

Handbook: Rural Extension

Volume 1

Basic Issues and Concepts

Edited by

**Volker Hoffmann, Maria Gerster-Bentaya, Anja Christinck and
Mamusha Lemma**



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About CTA

The Technical Centre for Agricultural and Rural Cooperation (CTA) was established in 1983 under the Lomé Convention between the ACP (African, Caribbean and Pacific) Group of States and the European Union Member States. Since 2000, it has operated within the framework of the ACP-EU Cotonou Agreement. CTA's tasks are to develop and provide products and services that improve access to information for agricultural and rural development, and to strengthen the capacity of ACP countries to acquire, process, produce and disseminate information in this area.

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This manual is dedicated to



Hans Rheinwald Erna Hruschka Hartmut Albrecht
the founders of Extension Science
at Hohenheim University

The author of this book is near-drowning in a basin,
and what should have been done to reanimate him. As
well as about water disasters in general.

*Der Verfertiger dieses Büchleins ertrinkt beinahe in
der Mulde, und was man hätte thun müssen, ihn
wieder lebendig zu machen. Desgleichen von
der Wassernoth überhaupt.*



*Wer andern Lehr und Rath will geben:
Muß selbst am ersten darnach leben!*

**Who wants to teach and advise others
Has at first hand to live self
accordingly.**

BECKER, 1786, 331

Preface by the Editors

The first edition of this handbook, which consisted of just one volume, was released in the German language in 1981 and was later translated into French and Chinese. About 20 years ago the second edition of the handbook came out, consisting of two volumes in German, published in 1987 and 1988, followed by an English version in 1989 and 1990, and a Spanish version, published as a mimeo, in 1989 and 1990.

From the outset, the book aimed at helping specialists in developing countries to improve the planning, implementation and evaluation of agricultural extension projects.

Reasons for publishing a third edition of this handbook

Projects and programs on agricultural extension have all but disappeared over the last decade. Development approaches took other foci, such as good governance, gender equity, environmental protection, poverty alleviation, and many more. Today, a situation prevails where government extension services persist in many countries, but they are often under-financed and suffer from shrinking budgets. Despite this, some hundred thousand extension workers worldwide do their jobs under these conditions, while countries in transition try to build up new and pluralistic extension systems. At the same time, there is a clear tendency on the part of the state in industrialized countries to withdraw from extension work, along with a growing number of private extension agencies in an altogether pluralistic and demand-driven services market. This is often recommended as a model for developing countries as well, but its realization there faces obstacles at every turn.

With increasing scarcity of land use products, such as food, fuel, feed, and fiber, along with an increasing awareness regarding the risks associated with climate change, agriculture was suddenly back on the global agenda, resulting in great challenges for agricultural research, education, and - more than ever before - for extension.

Classic textbooks on agricultural extension are out of stock or have not been updated in recent years. So we see an unsatisfied need for scientific and professional orientation in the field of rural extension, justifying our own effort to deliver an update of this extension handbook. With the decline of official agricultural extension in industrialized countries, particularly in Europe, training capacities in well established extension services, but also in university faculties, have almost disappeared. At the same time, countries in transition are starting to launch Masters courses in agricultural extension.

What is new in this edition?

We have tried to maintain a balance between continuity and renewal. Extension, in the sense of sitting together, discussing issues, and striving to make wise decisions and find the best solutions, is an age-old activity. The Old Testament of the Bible as well as ancient writings about the Greek philosopher Socrates contain some astonishingly up-to-date extension wisdom; thus, 'old' does not always mean 'outdated'. As it is a basic principle of scientific work to refer back to original sources, we are not ashamed to retain some of the older cases and sources from the first and second editions and to refer at times to older literature.

However, the world has changed in many respects over the past twenty years, and this is also true for the part of the world concerned most with rural extension. In this sense, updating provides an opportunity to carefully check the validity of concepts, statements and recommendations and their relevance for extension work today and tomorrow, thereby including recent developments and experiences as well. As a result of this process, this third edition

- was complemented by a new volume, dealing with capacity building, training concepts, course models, and modules, and finishing with a description of special training units and exercises;
- entails a broader concept beyond agriculture, focusing on a rural development perspective, even though the majority of cases, examples and experiences continue to refer to agriculture. However, in times of globalization, interdependencies between rural and urban conditions are growing, and value chains as well as global market conditions are increasingly tying the agricultural sector into the world economy;
- encompasses the framework of development cooperation and hopes to prove useful for all kinds of rural extension work. Since the second edition was published, we have observed that certain concepts, approaches and methods deriving from development work in poor countries have been re-imported into industrialized countries, as the latter themselves continue to have a need to enhance problem solving capacities in the framework of regional and rural development;
- is intended to be more than just a tool for practitioners, additionally providing orientation for teaching and training, from the field up to university level;
- broadens the scope beyond small farmers and the rural poor to encompass the whole range of potential clients. This involves being less strict in defining advisory work as a purely intellectual aid to problem solving, and including, for example, promotional work in disease prevention or environmental protection. In addition, clients of private extension services are increasingly demanding a combination of advisory assistance with direct services;
- attempts to overcome the pronounced African focus of the previous editions, being at least somewhat more balanced in referring to other continents with regard to both specific issues and stories of success;
- has added a new chapter on extension content, as a consequence of too many African extension services and programs lacking appropriate messages for their clients;
- has added a section H in volume II, paying tribute to six great personalities and their achievements in taking forward the conceptualization of extension.

The main new trends and developments in rural extension to be integrated are concerned with:

- the field of **approaches and methods**: participation and other new approaches in adult education, farmer field schools, market orientation and value chains, livelihood concepts, knowledge and innovation systems;
- **structures and organizational issues**: privatization, decentralization, pluralism, partnership and new dynamics in rural development through higher prices and intensification of land use;

- **extension aids and media use:** ongoing digitalization, digital photography and video, classical internet services, including search engines, web2 services, opening up new dimensions of access to information, of e-learning and distance learning, and of networking among professionals as well as among clients.

What is the objective and approach?

The authors analyze past and current experiences of extension and present it in conjunction with established theories. The overall aim of the editors is to present and disseminate concepts and methodologies that bring greater transparency to the planning, implementation and evaluation of advisory work, thus converting decision-making into a more rational process. This does not necessarily mean simplification; but it certainly provides a better foundation for all types of extension work.

The handbook attempts to explain basic theories and important relationships in the multitude of extension activities. Based on these and current practical experiences, ways of structuring the work of advisors in everyday practice are proposed. The book should in no way be understood as a set of recipes, since it cannot possibly set firm rules for individual cases - all it can do is indicate how solutions to problems could be worked out systematically in the given situation.

The authors have tried to keep the text as simple as possible, making it easier to read by avoiding purely technical discussion and the many footnotes which are so popular in this kind of literature. One new addition is the selected links to references in Volume 1. Further information is provided in the bibliography in Volume 1 which references many more titles which, although they are not referred to in the text of Volume 1, are used nonetheless as background information; a further addition are the references in Volumes 2 and 3.

The description of experiences, problems and possible solutions does not in any way claim to be comprehensive and cannot be applicable in all situations. Therefore, the reader is unlikely to find a carbon copy of his or her project or job in this handbook; it is up to him or her to see what elements of the basic messages and which of the examples fit the particular circumstances.

Given the state of our knowledge and experience, even the third edition of this book cannot claim to be more than an attempt to provide a reliable source of orientation. In extension work, many methods and approaches have not been fully tested in practice, and there is a lack of extension research to fill in all the gaps. This deficiency can only be remedied if users of this handbook participate actively in the further development of its fundamental concepts and approaches.

How the handbook is organized

The handbook consists of three volumes: Volume 1 deals with basic concepts and approaches, Volume 2 contains the supplementary documentation of cases and Volume 3 is a trainer's manual.

The aim of Volume 1 is to set out the fundamentals of a problem-oriented, demand-driven, systematic approach to extension work. Volume 2 contains a collection of background material to illustrate and supplement Volume 1 by means of practical and tangible examples. And Volume 3 seeks to make life easier for extension trainers.

The reader should not be deterred by the size of these three books. After all, handbooks are rarely read from cover to cover. Chapters I.1 – I.3 give the reader a good idea of what the book is about, while the other chapters and accompanying documentation offer supplementary reading from which the reader can select as necessary.

Does this manual have a German bias?

Despite making every effort to keep up with international debates and with all the relevant literature, we admit that our book bears a clear German footprint. Most of our contributors are Germans, and many of our examples and cases stem from Germans working in development co-operation, or were contributed by friends from Switzerland, Austria and England or from partners who received their training in Germany. Roughly half the references cited are in the German language or written by German authors. This is quite intentional, as there is a long tradition of extension work in our country and also a notable tradition in extension science. The basic approach was developed at the University of Hohenheim, drawing on the now 58 year-old tradition of the Department of Agricultural Communication and Extension Science. There are many - and there will be many more - textbooks in the form of readers on extension issues published with international participation. This handbook, however, seeks to offer a specific coherent perspective on extension work to the international “extension community.”

To conclude, we hope that this handbook will be of benefit to many people - students, teachers, trainers and practitioners - and that what it has to say will be further deepened by a continuing exchange of ideas and improved extension practice.

Anja Christinck, Maria Gerster-Bentaya, Volker Hoffmann and Mamusha Lemma

Acknowledgements

The first edition had two authors, Gerhard Payr and Rolf Sülzer. The second edition enumerated eight authors of Volume 1 – Albrecht, Bergmann, Diederich, Grosser, Hoffmann, Keller, Payr and Sülzer - and each module in Volume 2 outlined its authorship. The approach presented was clearly based on the Hohenheim School of Extension, which at that time was fully accepted as the basic orientation for extension work within the German system of technical cooperation. Most background material and experience referred to came – if not from international literature – out of the work experience of GTZ (German Technical Cooperation) and DSE (now InWent – Capacity Building International, Germany).

In the years since then, agricultural and rural development have played a diminishing role in the context of international technical cooperation, and the number of experts and potential partners has also decreased; the current resurgence in interest is facing recruitment problems. The special project on “Knowledge Systems in Rural Areas”, together with the “Neuchâtel Initiative”, both supported by several donors, including BMZ/GTZ and AGRIDEA in Switzerland, were the last islands of extension knowledge kept afloat in a sea of other priorities. So we successfully activated a larger network of former scholars from our department, as well as previous extension experts and trainers inside and outside GTZ, known to us from endeavors and co-operation in the past, whom we thank for multiple and fruitful contributions to this book.

GTZ supported this publication by handing over the copyrights from the previous editions, making available a large amount of written material edited under the GTZ logo, and providing financial support. CTA ordered a considerable number of copies in advance, thereby reducing part of the production risk for our publisher. We are grateful for this institutional support.

Each volume of the handbook has editors, which in the case of Volume 1 are also the main authors of the revised text. None of the editors is employed by GTZ, but all belong either directly or as associated professionals to the Department of Agricultural Communication and Extension, University of Hohenheim. Full responsibility for the content lies with the editors and authors. As a consequence, this handbook will not be published as a GTZ publication but jointly with GTZ. We are grateful to GTZ for giving us this freedom.

The authorship of all contributions to Volumes 2 and 3 is indicated there. We thank all friends and colleagues who helped us compile, update and supplement the contents of these volumes. The first volume, by contrast, was supplemented by shorter contributions in the form of text and ideas that were only referred to if publications could be cited. However, many comments, corrections, and complementary sections of text came from friends and colleagues, to whom we are deeply grateful: Ernst Gabathuler, Stefan Rist, Jochen Currie, Angelika Thomas, Thomas Becker, Rein van der Hoek, Uli Schmidt and John Lamers.

Finally we thank Christopher Hay for having done an admirable job in improving language without distorting the meaning.

Anja Christinck, Maria Gerster-Bentaya, Volker Hoffmann and Mamusha Lemma

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List of Acronyms Vo. 1

AGRAN	Projet: Appui à la Gestion de la Recherche Agricole Nationale
ATMA	Agricultural Technology Management Agency, Shimla - India.
BMZ	Bundesministerium für Wirtschaftliche Zusammenarbeit
CFSME	Conscientisation – Formation – Stimulation – Moyens - Evaluation
CIAL	Comités de Investigación Agrícola Local

CTA	Technical Center for Agriculture and Cooperation, Wageningen
DFID	Department for International Development, United Kingdom
DSE/InWEnt	German Foundation for International Development, now: Capacity Building International, Germany
DVD	Digital Video Disk
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
GFA	Gesellschaft Für Agrarentwicklung
GTZ	Gesellschaft für Technische Zusammenarbeit
h	hour
ha	hectare
KAP study	Knowledge, Attitude, Behavior Study
LDC	Least Developed Country
LforS	Learning for Sustainability
MOA	Ministry of Agriculture
M&E	Monitoring and Evaluation
NAADS	National Agricultural Advisory Services, Uganda
NGO	Non-governmental Organization
OHP	Overhead Projector
PEA	Participatory Extension Approach
PLA	Participatory Learning and Action
PM&E	Participatory Monitoring and Evaluation
PRA	Participatory Rural Appraisal
PTD	Participatory Technology Development
SWOT	Strengths, Weaknesses, Opportunities, Threads
TCI	Theme centered Interaction (after Ruth COHN)
T&V	Training and Visit System
USA	United States of America
WTO	World Trade Organization
ZOPP	Zielorientierte Projektplanung - Objective Oriented Project Planning