**

This Report is about the scale of the challenge facing the world at the start of the 10 year countdown to 2015. Its focus is on what governments in rich countries can do to keep their side of the global partnership bargain. This does not imply that governments in developing countries have no responsibility. On the contrary, they have primary responsibility. No amount of international cooperation can compensate for the actions of governments that fail to prioritize human development, to respect human rights, to tackle inequality or to root out corruption. But without a renewed commitment to cooperation backed by practical action, the MDGs will be missed and the Millennium Declaration will go down in history as just one more empty promise. We focus on three pillars of cooperation, each in urgent need of renovation. The first pillar is development assistance. International aid is a key investment in human development. Returns to that investment can be measured in the human potential unleashed by averting avoidable sickness and deaths, educating all children, overcoming gender inequalities and creating the conditions for sustained economic growth. Development assistance suffers from two problems: chronic under-financing and poor quality. The second pillar is international trade. Under the right conditions trade can be a powerful catalyst for human development.

More than aid, trade has the potential to increase the share of the world's poorest countries and people in global prosperity. Limiting that potential through unfair trade policies is inconsistent with a commitment to the MDGs. More than that, it is unjust and hypocritical. The third pillar is security. Violent conflict blights the lives of hundreds of millions of people. It is a source of systematic violations of human rights and a barrier to progress towards the MDGs. The nature of conflict has changed, and new threats to collective security have emerged. In an increasingly interconnected world the threats posed by a failure to prevent conflict, or to seize opportunities for peace, inevitably cross national borders. More effective international cooperation could help to remove the barrier to MDG progress created by violent conflict, creating the conditions for accelerated human development and real security.

### **The state of human development**

At the start of the twenty-first century we live in a divided world. The size of the divide poses a fundamental challenge to the global human community. Part of that challenge is ethical and moral. The twin scourges of poverty and inequality can be defeated but progress has been faltering and uneven. An obvious corollary of extreme global inequality is that even modest shifts in distribution from top to bottom could have dramatic effects on poverty. But in our highly unequal world greater equity would provide a powerful catalyst for poverty reduction and progress towards the MDG.

### **Why inequality matters**

Human development gaps within countries are as stark as the gaps between countries. These gaps reflect unequal opportunity. People held back because of their gender, group identity, wealth or location. Such inequalities are unjust. They are also economically wasteful and socially destabilizing. Overcoming

the structural forces that create and perpetuate extreme inequality is one of the most efficient routes for overcoming extreme poverty, enhancing the welfare of society and accelerating progress towards the MDG. The MDG themselves are a vital statement of international purpose rooted in a commitment to basic human rights. These rights to education, to gender equality, to survival in childhood and to a decent standard of living are universal in nature. That is why progress towards the MDG should be for all people, regardless of their household income, their gender or their location. Extreme inequalities are rooted in power structures that deprive poor people of market opportunities, limit their access to services and crucially deny them a political voice. These pathologies of power are bad for market-based development and political stability and a barrier to achieving the MDG.

### **International aid—increasing the quantity, improving the quality**

International aid is one of the most effective weapons in the war against poverty. Today, that weapon is underused, inefficiently targeted and in need of repair. Reforming the international aid system is a fundamental requirement for getting back on track for the MDG.

- ✍ ***Set a schedule for achieving the aid to GNI ratio of 0.7% by 2015 (and keep to it).*** Donors should set budget commitments at a minimum level of 0.5% for 2010 to bring the 2015 target within reach.
- ✍ ***Tackle unsustainable debt.*** The G-8 summit in 2005 produced a major breakthrough on debt owed by the heavily indebted poor countries (HIPC). However, some problems remain, with a large number of low-income countries still facing acute problems in meeting debt service obligations. Final closure of the debt crisis will require action to extend country coverage and to ensure that debt repayments are held to levels consistent with MDG financing.
- ✍ ***Provide predictable, multiyear financing through government programmes.*** Building on the principles set out in the Paris Declaration on Aid Effectiveness, donors should set more ambitious targets for providing stable aid flows, working through national systems and building capacity. By 2010 at least 90% of aid should be disbursed according to agreed schedules through annual or multiyear frameworks.
- ✍ ***Streamline conditionality.*** Aid conditionality should focus on fiduciary responsibility and the transparency of reporting through national systems, with less emphasis on wide-ranging macroeconomic targets and a stronger commitment to building institutions and national capacity.
- ✍ ***End tied aid.*** There is a simple method for tackling the waste of money associated with tied aid; stop it in 2006.

## **Trade and human development— strengthening the links**

Like aid, trade has the potential to be a powerful catalyst for human development. Under the right conditions international trade could generate a powerful impetus for accelerated progress towards the MDGs. The problem is that the human development potential inherent in trade is diminished by a combination of unfair rules and structural inequalities within and between countries. International trade has been one of the most powerful motors driving globalization. Trade patterns have changed. There has been a sustained increase in the share of developing countries in world manufacturing exports and some countries are closing the technology gap. However, structural inequalities have persisted and in some cases widened. In trade, as in other areas, claims that global integration is driving a convergence of rich and poor countries are overstated. From a human development perspective trade is a means to development, not an end in itself.

- ✍ ***Deep cuts in rich country government support for agriculture and a prohibition on export subsidies.***
- ✍ ***Deep cuts in barriers to developing country exports.***
- ✍ ***Compensation for countries losing preferences.***
- ✍ ***Protection of the policy space for human development.***
- ✍ ***A commitment to avoid “WTO plus” arrangements in regional trade agreements.***
- ✍ ***Refocusing of services negotiations on temporary movements of labour.***

By focusing on three pillars of international cooperation it highlights some of the problems that need to be tackled and some of the critical ingredients for achieving success. What is not in doubt is the simple truth that, as a global community, we have the means to eradicate poverty and to overcome the deep inequalities that divide countries and people. The fundamental question that remains to be answered five years after the Millennium Declaration was signed is whether the world’s governments have the resolve to break with past practice and act on their promise to the world’s poor. If ever there was a moment for decisive political leadership to advance the shared interests of humanity, that moment is now.

### ***Human Development Report 2006: Beyond Scarcity:***

#### ***Power, poverty and global water crisis.***

*Human Development Report 2006* looks at an issue that profoundly influences human potential and progress towards the Millennium Development Goals. Throughout history human progress has depended on access to clean water and on the ability of societies to harness the potential of water as a productive resource. Water for life in the household and water for livelihoods through production are two of the foundations for human development. Yet for a large section of humanity these foundations are not in place.

The word *crisis* is sometimes overused in development. But when it comes to water, there is a growing recognition that the world faces a crisis that, left unchecked, will derail progress towards the Millennium Development Goals and hold back human development. For some, the global water crisis is about absolute shortages of physical supply. This Report rejects this view. It argues that the roots of the crisis in water can be traced to poverty, inequality and unequal power relationships, as well as flawed water management policies that exacerbate scarcity.

Water, the stuff of life and a basic human right, is at the heart of a daily crisis faced by countless millions of the world's most vulnerable people—a crisis that threatens life and destroys livelihoods on a devastating scale. Unlike wars and natural disasters, the global crisis in water does not make media headlines. Nor does it galvanize concerted international action. Like hunger, deprivation in access to water is a silent crisis experienced by the poor and tolerated by those with the resources, the technology and the political power to end it. Yet this is a crisis that is holding back human progress, consigning large segments of humanity to lives of poverty, vulnerability and insecurity. This crisis claims more lives through disease than any war claims through guns. It also reinforces the obscene inequalities in life chances that divide rich and poor nations in an increasingly prosperous and interconnected world and that divide people within countries on the basis of wealth, gender and other markers for disadvantage. Overcoming the crisis in water and sanitation is one of the great human development challenges of the early 21st century. Success in addressing that challenge through a concerted national and international response would act as a catalyst for progress in public health, education and poverty reduction and as a source of economic dynamism. It would give a decisive impetus to the Millennium Development Goals—the targets adopted by governments as part of a global partnership for poverty reduction. The business as usual alternative is to tolerate a level of avoidable suffering and loss of human potential that all governments should regard as ethically indefensible and economically wasteful.

### **Water for life, water for livelihoods**

Ultimately, human development is about the realization of potential. It is about what people can do and what they can become—their capabilities—and about the freedom they have to exercise real choices in their lives. Water pervades all aspects of human development. When people are denied access to clean water at home or when they lack access to water as a productive resource their choices and freedoms are constrained by ill health, poverty and vulnerability. Water gives life to everything, including human development and human freedom.

The problem is that some people— notably the poor—are systematically excluded from access by their poverty, by their limited legal rights or by public policies that limit access to the infrastructures that provide water for life and for livelihoods. In short, scarcity is manufactured through political processes and institutions that disadvantage the poor. When it comes to clean water, the pattern in many countries is that the poor get less, pay more and bear the brunt of the human development costs associated with scarcity.

## **Human security, citizenship and social justice**

Water security is an integral part of broader conception of human security. In broad terms water security is about ensuring that every person has reliable access to enough safe water at an affordable price to lead a healthy, dignified and productive life, while maintaining the ecological systems that provide water and also depend on water. When these conditions are not met, or when access to water is disrupted, people face acute human security risks transmitted through poor health and the disruption of livelihoods. Apart from the highly visible destructive impacts on people, water insecurity violates some of the most basic principles of social justice. Among them:

- ✍ ***Equal citizenship.***
- ✍ ***The social minimum.***
- ✍ ***Equality of opportunity.***
- ✍ ***Fair distribution.***

## **Reaching the Millennium Development Goal target in 2015—a test of humanity**

The urgency of achieving the Millennium Development Goal for water and sanitation cannot be overstated. Even if the targets are achieved, there will still be more than 800 million people without water and 1.8 billion people without sanitation in 2015. Mahatma Gandhi once commented that “the difference between what we do and what we are capable of doing would suffice to solve most of the world’s problems.” That observation has a powerful resonance for the Millennium Development Goals. The unprecedented combination of resources and technology at our disposal today makes the argument that the 2015 targets are beyond our reach both intellectually and morally indefensible. We should not be satisfied with progress that falls short of the goals set—or with half measures that leave whole sections of humanity behind.

## **Water for life—the global crisis in water and sanitation**

Clean water and sanitation are among the most powerful drivers for human development. They extend opportunity, enhance dignity and help create a virtuous cycle of improving health and rising wealth. People living in rich countries today are only dimly aware of how clean water fostered social progress in their own countries.

## **The fault line between sanitation and water**

In rich countries clean water is now available at the twist of a tap. Private and hygienic sanitation is taken for granted. The contrast with poor countries is striking. While deprivation is unequally distributed across regions, the facts of the global water crisis speak for themselves. Access to water and sanitation reinforces some long-standing human development lessons.

## A crisis above all for the poor

The crisis in water and sanitation is—above all—a crisis for the poor. Almost two in three people lacking access to clean water survive on less than \$2 a day, with one in three living on less than \$1 a day. These facts have important public policy implications. While the private sector may have a role to play in delivery, public financing holds the key to overcoming deficits in water and sanitation. The distribution of access to adequate water and sanitation in many countries mirrors the distribution of wealth. Access to piped water into the household averages about 85% for the wealthiest 20% of the population, compared with 25% for the poorest 20%. Inequality extends beyond access. The perverse principle that applies across much of the developing world is that the poorest people not only get access to less water, and to less clean water, but they also pay some of the world's highest prices:

## Prognosis for meeting the Millennium Development Goal target

The Millennium Development Goals are not the first set of ambitious targets embraced by governments. “Water and sanitation for all” within a decade was among the impressive set of targets adopted in high-level conferences in the 1970s and the 1980s. Performance fell far short of the promise. Will it be different this time round? In aggregate the world is on track for the target for water largely because of strong progress in China and India, but only two regions are on track for sanitation (East Asia and Latin America). Large regional and national variations are masked by the global picture.

## Four foundations for success

If high-level international conferences, encouraging statements and bold targets could deliver clean water and basic sanitation, the global crisis would have been resolved long ago. There are no ready-made blueprints for reform, but four foundations are crucial for success.

- ✍ ***Make water a human right—and mean it.*** All governments should go beyond vague constitutional principles to enshrine the human right to water in enabling legislation. To have real meaning, the human right has to correspond to an entitlement to a secure, accessible and affordable supply of water.
- ✍ ***Draw up national strategies for water and sanitation.*** All governments should prepare national plans for accelerating progress in water and sanitation, with ambitious targets backed by financing and clear strategies for overcoming inequalities.
- ✍ ***Develop a global action plan.*** International efforts to accelerate progress in water and sanitation have been fragmented and ineffective, with a surfeit of high-level conferences and a chronic absence of practical action.

## Providing water for life

“The human right to water”, declares the United Nations Committee on Economic, Social and Cultural Rights, “entitles everyone to sufficient, safe, acceptable, physically accessible and affordable water for personal and domestic use.” These five core attributes represent the foundations for water security. Yet they are widely violated.

## High prices for the poor

Distance from the utility inflates prices. As water passes through intermediaries and each adds transport and marketing costs, prices are ratcheted up.

## The key role of public providers

In recent years international debate on the human right to water has been dominated by polarized exchanges over the appropriate roles of the private and public sectors. Important issues have been raised—but the dialogue has generated more heat than light. Two specific aspects of water provision in countries with low coverage rates caution against an undue reliance on the private sector. First, the water sector has many of the characteristics of a natural monopoly. In the absence of a strong regulatory capacity to protect the public interest through the rules on pricing and investment, there are dangers of monopolistic abuse. Second, in countries with high levels of poverty among unserved populations, public finance is a requirement for extended access regardless of whether the provider is public or private. Regulation and sustainable cost-recovery are vital to equity and efficiency. Because water networks are natural monopolies, regulation needs to ensure that providers meet standards for efficiency and equity—in effect, protecting the interests of the user. Strong, independent regulatory bodies have been difficult to establish in many developing countries, leading to political interference and non accountability. But efforts to build regulation through dialogue between utility providers and citizens have yielded some major advances—as in Hyderabad, India. More broadly, it is important that governments extend the regulatory remit beyond formal network providers to the informal markets that poor people use.

Almost half the developing world lacks access to sanitation. Many more lack access to good quality sanitation. The deficit is widely distributed. The daunting scale of the sanitation deficit and the slow progress in closing that deficit are seen by some as evidence that the Millennium Development Goal target is now unattainable. The concern is justified, but the conclusion is flawed. There are many examples of rapid progress in sanitation, some driven from below by local communities and some led by governments:

- ✍ ***In India and Pakistan slum dweller associations have collaborated to bring sanitation to millions of people, using the power of communities to mobilize resources.*** The National Slum Dwellers Federation in India and the Orangi Pilot Project in Pakistan, among many other community organizations, have shown what is possible through practical action.
- ✍ ***The Total Sanitation Campaign in Bangladesh has been scaled up from a community based project to a national programme that is achieving rapid increases in access to sanitation. Cambodia, China, India and Zambia have also adopted it.***
- ✍ ***Government programmes in Colombia, Lesotho, Morocco and Thailand have expanded access to sanitation across all wealth groups.*** West Bengal in India has also achieved extraordinary progress.

Water flows through all aspects of human life. Throughout history water management has presented people and governments with far-reaching technical and political challenges. The story of water management is at once a story of human ingenuity and human frailty. From the aqueducts of ancient Rome to the great public works of 19th century Europe and the United States, the provision of clean water for life has been made possible through innovative technologies. At the same time, unclean water and poor sanitation have claimed more lives over the past century than any other cause— and in many developing countries they continue to do so. The management of water for livelihoods has an even longer history. Since the dawn of civilization in the Indus Valley and Mesopotamia the management of water as a productive resource has been marked by ingenious infrastructure systems that have sought to harness the productive potential of water while limiting its potential for destruction. Human vulnerability in the face of failure in these endeavours, or as a result of shifts in the hydrological cycle, is reflected in the demise of civilizations, the collapse of agricultural systems and environmental destruction. Faced with the threat of climate change and mounting pressure on the world's freshwater resources, the 21st century water governance challenge may prove to be among the most daunting faced in human history.

### **2007/08: Fighting climate change: human solidarity in a divided world**

Climate change is the defining human development issue of our generation. All development is ultimately about expanding human potential and enlarging human freedom. It is about people developing the capabilities that empower them to make choices and to lead lives that they value. Today, we are witnessing at first hand what could be the onset of major human development reversal in our lifetime. Across developing countries, millions of the world's poorest people are already being forced to cope with the impacts of climate change. These impacts do not register as apocalyptic events in the full glare of world media attention. They go unnoticed in financial markets and in the measurement of world gross domestic product (GDP). But increased exposure to drought, to more intense storms, to floods and environmental stress is holding back the efforts of the world's poor to build a better life for themselves and their children. Climate change will undermine international efforts to combat poverty. Climate change is hampering efforts to deliver the MDG promise. Looking to the future, the danger is that it will stall and then reverse progress built-up over generations not just in cutting extreme poverty, but in health, nutrition, education and other areas.

The heart of the climate change problem is that the Earth's capacity to absorb carbon dioxide (CO<sub>2</sub>) and other greenhouse gases is being overwhelmed. Humanity is living beyond its environmental means and running up ecological debts that future generations will be unable to repay.

Future generations will see our response to climate change as a measure of our ethical values. That response will provide a testimony on how political leaders today acted on their pledges to combat poverty and build a more inclusive world.

The problem is that there is a large gap between scientific evidence and political action. So far most governments have been failing the test on climate change mitigation.

## Climate change and human development

Human development is about people. It is about expanding people's real choices and the substantive freedoms—the capabilities—that enable them to lead lives that they value. Choice and freedom in human development mean something more than the absence of constraints. People whose lives are blighted by poverty, ill-health or illiteracy are not in any meaningful sense free to lead the lives that they value. Neither are people who are denied the civil and political rights they need to influence decisions that affect their lives. Climate change will be one of the defining forces shaping prospects for human development during the 21st Century. Through its impact on ecology, rainfall, temperature and weather systems, global warming will directly affect all countries. Nobody will be immune to its consequences. However, some countries and people are more vulnerable than others. In the long term, the whole of humanity faces risks but more immediately, the risks and vulnerabilities are skewed towards the world's poorest people.

### From climate change to stalled human progress—the transmission mechanisms

Climate change is global but the effects will be local. Physical impacts will be determined by geography and micro level interactions between global warming and existing weather patterns. The immense scope of these impacts makes generalization difficult: drought-prone areas in Sub-Saharan Africa will face different problems from flood-prone areas in South Asia. Human development impacts will also vary as changes in climate patterns interact with pre-existing social and economic vulnerabilities. However, five specific risk-multipliers for human development reversals can be identified:

- ✍ **Reduced agricultural productivity.** Around three-quarters of the world's population living on less than US\$1 a day depend directly on agriculture. Climate change scenarios point to large losses in productivity for food staples linked to drought and rainfall variation in parts of sub-Saharan Africa and South and East Asia.
- ✍ **Heightened water insecurity.** Exceeding the 2°C threshold will fundamentally change the distribution of the world's water resources. Accelerated glacial melt in the Himalayas will compound already severe ecological problems across northern China, India and Pakistan, initially increasing floods before reducing the flow of water to major river systems vital for irrigation. In Latin America, accelerated melting of tropical glaciers will threaten water supplies for urban populations, agriculture and hydroelectricity especially in the Andean region.
- ✍ **Increased exposure to coastal flooding and extreme weather events.** The IPCC forecasts an increase in extreme weather events. Droughts and floods are already the main drivers of a steady increase in climate-related disasters. With an increase in temperatures above 2°C, warmer seas will fuel more violent tropical cyclones. Drought-affected areas will increase in extent, jeopardizing livelihoods and promising progress in health and nutrition. Rising sea levels and more intense tropical storm activity could increase the number of people experiencing coastal flooding by between 180 million and 230 million.

- ✍ **The collapse of ecosystems.** All predicted species extinction rates accelerate beyond the 2°C threshold, with 3°C marking the point at which 20 -30 percent of species would be at 'high risk' of extinction. 21 Coral reef systems, already in decline, would suffer extensive 'bleaching' leading to the transformation of marine ecologies, with large losses of biodiversity and ecosystem services. This would adversely affect hundreds of millions of people dependent upon fish for their livelihoods and nutrition.
- ✍ **Increased health risks.** Climate change will impact on human health at many levels. Globally an additional 220-400 million people could be at increased risk of malaria.

These five drivers for major human development reversal cannot be viewed in isolation. They will interact with each other, and with pre-existing human development problems, creating powerful downward spirals.

### Human Induced Climate Change

While the current warming cycle is not unique in terms of temperature change, it is unique in one important respect: it is the first time that humanity has decisively changed a cycle. Mankind has been releasing CO<sub>2</sub> into the atmosphere through burning and land-use changes for over 500,000 years. But climate change can be traced back to two great transformations in energy use. In the first, water power was replaced by coal—a source of energy condensed by nature over millions of years. It was coal harnessed to new technologies that fuelled the industrial revolution, unleashing unprecedented increases in productivity. The second great transformation happened 150 years later. Oil had been a source of human energy for millennia: China had oil wells in the 4th Century. However, the harnessing of oil to the internal combustion engine in the early 20th Century marked the start of a revolution in transport. The burning of coal and oil supplemented by natural gas, has transformed human societies, providing the energy that has driven vast increases in wealth and productivity. It has also fuelled climate change.

For global carbon accounting purposes the world is a single country. The Earth's atmosphere is a common resource without borders. Emissions of greenhouse gases mix freely in the atmosphere over time and space. It makes no difference for climate change whether the marginal tonne of CO<sub>2</sub> comes from a coal-fired power plant, from a car, or from a loss of carbon sinks in tropical rainforests. Similarly, when greenhouse gases enter the Earth's atmosphere they are not segmented by country of origin: a tonne of CO<sub>2</sub> from Mozambique is the same weight as a tonne of CO<sub>2</sub> from the United States.

### Low human development traps

Human development is about expanding freedom and choice. Climate-related risks force people into trade-offs that limit substantive freedom and erode choice. These trade-offs can constitute a one-way ticket into low human development traps—downward spirals of disadvantage that undermine opportunities. Climate shocks affect livelihoods in many ways. They wipe out crops, reduce opportunities for employment, push up food prices and destroy property, confronting people with stark choices. Wealthy households can

manage shocks by drawing upon private insurance, using their savings, or trading in some of their assets. They are able to protect their current consumption— ‘consumption smoothing’—without running down their productive capacities or eroding their human capabilities. The poor have fewer options.

With limited access to formal insurance, low income and meagre assets, poor households have to adapt to climate shocks under more constrained conditions. In an effort to protect current consumption, they are often forced to sell productive assets, compromising future income generation. When incomes fall from already low levels, they may have no choice but to reduce the number of meals they eat, cut spending on health, or withdraw their children from school to increase labour supply. The coping strategies vary. However, the forced trade-offs that follow climate shocks can rapidly erode human capabilities, setting in train cycles of deprivation.

### **Asset erosion—physical capital**

Climate shocks can have devastating consequences for household assets and savings. Assets such as live animals represent something more than a safety net for coping with climate shocks. Their loss increases future vulnerability.

The trade-off forced upon people by climate shocks reinforce and perpetuate wider inequalities based on income, gender and other disparities. Some examples:

**Nutrition.** Climate shocks such as drought and floods can cause grave setbacks in nutritional status as food availability declines, prices rise and employment opportunities shrink. Deteriorating nutrition provides the most telling evidence that coping strategies are failing.

**Education.** For the poorest households, increasing labour supply can mean transferring children from classrooms into the labour market.

**Health.** Climate shocks are a potent threat to the Poor’s most valuable assets—their health and their labour. Deteriorating nutrition and falling incomes generate a twin threat: increased vulnerability to illness and fewer resources for medical treatment.

There are three foundations for success. The first is putting a price on carbon emissions. The second foundation for mitigation is behavioural change in the broadest sense. Successful mitigation ultimately requires that consumers and investors shift demand to low-carbon energy sources. International cooperation represents the third leg of the mitigation tripod. Rich countries have to take the lead in tackling dangerous climate change: they have to make the deepest and earliest cuts.

### **Framing national adaptation policies**

There are no blueprints for successful climate change adaptation. Countries face different types and degrees of risk, start from different levels of human development and vary widely in their technological and financial capabilities. While policies for human development are the most secure foundation for adaptation, even the best human development practice will have to take into account emerging climate change risks.

Adaptation policies are likely to be more successful and responsive to the needs of the poor when the voice of the poor identifies priorities and shapes the design of policies. Accountable and responsive government and the empowerment of people to improve their own lives are necessary conditions for successful adaptation, just as they are for human development. The foundations for successful adaptation planning can be summarized under four 'i's:

- ✍ *Information* for effective planning;
- ✍ *Infrastructure* for climate-proofing;
- ✍ *Insurance* for social risk management and poverty reduction;
- ✍ *Institutions* for disaster risk management

However, climate change provides a strong rationale for strengthening

## **Conclusion**

The limitations of adaptation strategies have to be recognized. Ultimately, adaptation is an exercise in damage limitation. It deals with the symptoms of a problem that can be cured only through mitigation. However, failure to deal with the symptoms will lead to large-scale human development losses. The world's poorest and most vulnerable people are already adapting to climate change. For the next few decades, they have no choice but to continue adapting. The climate change that the world is already locked into has the potential to result in large-scale human development setbacks, first slowing, then stalling and reversing progress in poverty reduction, nutrition, health, education and other areas. Developing countries and the world's poor cannot avert these setbacks by acting alone—nor should they have to.

## ANNEX-I

HDI Rank in 2007/08 *	Country	HDI 1990 **	HDI 2005 *
1	Iceland		0.968
2	Norway	0.983	0.968
3	Australia	0.978	0.962
4	Canada	0.983	0.961
5	Ireland	0.961	0.959
6	Sweden	0.987	0.956
7	Switzerland	0.986	0.955
8	Japan	0.996	0.953
9	Netherlands	0.984	0.953
10	France	0.974	0.952
11	Finland	0.967	0.952
12	United States	0.961	0.951
13	Spain	0.965	0.949
14	Denmark	0.971	0.949
15	Austria	0.961	0.948
16	United Kingdom	0.97	0.946
17	Belgium	0.966	0.946
18	Luxembourg		0.944
19	New Zealand	0.966	0.943
20	Italy	0.966	0.941
21	Hong Kong, China (SAR)	0.936	0.937
22	Germany	0.953	0.935
23	Israel	0.957	0.932
24	Greece	0.949	0.926
25	Singapore	0.899	0.922
26	Korea	0.789	0.921
27	Rep of Slovenia		0.917
28	Cyprus		0.903
29	Portugal	0.899	0.897
30	Brunei Darussalam		0.894
31	Barbados		0.892
32	Czech Republic	0.931	0.891
33	Kuwait	0.839	0.891
34	Malta		0.878
35	Qatar		0.875
36	Hungary	0.915	0.874
37	Poland	0.91	0.87
38	Argentina	0.91	0.869
39	United Arab Emirates	0.782	0.868
40	Chile	0.931	0.867
41	Bahrain		0.866
42	Slovakia		0.863
43	Lithuania		0.862
44	Estonia		0.86
45	Latvia		0.855
46	Uruguay	0.916	0.852

HDI Rank in 2007/08 *	Country	HDI 1990 **	HDI 2005 *
47	Croatia		0.85
48	Costa Rica	0.916	0.846
49	Bahamas		0.845
50	Seychelles		0.84
51	Cuba	0.877	0.838
52	Mexico	0.876	0.829
53	Bulgaria	0.918	0.824
54	Saint Kitts and Nevis		0.821
55	Tonga		0.819
56	Libyan Arab Jamahiriya	0.719	0.818
57	Antigua and Barbuda		0.815
58	Oman	0.535	0.814
59	Trinidad and Tobago	0.885	0.814
60	Romania	0.863	0.813
61	Saudi Arabia	0.702	0.812
62	Panama	0.883	0.812
63	Malaysia	0.8	0.811
64	Belarus		0.804
65	Mauritius	0.788	0.804
66	Bosnia and Herzegovina		0.803
67	Russian Federation	0.92	0.802
68	Albania	0.79	0.801
69	Macedonia (TFYR)		0.801
70	Brazil	0.784	0.8
71	Dominica		0.798
72	Saint Lucia		0.794
73	Kazakhstan		0.794
74	Venezuela	0.861	0.792
75	Colombia	0.801	0.791
76	Ukraine		0.788
77	Samoa		0.785
78	Thailand	0.783	0.781
79	Dominican Republic	0.699	0.779
80	Belize		0.778
81	China	0.716	0.777
82	Grenada		0.777
83	Armenia		0.775
84	Turkey	0.751	0.775
85	Suriname		0.774
86	Jordan	0.752	0.773
87	Peru	0.753	0.773
88	Lebanon	0.735	0.772
89	Ecuador	0.758	0.772
90	Philippines	0.714	0.771
91	Tunisia	0.657	0.766
92	Fiji		0.762

HDI Rank in 2007/08	Country	HDI 1990 **	HDI 2005 *
93	Saint Vincent and the Grenadines		0.761
94	Iran, Islamic Rep. of	0.66	0.759
95	Paraguay	0.784	0.755
96	Georgia		0.754
97	Guyana		0.750
98	Azerbaijan		0.746
99	Sri Lanka	0.789	0.743
100	Maldives		0.741
101	Jamaica	0.824	0.736
102	Cape Verde		0.736
103	El Salvador	0.651	0.735
104	Algeria	0.609	0.733
105	Viet Nam	0.608	0.733
106	Occupied Palestinian Territories		0.731
107	Indonesia	0.591	0.728
108	Syrian Arab Republic	0.691	0.724
109	Turkmenistan		0.713
110	Nicaragua	0.743	0.71
111	Moldova		0.708
112	Egypt	0.501	0.708
113	Uzbekistan		0.702
114	Mongolia	0.737	0.700
115	Honduras	0.563	0.700
116	Kyrgyzstan		0.696
117	Bolivia	0.548	0.695
118	Guatemala	0.592	0.689
119	Gabon	0.525	0.677
120	Vanuatu		0.674
121	South Africa	0.731	0.674
122	Tajikistan		0.673
123	São Tomé and Príncipe		0.654
124	Botswana	0.646	0.654
125	Namibia	0.404	0.650
126	Morocco	0.489	0.646
127	Equatorial Guinea		0.642
128	India	0.439	0.619
129	Solomon Islands		0.602
130	Lao People's Dem. Rep.	0.506	0.601
131	Cambodia		0.598
132	Myanmar	0.561	0.583
133	Bhutan	0.236	0.579
134	Comoros		0.561

HDI Rank in 2007/08	Country	HDI 1990 **	HDI 2005 *
135	Ghana	0.36	0.553
136	Pakistan	0.423	0.551
137	Mauritania	0.208	0.550
138	Lesotho	0.58	0.549
139	Congo	0.395	0.548
140	Bangladesh	0.318	0.547
141	Swaziland		0.547
142	Nepal	0.273	0.534
143	Madagascar	0.44	0.533
144	Cameroon	0.474	0.532
145	Papua New Guinea	0.471	0.530
146	Haiti	0.356	0.529
147	Sudan	0.255	0.526
148	Kenya	0.481	0.521
149	Djibouti		0.516
150	Timor-Leste		0.514
151	Zimbabwe	0.576	0.513
152	Togo	0.337	0.512
153	Yemen	0.328	0.508
154	Uganda	0.354	0.505
155	Gambia		0.502
156	Senegal	0.274	0.499
157	Eritrea		0.483
158	Nigeria	0.322	0.47
159	Tanzania, U. Rep. of	0.413	0.467
160	Guinea	0.162	0.456
161	Rwanda	0.304	0.452
162	Angola	0.304	0.446
163	Benin	0.224	0.437
164	Malawi	0.25	0.437
165	Zambia	0.481	0.434
166	Côte d'Ivoire	0.393	0.432
167	Burundi	0.235	0.413
168	Congo, Dem. Rep. of the	0.395	0.411
169	Ethiopia	0.282	0.406
170	Chad	0.157	0.388
171	Central African Republic	0.258	0.384
172	Mozambique	0.239	0.384
173	Mali	0.143	0.380
174	Niger	0.116	0.374
175	Guinea-Bissau	0.162	0.374
176	Burkina Faso	0.15	0.370
177	Sierra Leone	0.15	0.336

\* As reported in HDR 2007/08

\*\* As reported in HDR 1990

## ANNEX-II

### Millennium Development Goals (MDGs)

#### List of Goals, Targets and Indicators

Goals and Targets	Indicators
<b>Goal 1: Eradicate extreme poverty and hunger</b>	
<b>TARGET 1:</b> Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1. Proportion of population below \$1 (PPP) per day 2. Poverty gap ratio [incidence x depth of poverty] 3. Share of poorest quintile in national consumption
<b>TARGET 2:</b> Halve, between 1990 and 2015, the proportion of people who suffer from hunger	4. Prevalence of underweight children under- five years of age 5. Proportion of population below minimum level of dietary energy consumption
<b>Goal 2: Achieve universal primary education</b>	
<b>TARGET 3:</b> Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	6. Net enrolment ratio in primary education 7. Proportion of pupils starting grade 1 who reach grade 8. Literacy rate of 15-24 year-olds
<b>Goal 3: Promote gender equality and empower women</b>	
<b>TARGET 4:</b> Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	9. Ratios of girls to boys in primary, secondary and tertiary education 10. Ratio of literate women to men, 15-24 years old 11. Share of women in wage employment in the non-agricultural sector 12. Proportion of seats held by women in national parliament
<b>Goal 4: Reduce child mortality</b>	
<b>TARGET 5:</b> Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	13. Under-five mortality rate 14. Infant mortality rate 15. Proportion of 1 year-old children immunized against measles

## Goal 5: Improve maternal health

**TARGET 6:** Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio

16. Maternal mortality ratio
17. Proportion of births attended by skilled health personnel

## Goal 6: Combat HIV/AIDS, malaria and other diseases

**TARGET 7:** Have halted by 2015 and begun to reverse the spread of HIV/AIDS

18. HIV prevalence among pregnant women aged 15-24 years
19. Condom use rate of the contraceptive prevalence rate 19 (a) Condom use at last high-risk sex 19 (b) Percentage of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS d 19 (c) Contraceptive prevalence rate
20. Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years

**TARGET 8:** Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases

21. Prevalence and death rates associated with malaria
22. Proportion of population in malaria-risk areas using effective malaria prevention and treatment measures
23. Prevalence and death rates associated with tuberculosis
24. Proportion of tuberculosis cases detected and cured under directly observed treatment short course DOTS (Internationally recommended TB control strategy)

## Goal 7: Ensure environmental sustainability

**TARGET 9:** Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources

25. Proportion of land area covered by forest
26. Ratio of area protected to maintain biological diversity to surface area
27. Energy use (kg oil equivalent) per \$1 GDP (PPP)
28. Carbon dioxide emissions per capita and consumption of ozone-depleting CFCs (ODP tons)
29. Proportion of population using solid fuels

**TARGET 10:** Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation

**TARGET 11:** By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers

30. Proportion of population with sustainable access to an improved water source, urban and rural
31. Proportion of population with access to improved sanitation, urban and rural
32. Proportion of households with access to secure tenure

## Goal 8: Develop a global partnership for development

**TARGET 12:** Develop further an open, rule-based, predictable, non-discriminatory trading and financial system Includes a commitment to good governance, development and poverty reduction-both nationally and internationally

**TARGET 13:** Address the special needs of the least developed countries

Includes: tariff and quota free access for the least developed countries' exports; enhanced programme of debt relief for heavily indebted poor countries (HIPC) and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction

**TARGET 14:** Address the special needs of landlocked developing countries and small island developing States (through the programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the Twenty-second special session of the General Assembly)

Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked developing countries and small island developing States

### Official development assistance (ODA)

33. Net ODA, total and to the least developed countries, as percentage of OECD/DAC donors' gross national income
34. Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation).
35. Proportion of bilateral official development assistance of OECD/DAC donors that is untied
36. ODA received in landlocked developing countries as a proportion of their gross national incomes
37. ODA received in small island developing States as a proportion of their gross national income

**TARGET 15:** Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term

**TARGET 16:** In cooperation with developing countries, develop and implement strategies for decent and productive work for youth

**TARGET 17:** In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries

**TARGET 18:** In cooperation with the private sector, make available the benefits of new technologies, especially information and communications

#### **Market access**

38. Proportion of total developed country imports (by value and excluding arms) from developing countries and least developed countries, admitted free of duty
39. Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries
40. Agricultural support estimate for OECD countries as a percentage of their gross domestic product
41. Proportion of ODA provided to help build trade capacity

#### **Debt sustainability**

42. Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative)
43. Debt relief committed under HIPC Initiative
44. Debt service as a percentage of exports of goods and services
45. Unemployment rate of young people aged 15-24 years, each sex and total <sup>f</sup>  
Proportion of population with access to affordable essential drugs on a sustainable basis
47. Telephone lines and cellular subscribers per 100 population
48. Personal computers in use per 100 population/  
Internet Users per 100 population

# Understanding Participation

# Understanding Participation

## Objectives

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After studying this unit, you will be able to:

- i) Explain the meaning forms and advantages of participation
  - ii) Identify the pre-conditions of participation
  - iii) Discuss participation in different phases of a project cycle including the process of bottom-up development process
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## Structure:

- 1.1 Introduction
  - 1.2 Meaning of participation
    - 1.2.1 Conventional Meaning
    - 1.2.2 Operational Meaning
    - 1.2.3 Stakeholders
  - 1.3 Forms of Participation
  - 1.4 Advantages of Participation
  - 1.5 Preconditions of Participation
  - 1.6 Participation in Different Phases of a Project Cycle
  - 1.7 Top Down to Bottom up Approach
  - 1.8 Evidences of people's knowledge and skill
  - 1.9 Let us Sum up
  - 1.10 Check your Progress
-

## 1.1 Introduction

In the previous unit, you have been introduced to the concept of 'development'. Traditionally, development has been conceptualised in economic terms. Now it is being defined in human terms with participation of people as a crucial factor. Formerly, the emphasis was on the production of goods and services. Now the emphasis has shifted to human agency and enhancement of human capability. Development is being understood as empowerment, as the enhancement of human capability to intervene in policy and decision –making in the public sphere. Participation in developmental decision-making is being viewed both as a matter of right as well as a step towards democratisation. With the passage of the Constitution 73<sup>rd</sup> and the 74<sup>th</sup> Amendments in 1991 we in our country have also taken some major steps towards ensuring people's participation in development. It is against this background that proper clarification; understanding and internalisation of the concepts of participation and development have become so much crucial.

## 1.2 Meaning of Participation

### 1.2.1. Conventional Meaning

If you have been in the administration for a sufficiently long period of time, you must have seen that participation is usually interpreted as people (i) Contributing cash or free labour for developmental schemes sponsored by government, or (ii) identifying would-be beneficiaries of developmental projects, or (iii) offering some suggestions in respect of some programmes. Cash or in-kind services are recommended as ways to create a sense of ownership on the part of the poor. It is also an obvious way to cover part of the project cost. This usually takes place at the implementation stage. People do not have the right to participate either in the planning stage or in the stage of project formulation. Their participation at the implementation stage is also not real. They are not called upon to monitor, review or evaluate the scheme. Then what is participation?

### 1.2.2 Operational Meaning

Participation can be interpreted in various ways. It may be viewed as a matter of *right*. This means all policy and decision-making in the public sphere and all expenditure incurred must have an in-built and direct system of public participation. It may also be considered as an essential part of the *process of democratisation*. This means all administrative decisions and actions must be subjected to public control and scrutiny. Participation may also be viewed as *empowerment*. In other words it means enabling the people to influence public policy and to take decisions in matters concerning them. For some, participation is the *essential feature of freedom and human development*. It is also one of the conditions. This means participation is both the *means and the end of development* because it enhances the capabilities of human beings and helps them take control of their own lives.

All these meanings are valuable to us. But we still need to define participation in more concrete terms, because as a practicing administrator you will have to put the participative principles into practice. *For our purpose, we define participation as a process through which the stakeholders in a project or activity influence and share control over decisions, which affect their lives.* If development means capacity building of the poor so that they can voice their choices and exercise their options, which are essential conditions of democracy and freedom, then participation becomes an inherent component of development. But participation is also necessary for very practical reasons. You must have noticed that much of the effort going into 'development' is not always producing the desired results. So far as distribution of resources and benefits are concerned, the record is often discouraging. Development programmes have not been able to change the living conditions of the poor in most cases. They have then favoured the rich. Why this is so? There has been a general belief that the poor illiterate villagers are incapable to think and organize themselves for their development. They have neither the required knowledge nor the capacity. So it has to be sponsored and directed from outside by experts and implemented through the government agencies. Under this system there is little scope for involvement of the rural people in the planning process. It has generally been assumed that decisions in this respect are the sole preserve of the government officials and the elected representatives. Now it is being realized that one of the major reasons of the development activities not providing the desired results is non-involvement of people.

### **1.2.3 Stakeholders**

*Stakeholders are those who are affected by the outcome – negatively or positively, or, those who can affect the outcome of a proposed scheme.* You may well ask why do we use the word stakeholder in the context of participation? Let us explain. By popular participation we usually mean participation of the poor and the disadvantaged, either defined in terms of wealth, education and social status, or ethnicity and gender, or even in terms of physical incapacity. They are in most cases the intended beneficiaries. They are invariably the voiceless in the development process and in general are the major stakeholders. But all of them may not be the direct stakeholders. Take the case of any water supply project in the arid parts of Rajasthan. If you have observed the life of the poor in the villages, you must have noticed that management of water in the household family is generally a woman's job. It is the women who collect water against all kinds of odds and allocate it among alternative uses, viz. drinking, cooking, washing, cleaning, feeding the domestic animals, and so on. But everyone in the family use water. So in this particular project of water supply, women among the poor households are the primary stakeholders and others are secondary stakeholders. There are other kinds of stakeholders as well. They include individuals and parties or even institutions that are likely to be affected directly and indirectly. Stakeholders also include the community based organizations (CBO), the non-government organizations (NGO), and even the local government and representative organizations in a significant way because they are also participants in the development initiatives. (On the role of the CBOs or NGOs, see Unit 5). The government departments are also the stakeholders of a different kind.

### 1.3 Forms of Participation

You must have noted above that there are various modes of participation. At one extreme we have an absolutely **non-participatory** mode. Here the whole institutional arrangement is such that there is little scope for participation of the people. Here the state is the only actor and the whole process of development is driven from a state centre. Power and decision-making is centralized and the responsibility of formulating and managing development programmes rests on the bureaucracy. There is little transparency and hardly any accountability to the people.

Next comes the **manipulative** mode. Here participation is encouraged only in a very limited manner, mostly to reduce cost through raising of resources from the people.

The third mode is called **incremental**. Here the situation is ambivalent. In some cases people are consulted in planning and implementation but not as a general matter of policy. Here the bureaucratic control is still there, but at the same time the value of participation is recognized. But this recognition does not lead to any institutional change. The type of participation that we are trying to promote however is of a very different nature. It has to be real both in forms as well as in content. Let us take an example. When you take part in the election to choose your candidate either for the Lok Sabha or the Vidhan Sabha or for the Panchayat you are participating in the process of government formation. But once you have selected your representative your role ends. Henceforth your representatives will take decisions on your behalf. Once the government is formed, it becomes the legitimate authority. So basically you act as an instrument of legitimation. The decision making process remains distant, removed from you and is closed. The formation of the panchayat does not materially change the situation. Because of the nature of government and the structure of administration that we have in our country, which were basically created and shaped during the colonial days, there is no direct link between the people and the panchayats on the one hand and the administration on the other at the local level. Over and above, you must have noted that the power of the panchayats is limited and they have little material and financial power. They mostly act as agents of higher levels of government and implement central or state government projects. As a result, people have become increasingly sceptical about them because they cannot relate with them. Even the local level schemes are also designed at the top without any reference to the locality in which they are to be implemented. *The type of participation that we are trying to promote on the other hand is very different from this. To distinguish it from instrumental participation we shall call it **developmental participation**.* In the former the people are the targets of development. In the latter however they are the real actors. The former treats the beneficiaries as passive. The latter on the other hand treats them as agents. The former dis-empowers. The latter empowers. In the latter mode the goal is not just the successful implementation of schemes, but also the enhancement of the capability of the people in a progressive manner. *As such involving the user group or setting of beneficiary committees, although useful, still falls far short of the participative mode, which we are trying to promote. In the ideal participative mode of development there is no power differential between the donor and the receiver, between the administrator, the representatives of the people and the people themselves*

who can freely come forward to air their choices and preferences. It provides the means for joint learning and action. Participation to be meaningful must lead to joint production of knowledge and strategy of action. Participation to be really effective must create a situation in which cooperative decision-making is possible.

#### **1.4 Advantages of Participation**

We have already enumerated some of the advantages of participation. In this section we will discuss them farther together with the objectives and the processes of participation. First let us take up the objectives of participation. *The major objective of participation is to involve the people in planning, project formulation, implementation, monitoring and review of local level developmental initiatives.* Once the process starts, it leads to involvement of local people, which in turn facilitates the process of social acceptance. When development projects are thrust from outside they in most cases remain non-integrated with the local social system. People do not develop a sense of ownership about them. It is because of this that we find that when a tube well goes out of order people do not come forward to mobilize their resources to repair it but wait for the concerned department to do the job. On the other hand, *when people are involved, they take direct initiative for the operation, maintenance and repair of a facility, which benefits them. Thus participation leads to the building of beneficiary capability.* Again, as we have seen above *participation means sharing of information not just about needs and deficiencies but also about possible means of solution.* This brings an additional resource of local knowledge and expertise, which leads to better planning. The advantages of the participative mode get clearer at the implementation stage. First, *it facilitates mobilization of local resources in a significant manner because of the sense of collective ownership that is generated.* These resources may be of various natures – material, human or financial. These may also come as local level experiences and expertise, which are particularly relevant in disaster management programmes. Involving the people at the implementation stage also ensures direct and regular monitoring of the project, which ensures timely completion. Thus *the possibility of time and cost overrun is minimized.* After the project is completed people tend to take initiatives to develop ways and means for operation and maintenance of the new facility. When the people participate in the implementation stage usually the possibility of leakage is minimized in comparison to departmental or agency runs projects. As such *it ensures maintenance of quality. The process also tends to eliminate what is known as 'contractor raj' with all its problems. Last but not the least it ensures transparency and accountability,* because the project work is always under the critical gaze of the local stakeholders. *Participation makes a right balance between technical and local expertise.* It is only the local people who can finally say whether the technologies and methods being followed are sufficiently effective and efficient. They can also provide proper feedback for mid-stream corrections, if necessary.

Participation also creates a condition of looking forward and backward. It is a process by which the participants relate an ideal future vision with the realities of today and list the key events and factors where interventions are necessary as per their priorities.

## 1.5 Preconditions of Participation

It is obvious that the major precondition for creating an enabling environment for participation would be to remove these obstacles. Apart from these some other steps are required to be taken.

- First and foremost among them is a proper environment. We feel, that the 73rd and 74<sup>th</sup> Constitution Amendments have created this environment. But this to be really effective would need enabling legislations by the state governments in accordance with article 143G and Article 143W where two lists have been provided identifying areas where powers can be devolved to the local self governing bodies. The Constitution has also called for involving the gram sabha or people's assemblies in planning of development projects.
- Apart from the legal provision, processual and procedural reforms are necessary by which development comes out of the straitjacket and truncated developmental approach, which prevails now and which puts the departmental priorities above people's perceptions. Hierarchically arranged departmentalism makes local level integration of functions all the more difficult.

Obviously these are beyond your ambit of powers. And it would also be wrong to expect that all these changes would come out all of sudden and change the scenario within a short time. A changeover from a top-down to bottom-up approach will necessarily have to go through several obstacles and many meandering courses. But we need not be afraid of that as long as the objective is held sincerely.

On your part what is necessary, and for which you are solely responsible, is a change of attitude on your part. You will have to take a new approach in handling developmental projects. You will have to reorient your understanding of development as a process of empowering the people by enthusing and helping them to participate as active agents in the formulation, implementation, monitoring and review of the development projects. Only then as a responsible administrator you would be fulfilling your duty.

However, at the end of the day, participation would not be meaningful unless resources are transferred to the appropriate level. By resources here we mean financial and administrative resources. As you know, at present, panchayats get very little unattached funds. The funds, which they can spend, are almost without exception pre-allocated against identified projects. To really enthuse the people to plan for them, we have to place our confidence on them and as a first step unattached funds will have to be made available to them. The appropriate unit for this is the gram panchayat. It is at this level that participative planning can be really effective. But the starting point will have to be the gram sabha.

At the gram sabha level appropriate field level administrative functionaries should actively associate in the participative planning process and help the people to develop their plans. They can provide necessary information and expertise, which are vitally needed for local level planning. The different departments should collaborate with the people and with one another to help them formulate blue prints of integrated plans and project designs. The administrators must also be willing to involve the people in the implementation and monitoring of the project. Only then participation would be meaningful. In the next unit (Unit 3), the operational aspects of participative planning and development are discussed to explain the relationship between 'development' and 'participation' in practical field situation.

## 1.6 Participation in Different Phases of a Project Cycle

Participation to be really effective has to be concurrent with all the different phases of the project cycle. If you analyse these phases you will be able to immediately identify the limitations of the present mode of participation. *Very broadly, a project cycle has four identifiable phases. These are (i) identification or formulation of a project, (ii) planning or preparation of the project, or project design, (iii) implementation of the project and (iv) evaluation.* It would be instructive to examine the level of participation, as it exists now in each of the phases of the project cycle. Generally, it is only at the implementation stage that people's participation is sought for cash contribution or in-kind services. Sometimes some participative steps are taken in project design. Examples are micro-watershed projects. But these are more exceptions than the rule. However identification and formulation stage is mostly beyond the participative ambit. Least participation is in the evaluation stage. There is almost no popular involvement in monitoring the progress of the project. This is because administration responsible for the project is never answerable to the people. They are answerable to the government, more specifically to the department. Moreover, you must have noted that at present there is no system of impact evaluation, particularly the long-term impact. These are mostly done by outside agencies to which the implementing agencies are not at all answerable. *In the non-participatory form of development therefore accountability is one of the major problems.* To whom would the project managers be accountable? To the department, to the government as a whole, to the funding agencies, or to the people? To you the answer should be obvious. *You must understand that participation to be really meaningful and effective should run all through the major phases of the project cycle – from identification through design and implementation to evaluation.* But often identification of projects depends on earlier policy framework or information collected mechanically. Ideally, therefore, the poor should also be consulted and involved in the formulation of a project or in the formulation of policies regarding local development.

## 1.7 Top Down to Bottom up Approach

It should be clear to you by now that *participation demands that you place yourself inside the local social system in which you are working. It means that you work in a way, which creates a willingness among the different types of stakeholders to work jointly in planning and implementing development programmes.* On your part it will need a changeover from the 'external expert' role to a 'participative role'. To be more specific, the characteristics of the participative approach demand that you as a field level functionary follow a strategy along with other government officials so that the stakeholders, particularly the primary ones, can influence and share control over all the decisions that are taken concerning them. *This approach stands in sharp contrast to the role you have been taking so far in which the administrative functionaries stand outside the local system in which they are working.* Sometimes you as an administrator do collect information and opinion from the different groups of stakeholders, using the information provided by them as inputs for reports or feedback to the higher authorities. While this, by itself, is a welcome step, this is very far from the type of participation that we are talking about. There is no doubt that consultation

and listening are essential prerequisites of participation, but what is still more important is learning about the local situation from the people. Under the present system, there is a general assumption that presenting the people with a plan or a project design or information is good enough for ensuring social change. That it is not good enough unless the people are involved has been proved time and again by the family planning programme in many states in India. According to official statistics the numerical targets of various types of contraception has been achieved without any material change in the behaviour pattern of the population. Development experience has shown that when external experts alone acquire, analyse and process information social development as desired, does not usually take place. On the other hand, *participatory development generates a durable form of social learning and commitment. In the participative mode the stakeholders internalise both the purpose as well as the means of a jointly developed strategy of development planning and implementation. This leaves a long lasting and stable impact on the people and the social system.* The social learning, which is generated through *the process of participation usually, leads to a collective endeavour towards problem solving. This in its turn leads to social invention* in which the participants, with the help of external actors, creatively assess and employ their own knowledge and practice for tackling their problems as identified by themselves. The stakeholders also invent the new practices and institutionalised arrangements they are willing to adopt. In the process they individually and collectively develop insight and understanding of the new behaviour required to attain the objectives determined collectively. *Having all stakeholders' work, learn and invent together reduces the risk of failures. Moreover, when people willingly participate the possibilities and opportunities that come naturally to them and on which they can creatively build upon are often missed by outsiders even if they are experts. The commitment on the part of the people also increases substantially.* This is so because through the participatory process people can make commitments on the basis of concrete and internalised information. *If the process, which produces a project or a development plan, is participatory from the start it creates a network of support and commitment as well as a sense of ownership, which remain unattainable in any non-participatory mode.*

## **1.8 Evidences of People's knowledge and Skill**

People are not as dumb and ignorant as they are made to be. Field researchers and non-government and voluntary agencies engaged in development projects have come out with evidences of success stories showing that common people have ideas and skills as well as a rich storehouse of local knowledge which are essential components of local level planning. Even ordinary villagers have rich resources, both material and human, to contribute to the development process. They can significantly contribute to the implementation of the projects. There are also evidences of a few successfully implemented departmental schemes where the field level administrators showed initiative to directly involve the people. The joint forest management project at Arabari in West Bengal is one such evidence. The Arabari experience (See box) has greatly contributed in the realization that without people's participation development remains an empty dream. The International Funding Agencies like the World Bank, UNDP and UNICEF, as well as bi-lateral and multilateral funding agencies like DFID, are nowadays insisting on peoples' participation in development

projects. In fact the Human Development Report published by UNDP commented as early as in 1991 that, "Peoples' participation is becoming the central issue of our times". After the Constitutional 73<sup>rd</sup> and 74<sup>th</sup> Amendments, the Governments, both in the Centre and in the states, are showing interest in participative development. The Universal Primary Education programme of the Government of India is an instance to the point. Emphasis is placed on locally rooted, participatory micro development organizations with scope for involving voluntary and non-governmental organizations. In our country the micro-watershed projects have put a lot of emphasis on local level participation. Participation in these cases is seen as a socially vibrant grassroots process whereby people identify the development activities as their own.

### 1.9 Let us Sum up

After reading this unit you should have a clearer understanding of (a) what is meant by participation in the context of development, (b) under what circumstances participation becomes really meaningful and effective, (c) what are its advantages and (d) its preconditions. You should also have some preliminary ideas about your role in promoting participation.

### 1.10 Check your progress

What do we normally understand by participation? Why it is not true participation?

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How many definitions of participation you get in the text? What are they?

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What do we mean by stakeholders? What are the advantages of using the concept?

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What is a project cycle? Why is participation important in all its phases?

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What are the advantages of participation?

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What are the different forms of participation? Which type of participation do we have now generally?  
Which type of participation we should try to promote?

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What are the pre-conditions of participation?

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**Activity**

Can you recall any situation in which people had participated in a development project? If so, analyse the nature of this participation in the light of the knowledge you have gained from the text.

# Participatory Learning and Action

## PARTICIPATORY LEARNING AND ACTION (PLA)

### Objectives:

After studying this unit, you will be able to:

- I) State the various participatory methods
  - II) Explain the participatory rural appraisal method
  - III) Apply the participatory rural appraisal method in real life
- 

### Structure:

- 1 Introduction**
- 2 Participatory Methods: An Overview**
- 3 Participatory Rural Appraisal (PRA)**

### Activity 1

- 4 PRA Techniques**
- 5 Mapping Techniques**
  - 5.1 Social Mapping
  - 5.2 Transect Walks
  - 5.3 Census Mapping
  - 5.4 Venn Diagrams

### Activity 2

- 6 Ranking Exercises**
  - 6.1 Problem and Preference Ranking
  - 6.2 Ranking and Scoring
  - 6.3 Matrix ranking and Scoring
  - 6.4 Pair-wise Ranking
  - 6.5 Wealth Ranking
  - 6.6 Well-being Ranking

### Activity 3

- 7 Trend Analysis**
  - 7.1 Seasonal Calendars
  - 7.2 Seasonality Analysis
  - 7.3 Trend Analysis
  - 7.4 Daily Activity Charts

### Activity 4

- 8 Problems relating to PRA**
  - 9 Practical personal tips**
  - 10 Learning from the field**
  - 11 Let us sum up**
  - 12 Check your progress.**
-

## **1 Introduction**

We have already introduced you to the necessity of promoting people's participation in development. It is now clear to you that people's participation in the development process is both an essential input in development as well as a means of empowering the people. This unit deals with the various participatory methods and their application in the development process.

## **2 Participatory Methods: - An Overview**

If you are an official say of the animal resource development department, you are to develop a plan for generating income and employment in your area through better and efficient use of animal resources. You shall have to collect the basic information in this regard. Based on these basic information and application of your knowledge, and taking into account the resources available under various development schemes, you may develop a plan. Your ultimate objective is to build the capacity of the people and make the development programme sustainable. But the question is how will you collect the necessary information. What will be the procedure for taking decisions regarding selection of scheme and beneficiaries? How will you monitor the programme? All these questions arise because your ultimate objective is to ensure people's participation and empowerment.

There are various participatory methods, which have been used over the last few decades. Some of these are: the Beneficiary Assessment Method (BA), SARAR and Participatory Rural Appraisal (PRA). BA is a systematic investigation of the perceptions of the beneficiaries and other stakeholders. SARAR stands for five attributes, namely – self-esteem, associative strength, resourcefulness, action planning and responsibility for follow through, which are considered to be critically important for achieving full and committed participation in development programmes. PRA has evolved from Rapid Rural Appraisal (RRA), which is a process of appraisal, analysis and action by local people themselves. To emphasize on the learning part sometimes the anagram PLA, which means Participative Learning and Action, is used. However PRA is the most commonly used word. It is also the method, which is mostly used to encourage and ensure people's participation. Here we will explain this method in adequate detail so that you can use it in practice.

## **3 Participatory Rural Appraisal**

PRA can be described as a method that enables people to express and analyse the realities of their lives and conditions, to plan what action to take, and to monitor and evaluate the results. PRA emphasises the process which empowers local people, whereas its predecessor RRA was mainly used as a means for outsiders to gather information.

You are aware that now the objective of the development activities is not only to deliver goods and services to the people but also to develop their capabilities. In this PRA plays a significant role. This is a method of collaborative decision-making and it is community-based. There are five key principles that form the basis of any PRA activity.

- **Participation:** PRA relies heavily on participation by the communities. This method is designed to enable local people to be involved, not only as sources of information, but as partners in gathering and analyzing the information.
- **Flexibility:** You can select a technique or a combination of techniques based on the size and skill of the PRA team, the resources available, and the nature and location of work.
- **Teamwork:** Generally, a PRA is best conducted by local people in which your role is that of an **initiator** and **facilitator**. You need to ensure significant representation of women and downtrodden people.
- **Optimal information:** To be efficient in terms of both time and money, PRA work intends to gather just enough information to make the necessary recommendations and decisions.
- **Reliability:** PRA generated data are not always conducive to statistical analysis due to their qualitative nature and relatively small sample size. But being generated from the people themselves the data has in-built support to ensure validity and reliability of the findings.

### Activity

Distinguish between conventional methods and participatory methods in setting goals, designing plan and implementation of development programmes.

## 4 PRA Techniques

PRA offers a basket of techniques from which you can select one or a combination of them, as are appropriate to your development activity. The central part of any PRA is semi-structured interviewing. While sensitive topics can be better addressed in interviews with individuals, other topics of more general concern are amenable to focused group discussions and community meetings.

During these interviews and discussions, several diagrammatic techniques are frequently used to stimulate debate and find out the results. Many of these visuals are not drawn on paper but on the ground with sticks, stones, seeds and other local material and then transferred to paper for a permanent record.

Some of the key PRA techniques are:

- Mapping techniques
- Ranking exercises
- Trend analysis

Visual-based techniques are important tools for enhancing a shared understanding between government officials and the people. These are likely to hide important differences of opinion and perspective when drawn in group settings. They, therefore, need to be complemented by other techniques, such as careful interviewing and observation, to crosscheck and supplement the results of diagramming.

## 5 Mapping Techniques

Mapping exercises as used in a PRA activity will not only provide you with information about the physical characteristics surrounding the community, but can also reveal much about the socio-economic conditions and how the participants perceive their community. The maps are usually drawn by a group of villagers either on the ground using stick or chalk or on a large sheet of paper. The exercise often attracts much attention and generates useful debate among the mapmakers and the onlookers. The final map is then recorded by the PRA team to use in subsequent discussions.

You can develop various thematic maps depending on the focus of your activity.

- Social Maps illustrate the individual households that make up the community. Different symbols can be used to show particular characteristics of the households - relative wealth, resources used, and social standing.
- Census Maps provide information about all units - be it about individual or household. This is used to put together easily quantifiable information received from the participants. The household information like – number of adults (men and women), number of children (boys and girls), education, literacy, employment, resource ownership, health problems etc. can be recorded using this method.

Another type of mapping exercise is an institutional map, sometimes called Venn or chapati diagrams. Institutional maps are visual representations of the different groups and organizations within a community using the available institutions and their relationships and importance for decision-making. You can use this technique either as part of a group discussion, to generate a consensus view about the community's social infrastructure, or can be undertaken by individuals to illustrate the different perspectives of, for instance, men versus women.

### 5.1 Social Mapping

Here you have been given some general guidelines for applying the Participatory Rural Appraisal Method. Any development programme is a deliberate intervention in a given situation defined by space and time. So, as a first step, it is necessary to undertake an exercise of physical and social mapping of the given area where a programme/project is being introduced. We know what a physical map is. Let us now see what is a social map and how it can be developed as required through the participation of the people living in a given area.

A Social Map is a visual representation of a residential area containing relevant social information. It gives the physical boundaries of a given area, the settlement pattern, physical infrastructure, social, cultural and religious institutions and similar other information. Such a map is to be drawn first on the ground with the direct participation of the local residents and then transferred on paper with appropriate legends and colours. This technique may be used at the earliest stage of your interaction with the community. Mapping generates a lot of enthusiasm among local people and acts as a good icebreaker.

## Steps:

Select an open space where a map can be drawn on the ground.

- Ask the local people to prepare the map of their settlement that can help others to have a visual picture of their locality.
- Ask the group to show all the features of the settlement that they can think of, such as, rivers, hills, roads, tanks, bamboo groves, forests, wells, schools, health centres, clubs, temples, and so on. The clusters of huts, buildings and residential places are also to be noted and marked on the map.
- Labels and symbols are to be used to identify different facilities, features and infrastructure.
- Allow the participants to select the symbols.
- Any additional information that the facilitator wants to be included in the map should be introduced only at the end, after the group has finished preparing the map, and after consultation with the group.
- Once the map is ready, you may ask questions about the findings as required.



## 5.2 *Transect Walks*

A transect is a structured walk through the locality identified by you. This walk is best carried out with a group of people who live there and know the area well. These local people should act as guide in the walk showing and discussing all the features that exist within the area. Transect walk will be very effective if the social map of the area has already been prepared. This will help verification of the social map. It also helps the facilitator to focus on some key areas or issues.

### Focus Points

- Once the features such as hats (market place) or the schools or club are identified the facilitator may visit these places for maximum interaction with different segments of the population.

- During the transect walk the facilitator is directly exposed to the physical and topographical features which may open up discussion on various subjects for development intervention, such as water conservation, change in land use or crop rotation pattern.
- It may help in locating the settlements of socially and economically deprived/background people. Direct interaction with them would help him/her to identify their special problems calling for attention.



### 5.3 *Census Mapping*

Census means collecting information about all units - be it about individual or household. Census mapping is used to put together easily quantifiable information received from the participants. The household information like – number of adults (men and women), number of children (boys and girls), education, literacy, employment, resource ownership health problems etc. can be recorded using this method. For such a census either the social map or cards may be used.

#### **Steps:**

- Start with a discussion on the need to put together some quantitative information about the locality (e.g. determination of number of children in the age group 5 to 13 for whom education needs to be arranged)
- Decide whether the census will be carried out using cards or the social map.
- Ask the group to first prepare the household list. The number or the name of one representative for each household should be written on the card or on the household depicted on the map. This makes it easy to identify the household for reference.
- The group decides which variables to select. You as facilitator can give an example of human population to start with, but for each indicator (that is subject), quantified information is recorded on the card or in the house on the map.
- At the end, ask the group to aggregate the information for all the variables preferable in tables. Some simple analysis can also be carried out with the same group.

- Allow the participants to select the other variables. In case you have any specific issue in mind, which has not been included by the group, it can be introduced at the end, after the group has finished its work.

#### 5.4 Venn Diagrams

Venn Diagrams help in understanding the roles the different institutions play in a community, their mutual relationships, and the relative importance they play in people's lives. These are also known as Chapati Diagrams because of the circular paper cut-outs used in this analysis. The whole exercise is directed to understand how the people perceive these institutions vis-à-vis their own lives. This method is best effective when the respondents interact within a group. It is expected that a lot of discussion and debate may follow. The facilitator without trying to stop the debate should try to help them to come to a conclusion.

##### Steps:

- First you can prepare a large circular paper, which represents the community. Smaller circles of various sizes should also be kept handy. These small circles would represent different institutions.
- The size of the circle represents the importance of an institution to the community. (The bigger the shape the more important is the institution).
- The proximity to or distance of an institution from the community is denoted by the closeness or distance of the circle representing the institution from the centre of the main circle (representing the community).
- Institutions placed inside the main circle are institutions the people feel close to.
- The circles touching or overlapping each other show a close link between them.
- Similarly distance between circles represents absence of links between them.



## 6 Ranking Exercises

There are two types of ranking techniques commonly used in participatory appraisal: *problem and preference ranking (which are also separately indicated sometimes)* and *wealth ranking*.

### 6.1 Problem and preference ranking

You can use several different techniques to elicit local people's perceptions of the most important problems they face. One simple method is to ask participants to list five or so main problems. This could be a general question, or one focused on a particular problem area. Then ask them to rank these problems in order of importance.

A more systematic technique called pair-wise ranking uses cards to represent the different problems. The facilitator shows the "problem cards" two at a time, each time asking, "Which is the bigger problem?" As the participants make the comparisons, the results are recorded in a matrix. Matrix is basically a table in which different values may be put against different criteria. Counting the number of times that each problem "won" over the others and arranging them in appropriate order obtain the final result.

Similar to problem ranking, preference ranking involves participants assessing different items or options, using criteria that they themselves identify. A common form of preference ranking uses a matrix with items/options along the horizontal axis and the elicited criteria along the vertical axis. This technique works well as an introductory exercise in a group discussion as it can reveal interesting differences among group members. You can explore these discrepancies later during the discussion or subsequent interviews with individuals. Gender differences are particularly worth exploring, as men and women often have quite different preferences and criteria for those preferences.

### 6.2 Ranking and Scoring

This technique is most useful in analysing people's preferences in the decision-making process. You may use ranking and scoring in any situation where different choices are to be weighed against different options. The method brings out the criteria on the basis of which a particular group of respondents evaluate the options available and how their choices and preferences are made.

#### STEPS

- Start with a discussion of the problem or issue or event.
- Once the participants have mentioned some of the options available, ask them to prepare a list of all the possible options. This list can be prepared on the ground using chalk, by using symbols or by writing on slips of paper, which are placed on the ground. It is also possible to use large sheets of paper for preparing the visual, which can only be used by the literate- respondents.

Once the list is ready, ask the participants to select the most preferred option. This can be ranked one. The next most preferred option could be ranked two, and so on till the list is exhausted. Your role as facilitator is important here in initiating the discussion and in explaining the technique. Once the participants start doing the analysis, it is best for the facilitator to be an observer and not to interfere with the analysis.

Once the ranking is complete, ask the participants to explain the reasons for their preferences.

### 6.3 *Matrix ranking and scoring*

Often it is necessary to analyse the options on the basis of multiple criteria. In such situations you may use the matrix scoring or ranking method as a most effective tool.

#### Steps

- A matrix can be prepared on the ground or on a sheet of paper
- In the cells along the top, (that is the horizontal or x-axis), place the different criteria (one in each cell). Along the vertical or y-axis on the left-hand side place each option - one in each cell.
- Each option on the list is evaluated against all the criteria in the matrix. This can be done by using scoring or ranking methods. Counters with pre-identified or given values may be used to fill up each of the cells in the matrix.
- It is important to remember that the scores for the options should not be added in order to arrive at the overall preference. This may be misleading as it assumes that all the criteria have equal weight.
- Even then, the matrix provides an overall view about the scale of preference of the people.

### 6.4 *Pair-wise ranking*

You can use this method in analysing different options and choices available under one topic by evaluating them, two at a time.

#### Steps

- The participants prepare a list of the different options they have under the selected topic.
- These are written on slips of paper and placed on the ground. Alternatively, a grid can be prepared on the ground using chalk or on a large sheet of paper.
- The participants are asked to consider the options two at a time and select the one that is more prevalent or more common. Similarly, they may be compared in terms of the difficulty in their use. Again there may be other factors to be considered. Each option is directly compared with all the other options, one by one and so on till all the combinations are exhausted.
- The number of times an option is selected is the score that it gets. The higher the score the more preferred is the option.

### 6.5 *Wealth ranking*

Wealth ranking involves community members identifying and analysing the different wealth groups in a community. It enables evaluators to learn about the socio-economic stratification of project beneficiaries and local people's definitions and indicators of wealth.

The most common version of this technique involves a series of individuals or a focus group of community members, ranking the entire community. This may also be done for a particular section of the community if there are too many households to rank say more than 100 or if the participants are familiar with only their own neighbourhood. You can introduce the technique using local terms for wealth and poverty and encourage participants to first discuss how they define these terms and how they would describe a poor household or a rich household.

Wealth ranking has sometimes proved problematic in urban areas, where people tend to be less familiar with their neighbours than in rural settings. Furthermore, in some communities, relative wealth or poverty ranking is a very sensitive topic, and this technique may need to be conducted in a private setting to allow participants to talk freely. In some cases, you may have to avoid this technique altogether.

## **6.6 Well-being ranking**

This exercise tries to capture how a community identifies social divisions among its members. It identifies different categories of households within the community and their relative standard of living.

### **Steps**

There are two ways to approach this task. You can first start by asking the group to discuss the criteria on the basis of which they differentiate the households. It may be social. It may be economic. It may be both social and economic. You list them. Then you ask the group to use these criteria to decide in how many categories they would like to divide the households. Then ask them to describe each of these categories. They can then proceed with the ranking of all the households. In this approach you may ask them to rank straightway. Once this is completed you can ask the group to describe the criteria on the basis of which they differentiate the categories.

The social ranking may be used to classify the households on the map. Separate sheets may be used and the information recorded in tabular forms, with additional explanatory notes, if necessary.

## **7 Trend Analysis**

Some of the visual-based techniques used to conduct community trend analysis are: seasonal calendars, trend analysis and daily activity charts.

### **7.1 Seasonal calendars**

Seasonal calendars drawn by the local people are very useful means of generating information about seasonal trends within the community and identifying periods of stress and vulnerability. Best undertaken in the form of a group discussion (to help verify the information obtained), seasonal calendars are often drawn on the ground with the relative trends depicted using stones or seeds, as in a preference-ranking matrix. In other instances, simple line graphs can be drawn to show seasonal increases or decreases. A whole series of seasonal variables can be included in one calendar to give an overview of the situation

throughout the year. These variables can include: rainfall, crop sequences, labour demand, availability of paid employment, out-migration, incidence of human diseases, expenditure levels, and so on. Important periods, such as festivals, can also be shown.

## **7.2 Seasonality Analysis**

- This method is used to analyze the seasonal patterns of some aspects of life or activities, events or problems. There are some problems, which are cyclical in nature. Problems which have a cyclical pattern can be analyzed using this method, including availability of food, prevalence of diseases, indebtedness, relative prosperity, stress in livelihoods etc. as also rainfall, availability of water and so on.
- Ask the participants to decide how they would like to divide the year (months, seasons, quarters, etc.) in relation to their lives. Do not impose your calendar – there can be different forms of local calendars, which the people may be more familiar with.
- Develop the calendar on the ground using chalk, sticks, stones, or any other locally available material. This can also be prepared on large sheets of paper.
- Identify the items or problems with the help of the participants.
- The seasonal variations of the different items are depicted on the calendar, and then the results are compared.
- Once the visual is ready you can ask questions regarding the relationships between different variables and whether there are any other aspects of life that affect or are affected by this seasonality.
- This visual is then used to discuss problems and opportunities.

## **7.3 Trend Analysis**

You may use trend analysis as a separate technique to understand people's perceptions and patterns of change regarding selected indicators and topics that are of concern to them. This is a useful tool to initiate the discussion with older people. But ensure that other sections of the people also enter into the discussion. To analyze their perception of changes taking place in their community and in their own lives the following steps may be taken.

### **Steps**

- Start with a discussion on major changes that have taken place in the locality as perceived or identified by them.
- The group is to decide how far back in time they would like to go for this analysis. They should identify the year(s) or period when significant changes were witnessed.

- Ask the group to identify the areas in which they have witnessed these changes. Then draw a diagram showing these changes over the years. This can be shown by line drawings (like graphs).
- Discuss what prompted these changes. Which ones are considered positive and which are negative and why? Ask whether any of the negative changes can be reversed, and how?
- There is every possibility that there would be difference of opinion and debate. Do not interfere. But you may provide necessary information and draw attention to issues, which have not been discussed at the end, so that fresh discussion may be initiated.

#### **7.4 Daily activity charts**

Daily activity charts are useful as a way for community members to show graphically how they spend their day. The diagrams also make it easy to compare the daily activities of different groups of people, such as women versus men, employed versus unemployed, married women versus widows.

In the same way as a seasonal calendar shows the busiest times of the year, a daily activity chart can show the busiest times of the day and can, therefore, be useful in monitoring changes during the course of the project.

### **8 Problems relating to PRA**

PRA is now a widely acknowledged and practiced method for participative, people - centric development. It is, however, not a solution to all the problems of development. Apart from that in introducing PRA you may face quite a few problems. Here we mention some of these problems.

- The problem of not reaching everyone, especially women, the landless, children.
- A non-literate person can prepare a map on the ground with no names or writing. He/she can transfer the map on the wall for presentation but then someone else can add the names etc, and during presentation the non-literate may be sidelined or squeezed out. The rich and the influential may take over and the poor may be left out.
- You should always keep in mind that PRA is not an end in itself. It is a process to bring on to the surface the problems of the people by the people themselves. It is not the end. You should use these methods at different stages of development process to make your development programme participatory and effective.
- It gives voice to the voiceless and enables them to articulate their own problem and encourage them to own development as their self managed activity. It will turn them from passive beneficiaries into active development makers. The process creates a lot of enthusiasm. You have to ensure that this enthusiasm does not lead to apathy because of lack of concrete action on the ground.

- As development is complex, and multi-dimensional, before going for conducting PRA you are to ensure convergence of different functionaries for the development of the area.
- While conducting PRA your aim should always be to prepare an action plan based on PRA. If you fail to develop and follow it up, people will withdraw from the development process.

## 9 Practical personal tips

We have so far discussed mapping techniques, ranking exercises and trend analysis in Participatory Rural Appraisal (PRA).

Now we will provide some practical tips so that you can use the PRA techniques in a proper manner.

### PRACTICAL PERSONAL TIPS

<ul style="list-style-type: none"> <li>● LOOK, LISTEN AND LEARN</li> <li>● FACILITATE</li> <li>● DO NOT DOMINATE</li> <li>● BE PATIENT DO NOT INTERRUPT</li> </ul>	<ul style="list-style-type: none"> <li>● WHEN PEOPLE ARE MAPPING, MODELLING OR DIAGRAMMING,</li> <li>● LET THEM GET ON WITH IT</li> <li>● WHEN PEOPLE ARE THINKING OR DISCUSSING BEFORE</li> <li>● REPLYING, GIVE THEM TIME TO THINK OR DISCUSS</li> </ul>
<p>EMBRACE ERROR.</p> <p>WE ALL MAKE MISTAKES AND DO THINGS BADLY SOMETIMES.</p> <p>NEVER MIND. DON'T HIDE IT. SHARE IT.</p> <p>WHEN THINGS GO WRONG, IT IS A CHANCE TO LEARN</p>	<p>ASK YOURSELF – WHO IS BEING MET AND HEARD, AND WHAT IS BEING SEEN, AND WHERE AND WHY; AND WHO IS <i>NOT</i> BEING MET AND HEARD, AND WHAT IS <i>NOT</i> BEING SEEN, AND WHERE AND WHY?</p>
<p>RELAX</p> <p>DON'T RUSH</p> <p>ALLOW UNPLANNED TIME TO WALK AND WANDER AROUND</p>	<p>MEET PEOPLE WHEN IT SUITS THEM, AND WHEN THEY CAN</p> <p>BE AT EASE, NOT WHEN IT SUITS YOU. THIS APPLIES EVEN MORE STRONGLY FOR WOMEN THAN FOR MEN</p>

PROBE, INTERVIEW ON THE BASIS OF THE MAP OR THE DIAGRAM. ASK ABOUT WHAT YOU SEE. NOTICE, INVESTIGATE DIVERSITY, DIFFERENCE, THE UNEXPECTED. ASK OPEN-ENDED QUESTIONS	USE THE SIX HELPERS  WHO, WHAT, WHERE, WHEN, WHY AND HOW?
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SHOW INTEREST AND ENTHUSIASM IN LEARNING FROM  
 PEOPLE  
 ALLOW MORE TIME THAN EXPECTED FOR TEAM  
 INTERACTION AND FOR CHANGING THE AGENDA  
 ENJOY IT!  
 IT IS OFTEN INTERESTING, AND OFTEN FUN  
 BE NICE TO PEOPLE

### Learning from the Field

Whenever an extension worker or some development official visits rural areas, in most cases the question that is asked is whether the official concerned has come with some schemes which involve grants or loans. Farmers do not care much for schemes that do not provide direct or indirect financial assistance. To change such a mind-set is difficult but not impossible. We give below an illustration which proves the point.

The experience described here relates to an Action Research project on the integrated development of selected villages in Ramgarh development block in Nainital district of Uttar Pradesh. As soon as this project was taken up, the *Gram Pradhan* (village head) and other influential groups in the villages tried to find out the financial incentives guaranteed in the project. Coming close to the multi-disciplinary project team, however, they soon realized that there were no such direct benefits but indirect ones like mutual sharing of problems, knowledge and underlying potentials. Besides, there was the scope for wider exposure through visit to agri-research and development organizations. Even events like *kisan melas* (farmers' fair) held in the villages during the four years of action research, seemed to them empty and not of much significance in comparison to the traditional loan or construction based development activities. This initial negative response from the influential in the villages discouraged many.

But let us not forget that in the T & V system it was these people who were given a significant role in rural development. Our experience showed that the so called progressive and relatively affluent influential farmers are unable to truly represent the poor. Unfortunately, in most cases only their voice are heard.

PRA on the other hand does not ignore the poorest of poor in the social system. PRA type enquiry was, therefore, chosen to find out the benchmark information on the villages selected for action research. It required a lot of efforts on the part of the project team to make poor people, particularly women, share their views on the problems of the villages. This was a challenging yet interesting task which brought out many facts which otherwise would never have been known to the workers involved in the project. For example, the farmers did not sow the improved grass seeds distributed among them by the government agencies as well as by the NGOs. This was because, first they were reluctant to grow grasses in the small land holding they had; secondly, they knew it for sure that the native grasses growing naturally along the crop fields, on the bunds etc. would suppress the unadapted exotic grasses. The Government of Uttar Pradesh as also the several NGOs had been spending millions of rupees for introduction of grasses and improved forages in this region, but the outcome was frustrating at the ground level. The PRA enquiry revealed very clearly the limitations of the “improved” forage production strategies involving non-local grasses and forages.

Buffaloes are growing in sizable number in the hills of Uttar Pradesh though experts consider hills as unfavourable locale for buffaloes. The PRA enquiry in relevant the villages revealed that buffalo was a better alternative to the local cow or even cross-bred cattle because of the higher fat content in buffalo milk, greater manure production capability, ease in disposing off male calf for slaughter, and more milk production with locally available inputs. The restricted grazing areas (forests for example) are also the reasons for the farmers’ preference for buffaloes vis-à-vis cows as buffaloes are essentially stall fed in hills. But the government agencies still consider buffalo as unsuitable for hills. Hence, there is no significant intervention for the promotion of buffaloes in this region. Yet the buffaloes are growing in number over cattle. The growing number of village dairy cooperatives in hills is yet another reason for the encouragement to buffalo rearing since dairy cooperatives pay for milk on the basis of fat content. The hill farmers are interested in replacing the large number of cows with them for one or two buffaloes given the constraints faced by them in maintaining the cows. The farmers still maintain one or two cows for religious purposes and bulls for draught power required in hill agriculture because buffalo bulls are not as efficient in this. These were the learning’s when farmer’s active participation could be ensured through PRA type of enquiry. These learning should be transformed into action to win the confidence of farmers and to make farmer participatory development a continuous process.

## **11 Let us sum up**

In this unit we have discussed the PLA method in detail. You must have noted that the method has given rise to quite a few techniques of data collection and analysis. We have also pointed out that you need not use all the tools every time. The technique or techniques that are useful and manageable should be used. We have also warned you that PLA should not be used for its own sake or for collection of data and information only. It should always lead to action in the field. In other words PLA should lead to planning or development of a programme, its implementation as well as its monitoring.

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