

Editorial

Welcome and news

Welcome to this issue of *PLA Notes*, which is slightly later than usual! *PLA Notes 41* has a range of articles from authors of different disciplines, areas of research and backgrounds. This reflects your responses, taken from our recent Readership Survey, that subscribers would like to read more articles about general topics from time to time. We hope that there will be something of interest for all of you.

This year has seen some changes in the *PLA Notes* team at IIED. Laura Greenwood, who has co-ordinated, edited and contributed so much to the success of the *Notes* over the past four years, has left IIED to join the Child Rights Information Network at Save the Children Fund, UK. We are very pleased to welcome Cristina Zorat, who also works in our Resource Centre for Participatory Learning and Action. Cristina provides administrative and co-ordination support to the Editorial team. Holly Ashley, who also manages the *PLA Notes* subscriptions, has stepped in as acting editor and co-ordinator for this issue.

The IIED Resource Centre for Participatory Learning and Action is soon to publish a new CD-ROM containing the entire *PLA Notes* series from issues 1-40 later this year. You can find out more information about the CD-ROM in the next issue. *PLA Notes 42*, October 2001, will be a special issue on children's participation. It will be guest edited by Louise Chawla, International Co-ordinator for *Growing Up in Cities*, a UNESCO-MOST Programme project, in co-ordination with Sheridan Bartlett, IIED, who is also an affiliate of the *Children's Environments Research Group*, City University of New York Graduate Centre, New York, USA.

Some suggestions that you made when replying to the Readership Survey included having a *Letters to the Editor* page. We'd really like to get started with this new section, so please send in your letters, comments and questions.

Just as important, don't forget to send in your own experiences and share them with us. This can be either articles about your experiences or feedback on anything you have read about in the *Notes*. Feedback is a valuable way of co-learning, and we would like to hear your views. Have you tried any of the methodologies you read about here? Were they successful? How did you modify them?

What drawbacks did you come across? What did you learn from your experiences that you would like to share?

Guidelines for authors can be found on the inside back-cover of this issue. We always welcome your contributions! *PLA Notes* really depends on your input and reflections as readers, and as practitioners in the field.

In this issue

As a general issue, we have a broad range of articles in *PLA Notes 41*. The first article by Christopher Townsend is unusual in that it documents the experiences of using PLA with prisoners suffering from HIV and AIDS in Malaysia to assess their needs in prison, using a participatory assessment process involving several different tools. Hans Bauer and S Kari write about the use of PRA to assess the people-predator conflict in the Waza National Park, using local knowledge, and detailing how this could contribute to recommendations for future revisions in the park management. Levis Kavagi's article on multidisciplinary research projects outlines eight lessons about the benefits and pitfalls involved in conducting research with a team from diverse professional backgrounds. Neela Mukherjee and her colleagues look at the results of several capacity building workshops that they undertook in Vietnam, using

participatory approaches to create village micro-plans to contribute to commune-level planning. Michael Vabi's article discusses using participatory approaches to stimulate community participation in conservation and development initiatives, whilst being aware of the limitations such processes face. Lucy Stevens and Sue Marshall share their methodology of using participatory approaches to develop the 'typical families' tool, helping local residents from informal urban settlements to

better understand and address poverty issues within their own communities. Lori and Cindy Hanson provide some thought-provoking reflections upon the role of facilitators in participatory training and capacity building as co-learners themselves, and outline tools to help facilitators learn from self-reflection.

Parinita Bhattacharjee writes about lessons learnt from a social mapping exercise in India, explores the tools used and provides recommendations for maximising their effectiveness. Grindl Dockery, Lyn Barry and Erica Hedley



give an account of how a locally established community health organisation in the UK used PLA to help keep their local clinic open, improve health services and reduce health inequality in their area.

Paul Vare's article looks at the development of a pilot project in Ghana that uses people-centred approaches to enable local stakeholders to become involved in, and aware of, an environmental management project through the use of field-neighbours, or *Washirika*. Joanne Harnmeijer writes about the use of a reproductive health education pack named 'Auntie Stella', modelled on the 'agony aunt' concept (someone you might turn to for advice). It is based on the stories, experiences and expressed needs of adolescents in the four secondary schools where the research was conducted. Lastly, Martin Butcher gives an example of how simple log frames were used to assess priority projects for community development funding in Australia.

Regular features

Our *Tips for Trainers* section this issue takes a different aspect to the usual *Tips* featured, and looks at how participatory processes help to link valuable local peoples' knowledge into the wider national-level strategies of the National Forestry Programme in Malawi.

The *In Touch* section contains information about forthcoming events, new books and reviews, and training courses. Also in this issue is our second *e-participation* page, with listings and reviews of participation-related websites on the Internet, as well as discussion lists centring on participatory development. We also ask for our readers to recommend and send in their reviews about new websites and discussion lists, especially ones developed in the South, and in different languages. Tell us what you think about the Internet – is it working for you? The *RCPLA Pages* show listings of all the RCPLA Network partners, with news and updates on events.

Lastly, *PLA Notes* recently received a late completed Readership survey. We can't be sure if our reader was being serious or not, but it contained perhaps one of the most original comments about *PLA Notes* we have received yet – and certainly merits a mention here!

... the words are so sweet, reading it is like eating a well-ripened banana, which I do like to finish, so I always carry it around in my bag...

We hope that you enjoy this issue just as much... Don't forget to send in your letters to the editor – your comments, feedback and suggestions about anything in this or previous *PLA Notes*. So go on – get in touch!

Prisoners with HIV/AIDS: A Participatory Learning and Action (PLA) initiative in Malaysia

C J Townsend BSc MBChB

Summary

Rapid participatory research and project development is possible within a tightly controlled social context such as a prison. Having gained access, based on trust and mutual respect, external agents may then facilitate significant change. Given adequate support, incarcerated people with HIV/AIDS and limited medical access may be able to develop mutual-care, social support and income generating activities. In the Malaysian context, we estimated in 1998 that up to one quarter of prisoners with HIV had indicators of significant disease. We estimated that significant indicators remained unrevealed among between one half and two thirds of these. Given prevailing conditions, these would probably only be amenable to peer-based care.

Introduction

Detainees are explicitly deprived of certain rights, including by definition the right to freedom of movement. The apparent legitimacy of any form of detention depends to an extent upon local and international social norms, just legal processes, reasonable and appropriate enforcement and a consideration of extenuating individual circumstances. HIV/AIDS has challenged a range of situations prevalent in some custodial structures. UNAIDS has usefully highlighted many of these¹.

A primary question is that of prevention of the spread of HIV in detention. This is sometimes being tackled –

through video, educator and peer-based education². Some institutions have also experimented with tangible harm reduction measures³. Human rights issues such as segregation and compassionate release are also sometimes raised. However, little emphasis has been given to the issue of care for detained people with HIV/AIDS. There appears to be an implicit assumption in published literature, that care inside will be roughly equivalent to care outside. There are also some fascinating (if not globally replicable) prison hospice initiatives in North America⁴.

In 1998 in Malaysian prisons and government drug centres (Pusat Serenti), inmates who were known to have HIV tended to be put together in separated quarters. (There was limited daytime mixing with those not known to have HIV.) The Prisons Department tended to relocate prisoners known to have HIV, to one of a handful of prisons around the country. However, each of the 29 Pusat Serenti housed its own detainees with known HIV.

In the Malaysian incarceration context, Choo has noted that, 'health and health care are seen as a "means" towards the achievement of institutional goals and functions, and health is not generally viewed as an end in itself.'⁵ In December 1997, knowledgeable clinicians estimated that they only regularly followed-up around 10% of Malaysians known to have HIV (unpublished observation⁶). Within the social context, it is not therefore surprising to note that hardly any incarcerated people with HIV in Malaysia received regular specialist medical appointments.

Bearing this in mind and building on observations and contacts made whilst engaged in religious ministries inside prisons and Pusat Serenti, we approached the Prisons Department with a view to enhancing the care of incarcerated people with HIV/AIDS. We chose a large-scale approach, with a minimal budget, utilising community development principles. We re-focused the concept of 'peer-support' in prison communities onto the care, social and structural issues; not just on education.

Methods

We chose to use a participatory assessment process rather than more formal interviews and surveys. We modified a

-
- 1 Prison and AIDS. *Best Practice Collection Point Of View*. Internet: UNAIDS, April 1997, <http://www.unaids.org>
 - 2 HIV/AIDS Education and Prevention Programs For Adults in Prisons and Jails and Juveniles in Confinement Facilities – United States, 1994. *Morbidity and Mortality Weekly Report* 1996;**45**.
 - 3 Nelles J, Fuhrer A, Hirsbrunner HP, Harding TW. Provision of syringes: the cutting edge of harm reduction in prison? *British Medical Journal* 1998; **317**:270-273.
 - 4 Internet: National Prison Hospice Association, April 1997, <http://www.npha.org>
 - 5 Choo KK. Health and Health Care in Correctional Institutions in Malaysia: Implications for a Relevant Behavioural Model. In: Haliza MR, Pataki-Schweizer KJ, eds. *Behavioural Models in Medico-Health Research and Health Intervention*. Kuala Lumpur: Institute for Medical Research/WHO, 1998:81-98.
 - 6 During a consultation between the Ministry of Health, Malaysian AIDS Council affiliates and AIDS specialist clinicians – 6 December 1997 – Marriott Hotel, Kuala Lumpur.

set of tools called Participatory Learning and Action (PLA)⁷. MacRorie⁸ has described the use of a similar approach – the Rapid Participatory Appraisal – in health project development and has outlined some of its benefits.

Three prisons were chosen from an initial Prisons Department list of eight, in which to evolve the modified appraisal process. Nine PLA tools were then chosen, modified or devised for use in the first prison. This was cut to seven PLA tools for the second and larger prison group. The PLA was refined to its final form in the third and largest prison group.

Each PLA was carried out in two phases over separate half days. The first phase was a rapid needs assessment using the PLA tools. PLA tools ultimately used were: an *institutional timeline*; *needs mapping*; *general problem ranking*; *authority analysis*; *daily profile*; *resource mapping* and *medical problem ranking*. A *personal time line* was used in one prison and remained an option where time permitted. If the group did not spontaneously highlight informal forms of mutual support, we ultimately introduced it as our agenda. (This was virtually a condition for our prison access.)

The second phase facilitated the group to conceive relevant project proposals. Considering a review of the first phase results, prisoners brainstormed possible projects. Ideas were then discussed by the group. Each idea was scored (from 0-3) on three parameters: amount of peer-control, amount of needs met and likely freedom to implement. These ideas were prioritised by adding and/or multiplying the three scores. Intuitive discussion was next used to modify the priority scores if the group wanted. Finally, a core of prime proposals for presentation to prison officials through the facilitators was agreed. Dissemination of the content of the appraisal and project development process was expected, by attendees amongst their colleagues.

Results

Getting from the initial project conception to its start took 16 months. The PLA process evolved over the four weeks during which PLA sessions were conducted.

Prison A

This group was composed of all eight female prisoners known to be HIV+ in the Malaysian Peninsula's central region. All had been in this unit for less than 18 months.

Medical needs were ranked highest by this group and allocated a relative weight of 1.0. A need for more social activities was ranked second with a relative weight of 0.4. Access to broadcast media was third with a relative weight of 0.2. Dietary, emotional, religious and personal hygiene needs were all accorded a 0.1 weighting.

Medical symptoms recalled within their mutual prison experience suggested quite a range of HIV-related and gynaecological illness. One prison colleague had died within the 18 months of their communal history. No prisoners had regular specialist medical appointments.

The group's principal project proposals were: a mutually tutored arts and crafts activity club, an emotional support group and peer-based symptomatic care.

Prison B

This prison was responsible for 56 men with known HIV infection. Ten were selected for phase one of the PLA, with an additional two joining the group for phase two the following day. All of the initial ten attendees except one, were transferred into this prison en masse within the previous six months. Prisoners were accommodated in large dorms with up to 25 people. Dorms were locked for around 13 hours per day in addition to musters. Certain social activities were sometimes possible in the dorms after lock-up. Prisoner/authority dialogue occurred occasionally through mutually acceptable prisoner representatives.

Dietary and medical needs took equal, highest priority, with a relative weight of 1.0. Welfare needs were ranked third with a relative weight of 0.8. Cleanliness (including toiletries and water supply) was ranked fourth with a relative weight of 0.5.

Medical symptoms/signs recalled within their community also suggested major as well as minor signs of AIDS. The three commonest problems – rashes, open sores and lymphadenopathy – did not overlap with the three most worrying ones – fever, diarrhoea and constitutional signs. No prisoners were then in hospital. The group felt that a minimum of 20 prisoners had significant current symptomatology (around one third). Five prisoners had regular specialist appointments.

In order of preference, project proposals were: peer-based symptomatic care, growing vegetables for nutrition and small-scale income generating for hygiene essentials.

Prison C

This prison had responsibility for 363 men known to have HIV. Phase one of the PLA was repeated on three consecutive mornings for three separate groups of 10 prisoners. Prisoners were chosen by sympathetic, co-operative, front-line staff, using our guidelines to represent certain sub-sections of the community including the more marginalised. Phase two of the PLA brought 28 of the former attendees together with 2 new nominees.

7 Jayakaran RI. *Participatory Learning and Action (PLA) User Guide and Manual*. World Vision of India.

8 MacRorie RA. Births, deaths and medical emergencies in the district: a rapid participatory appraisal in Nepal. *Tropical Doctor* 1998;**28**:162-165.

Previous results were shared among the three groups and needs prioritised before moving on to the project development section.

Of the original 30 attendees, 27 had been in this unit for less than 18 months this time around. Cells generally housed up to eight prisoners and were locked up for at least 16 hours a day in addition to the musters.

Dietary needs were ranked highest with a relative weight of 1.0. Over-confinement was the second priority, weighted 0.9. Medical needs came third with a weight of 0.7. Water supply was fourth, weighted 0.5. Toiletries (fifth) were weighted 0.2 and insufficient activities ranked sixth, with a relative weight of 0.1.

Medical symptoms recognised within their mutual experience suggested some major as well as minor indicators of AIDS. Three of the five commonest symptoms were also rated three of the five most worrying symptoms: fever, diarrhoea, constitutional signs. Of the 363 prisoners accounted for with known HIV, 2 were in a local hospital, 2 were in the official prison sick bay, 8 were in an unofficial cell block sick room and 22 were in unofficial cell block Tuberculosis treatment rooms. In other words, 9% had a current, revealed medical problem. Triangulating using several different estimation techniques, the group concluded that approximately 60 more prisoners (~15%) were not revealing significant symptoms. In total, around a quarter of the prisoners with HIV probably had symptomatic HIV-disease. No prisoner was known to have regular, medical specialist appointments.

The groups project proposals in order of preference were: peer-based symptomatic care, small scale income generation to buy hygiene essentials and supplementary food, regular prisoner/authority dialogue, in-prison drug rehabilitation and finally, access to a vocational workshop.

Discussion

Participatory development concepts are well outlined by Burkey⁹. Referring to rural communities, he suggests that these are best achieved utilising certain principles that I have paraphrased and commented on:

i) *Social transformation as a primary goal.* This can appear very threatening to prison authorities and prevent access for 'change agents' if it is over-emphasised. We hoped however, that certain skills would be taken out into the non-prison environment for mutual support of those – particularly drug users – who returned to marginalised lifestyles. We also hoped

to boost the low sense of autonomy and self-respect we generally find amongst Malaysian drug users.

- ii) *Highly homogeneous groups.* Separated HIV+ prisoners in Malaysia generally have a more homogeneous background than the general prison population – having predominantly drug-related backgrounds – and appear to make a viable, mutually identifying group. However, within the prison, there is a mesh of seen and unseen authority. It may be almost impossible for an external 'change agent' to take account of all these networks. It may affect willingness to participate or it may generate 'acceptable' (but not real) emphases within group discussions. We noted a number of occurrences and probably missed some hidden ones.
- iii) *Strong and early group self-reliance.* Since we only have occasional access to work with the prisoners, they need to be self-reliant from very early on.
- iv) *Long-term, unpredictable processes.* The prisoners we worked with had a high turnover rate. They used an extremely restricted space, had a tightly controlled timetable and rigid authority structures. Also, external access was limited in time, extent and confidentiality. It became necessary to operate an extremely compressed participatory process, with a number of predictable elements and externally imposed boundaries. It still appears worthwhile to us.
- v) *External 'change agents'.* This appears to be the only way to initiate programmes in otherwise exceptionally controlled social environments.
- vi) *Research and action rooted in community participation.* Participatory research (PLA) has been fundamental to building rapport, trust and motivation. Prison life otherwise normally dictates that initiative be suppressed and prisoners are often afraid to do more than merely follow orders.
- vii) *Conscientisation.* We forewarned the groups that the process might suggest viable projects that were not allowed, in addition to unfeasible ones. (Ultimately prisoners have only been permitted to develop symptom based peer-care initiatives.) Raising unrealistic expectations was a risk we fended off from the beginning – utilising PLA tools that enabled the group to examine their operational boundaries in a realistic way. Conscientisation is bound to occur during the process. The benefits include the possibility that lessons will be applied, outside of the prison in the future, by attendees. Risks include prisoners using the awareness and organisational skills gained, to disrupt prison life. There may also be frequent requests, particularly early in the process, for representative advocacy.

⁹ Burkey S. *People First: A Guide to Self-Reliant Participatory Rural Development.* London: Zed Books Ltd, 1993.

viii) *Small scale groups*. PLA attendance for some appeared to be merely a highly diverting social opportunity. For some, it indicated an element of hierarchical prestige. It also seemed hard to mitigate against peer-pressure in eventual project development. But whilst it was not usually feasible to work with a whole prison population in the PLA process, it did seem appropriate to consider a whole HIV-infected prison population the beneficiary group. Project management was controlled by a semi-representative committee in the largest male prison.

ix) *Sustainable economic development activities*. Some of the groups were keen to improve their micro-economic circumstances, since health and social welfare were expected to follow. For the time being, the prison authorities have delayed agreement on new micro-economic initiatives, however.

x) *Independence and autonomy*. Autonomy was essential for the prisoners' groups; it appeared to be one of the only ways to maintain their motivation. It proved a challenge to explain to other external parties that the women's group did not want to be taught crafts by outside trainers. Rather, they wanted to learn each other's skills, facilitated merely by materials. (Their mutual support craft group proposal has initially been turned down.)

xi) *'Don't do anything for people that they can do for themselves.'* We would endorse this fully. Prisoners are already tightly controlled. We seek to introduce an element of freedom rather than just add another link to their chains.

Permission was limited to symptom based peer-care projects, even though these were not universally of highest priority in terms of need or group motivation. Only Prison C receives continuing input. A Community Health Worker now runs a training programme for volunteer peer-carers in this largest of male prisons. Over fifty peer care trainers have been trained in the year since late 1998¹⁰. Basic training in symptomatic support by a peer trainer is now a regular part of the induction process for HIV-infected prisoners newly transferred in.

In conclusion, given time, mutual respect and trust, it may not be unreasonable to attempt to use participatory appraisal and project development methods even in highly controlled, marginalised and disempowered communities. A degree of methodological compromise will probably be inevitable, however.

Prior presentation

A brief oral summary of this material was presented at a track session of the fifth International Congress on AIDS in Asia and the Pacific (ICAAP 5) in Kuala Lumpur, Malaysia, on 24 October 1999. The summary will be printed in the conference proceedings.

C J Townsend BSc MBChB
(Formerly) AIDS Unit, Malaysian CARE, 21 Jalan Sultan Abdul Samad, Brickfields, 50470, Kuala Lumpur, Malaysia

Acknowledgements

I would like to thank Datuk Zaman Khan – former Prisons Director, Tuan Cheah Kwai Sang – former Head of Rehabilitation and the other Prison staff who assisted us. Also to acknowledge the input of Malaysian CARE's prison staff team including Pax Tan, Carol George, Daniel Lew, GP Joseph and Robert Dass.

Notes

This article was originally published in *Tropical Doctor*, January 2001, v31 pp8-10. *Tropical Doctor journal, Ellem Old Inn, Duns, Berwickshire, TB11 3SG, United Kingdom*. Courtesy of The Royal Society of Medicine Press Limited, London, UK.

10 George C. (Oral presentation to a track session of the Fifth International Congress on AIDS in Asia and the Pacific ICAAP 5 – title to be decided for the forthcoming Proceedings *in press*.) Malaysia: Malaysian AIDS Council, 1999.

Assessment of the people-predator conflict through thematic PRA in the surroundings of Waza National Park, Cameroon

H. Bauer and S.Kari

Introduction

Exploratory PRA (participatory rapid appraisal) is generally used to get an overview of the way of life of community members, a qualitative assessment of their production methods, a descriptive assessment of their history and culture, and an introductory dialogue on problems etc. A conservation and development project organised a series of these exploratory PRA's in communities living close to Waza National Park (Waza NP), Cameroon. Scholte *et al.* (1999a) reported on these PRA's and on the specificity of PRA in a situation of conflict between park management and surrounding communities. The authors of this article participated in most of the PRA's in key communities and had separate thematic sessions in additional communities with a specific objective: to assess the conflict between livestock and wild predators. This article presents the results and discusses the usefulness of thematic PRA.

The area

Waza NP is situated in the Far North Province of Cameroon, with a Soudano-Sahelian climate and vegetation. Temperatures range from 15°C (January) to 48°C (April), rainfall is irregular between years, with an annual mean of 700 mm in one rainy season from June to October. Half the park is part of an 8000 km² floodplain ecosystem that retains water until December; the other half is on higher sandy soils. Waza NP is a biosphere reserve of approximately 1600 km².

Waza NP is one of the most valued parks of West and Central Africa, with large populations of elephants (*Loxodonta africana*), various species of antelopes and monkeys and an extremely diverse avifauna (Tchamba & Elkan, 1996; Scholte *et al.*, 1999b). There are populations of lion (*Panthera leo*) and both spotted and striped hyena (*Crocuta crocuta* and *Hyaena hyaena*, respectively). Ngog Nje (1986) and unpublished data of the park warden and the authors indicate population estimates between 25 and 100 lions and between 100 and 800 hyenas. Reliable data of counts using appropriate methods is not available. There are populations of unknown size of smaller predators, such as the common jackal (*Canis aureus*), honey badger (*Mellivora capensis*), small spotted genet (*Genetta genetta*), civet (*Viverra civetta*), serval (*Leptailurus serval*), caracal (*Caracal caracal*), pale fox (*Vulpes pallida*) and various species of mongoose (family Herpestinae).

Several ethnic groups use the area around Waza NP. Among the pastoralists the Fulbé are predominant, followed by Arab Choa. Both can be divided into three groups: resident, transhumant and nomadic. Residents are found mainly in the south of the research area; the number of animals they keep in the vicinity of the village during the dry season is limited by water and pasture availability, the rest is sent to the floodplain. Transhumants come to the area with their herds during the dry season. Their villages can be anywhere in the province, but mostly in the area south of Maroua. Nomads do not have a permanent base; they move around following more or less the same pattern of movement as the transhumants. The term 'settlement' is used instead of 'village' throughout this article to express the inclusion of nomads' camps. Often ethnic groups in the floodplain, such as the Kotoko, are mainly involved in fisheries, or, like the Mousgoum, are involved in agriculture, fisheries and small-scale animal husbandry.

The management plan for Waza NP and surrounding areas takes into account the results of the PRA and proposes an evolution towards a co-management approach, in an attempt to integrate the interests of the park and the population (Bauer, 1999; Scholte *et al.*, 1996).

Methods

The methods used for the exploratory PRA were described by Scholte *et al.* (1999a). The tools included historical diagramming, participatory mapping, transect walks, semi-structured interviews and participatory problem analysis. During these sessions and during separately organised thematic sessions, the authors had focused on the problem of stock raiding by wild carnivores. If the problem came up during the plenary sessions it was discussed in little detail in order not to introduce an external bias. Details were later discussed with those that had appeared to be particularly involved. Additional thematic PRA were organised in a few settlements that were not visited by the team for regular PRA.

Specific tools for the thematic PRA were designed and used. Pictures of predators were photocopied from a field guide and used for visual identification and to discuss differences between sex and age classes of the species. People were asked to draw footprints in the sand and to

imitate animal sounds. Possible variations in sex, age and behaviour of the animal were also discussed. If it appeared, from these tools, that people had detailed ecological knowledge, discussions continued on predator diet, reproduction, hunting strategy etc. In some cases, incidents were 'reconstructed' as a play, with a particular focus on environmental factors of importance during various stages of stock raiding.

Participatory mapping on a supra settlement territory scale was used by the people to show the extent of the people-predator conflict and was used to discuss links between predator distribution, habitat features and human activity. In each settlement, informants were asked to estimate the loss of livestock due to predation. Interviews with key informants such as the park warden gave additional information. Sometimes information was gathered in the surroundings, at markets or from passing nomadic shepherds.

Discussions were held in the local language; the first author was assisted by an interpreter (second author) and had a list of the most relevant words in the four most common local languages.

Results

Local ecological knowledge

The presence of predators in a given area could easily be assessed with the use of colour pictures. In all settlements on the park border, everyone recognised the main species. In addition, the other tools demonstrated much ecological knowledge. Settlements slightly further away from the park to the north and east were less successful. An adolescent in Ngodeni interpreted a lion picture as showing a monkey; people in Arainaba called a lion a hyena and a mongoose a

fish. In these areas, people generally agreed that the species did not occur near their settlement.

To compare the results between different settlements, an indicator was used that combines the level of detail with the validity as compared to scientific knowledge. Local ecological knowledge was classified as detailed and valid if several people were able to give details on at least one species with each tool that was used and if a majority of those details corresponded with scientific knowledge. The results are shown in table 1. Based on proximity and similarity of responses, settlements were stratified into geographic units, zone 1 to 4. The reliability of this method is indicated by the consistency of responses by individuals in different settlements within a zone. Applicability of this method may depend on local circumstances, however. An important factor is the virtual absence of schools or other institutions where people could learn about animals without actually being face to face.

There was also a picture of leopards (*Panthera pardus*), which led to some discussion. Older men recognised the animal but disagreed on current distribution. The last time anyone spotted a leopard was over fifteen years ago and most people concluded that the population is extinct. Others, however, who knew that it is one of the most secretive and best camouflaged felids, did not exclude the possibility that there is still a small population of extremely cautious and exclusively nocturnal leopards. However, as park personnel and trackers have not seen footprints for at least a decade, the presence of leopards might be a thing of the past.

Two men had visited a zoo with spotted hyena, but when asked to select its picture they pointed at the image of striped hyena instead. From interviews on animal ecology

Table 1: Visual identification and ecological knowledge of different species of predators during group interviews in the settlements around Waza NP matching with (+) or different from (-) scientific descriptions

Zone	Settlement	Photo recognition			Ecological knowledge		
		lion	hyena	other	lion	hyena	other
1	Badaday	+	+	+	+	+	+
	Amaheiri	+	+	+	+	+	+
2	Andirni	+	+	+	+	+	+
	Dieguere	+	+	+	+	+	+
	Tchede	+	+	+	+	+	+
	Camp 1	-	+	+	+	+	+
3	Mahe	+	-	-	+	+	+
	Camp 2	+	+	+	+	+	+
	Camp 3	+	-	+	-	-	+
4	Zina	+	-	+	-	+	+
	Camp 4	-	-	+	-	+	+
	Sifna	-	-	+	-	-	+
	Camp 5	-	-	-	-	+	+

N.b. Numbered camps are temporary nomadic settlements close to the settlement that precedes it in the table.

it also appeared that people could hardly differentiate between the two species. A majority considered them two varieties of the same species with identical behaviour. Only one of the local languages, Mousgoum, has different words for striped and spotted hyena. Other local languages depend on adjectives or descriptions, like English, to distinguish the two species. These factors indicate that people may have difficulties with the species determination of hyenas, despite the

many morphological, ecological and behavioural differences that biologists have described. This could be explained by the fact that hyenas in the research area are mostly nocturnal, and so consequently it is difficult to observe them. The silhouettes of the two species of hyenas are indeed quite similar.

Local ecological knowledge was very detailed in communities on the border of the park. A

striking example of the level of detail is the analysis of the use of claws by lions: several people knew that lions have retractile claws that are used only for increased grip during the final stage of a hunt and for slaying prey. Interpretations of some details tended towards anthropomorphism, that is, the projection of meaning of human behaviour on similar animal behaviour. Hyenas observed in pairs are often said to be male and female. This implies the ability to distinguish between sexes on the basis of body size. In fact, the sexual differences, or dimorphy, in spotted hyenas is hardly visible with ordinary observation techniques and hyenas hunt in pairs of both different and identical sex (Kruuk, 1972).

The people-predator conflict

Statistics on damage caused by predators to livestock could not be determined very precisely. PRA techniques generally specialise on qualitative assessments and trends rather than precise quantitative data (Chambers, 1997). Table 2 presents the size of the herds and the losses declared in 13 settlements around Waza NP. This table obviously contains controversial data that suffered from bias. People may overestimate damage to convince MINEF of the need to intervene. They may also leave out incidents that occurred inside the park, to avoid inquiries. In addition, livestock owners in the area always declare only part of their stock, to reduce taxes and to avoid risks associated with being perceived as rich (Scholte, 1998). These biases persisted despite our clearly defined position. Nevertheless, the settlements could be stratified into four zones based on proximity and similarity of responses with respect to the predation problem.

To get a more reliable assessment of the intensity of the people-predator conflict, results were triangulated. It appeared that observations on local knowledge of predators and on damage by predators had similar patterns. A compilation of table 1 and 2 is presented in

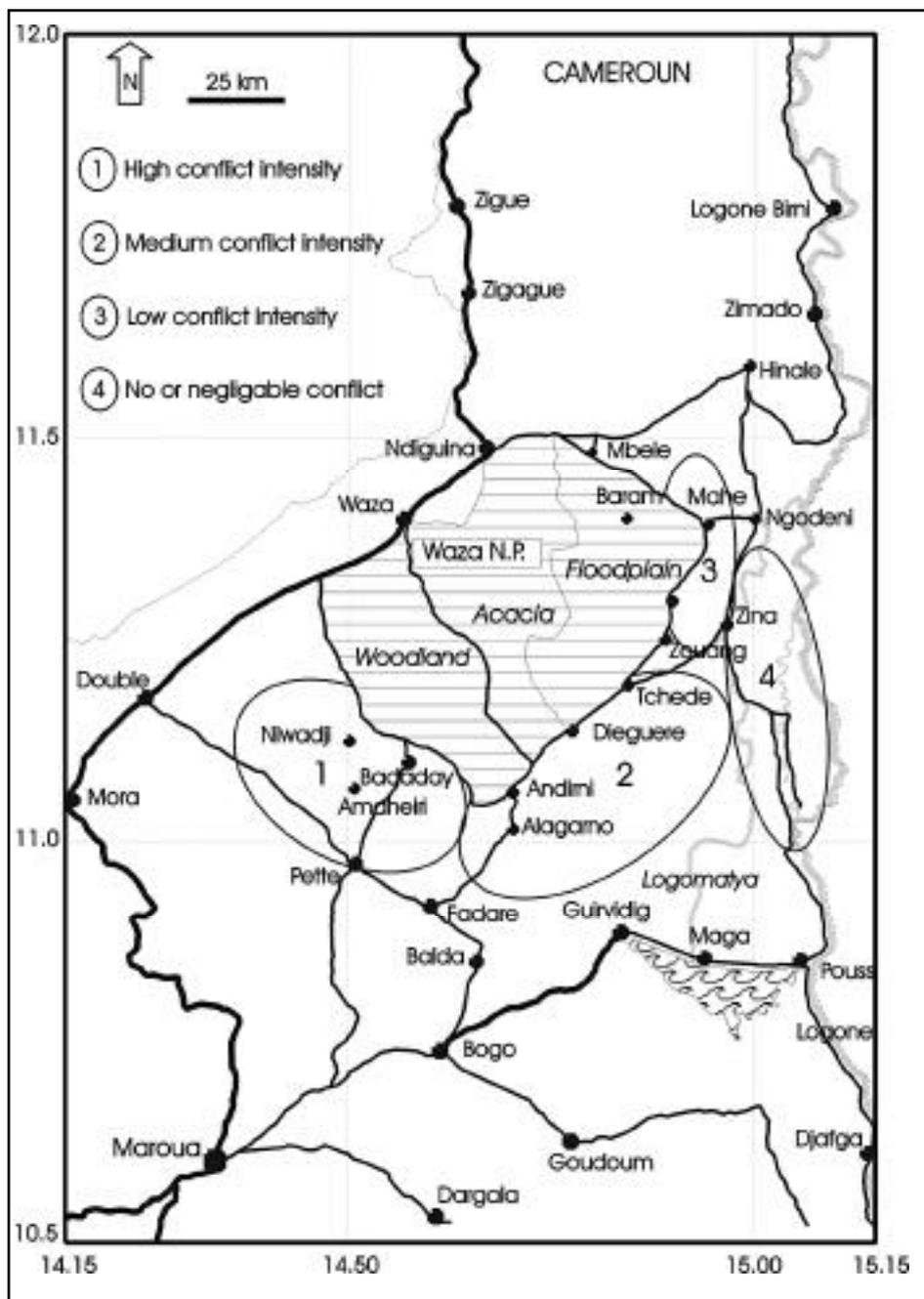
Table 2: Declared herd size and declared annual loss from predation by large carnivores around Waza NP

Zone	Settlement	Large stock			Small stock		
		herd	loss	%	herd	loss	%
1	Badaday	300	20	6.7	100	30	30
	Amaheiri	400	20	5	150	30	20
2	Andirni	680	5	0.7	450	75	16.7
	Dieguere	80	0	0	300	30	10
	Tchede	0	–	–	150	25	16.7
	Camp 1	400	5	1.3	0	–	–
3	Mahe	40	2	5	325	60	18.5
	Camp 2	400	4	1	50	0	0
	Camp 3	1100	4	0.4	300	5	1.7
4	Zina	0	–	–	200	8	4
	Camp 4	350	1	0.3	125	0	0
	Sifna	150	0	0	200	3	1.5
	Camp 5	700	0	0	350	0	0

figure 1, with circles marking out zones 1 to 4. In areas with detailed local ecological knowledge, losses from predation were high, indicating that the people-predator conflict intensity is high. All zones were thus classified by 'conflict intensity'. Table 2 gives the order of magnitude of damage, although the level of bias and variation does not allow us to give a precise annual average percentage for each zone. Nevertheless, we feel that this classification is reliable, since it is based on consistent quantitative and qualitative information generated with various tools in various settlements.

People in all settlements gave similar information about the locations and moments at which predation occurred. Lions attack all species of domestic animals on the pastures during the daytime. People know that lions also hunt at night; but cattle are then kept in enclosures inside the villages where lions hardly ever venture. Hyenas are exclusively nocturnal; they attack small stock in or near the settlements at night. They enter enclosures and even houses, but are easily chased away if the owner is awake. Jackals and other smaller predators were reported to be very opportunistic and only attack small stock when it was easy for them to do so – certainly not in the presence of man. All forms of predation were said to occur more often in the rainy season. Stalking is made easier, when camouflaged by the noise of the rain, or when walking in the tall grass. People generally did not fear for themselves, and extremely few human casualties were reported. Lions attack on the pastures, where shepherds can easily chase them off before an attack. They only become aggressive when disturbed during or after an attack. Three human casualties were reported in the entire area over a ten-year period, all under particular circumstances. Only one settlement, Mahe, reported a lion entering a concession once, without accidents. Hyenas had never been much feared, but since the introduction of the torchlight the problem is entirely solved: they are easily chased off with light.

Figure 1: Waza NP and the surroundings with zones of different conflict intensity, estimated by loss estimates and ecological knowledge in each zone



The ability of a lion to attack man and cattle, its status as a keystone species (in one local language literally ‘father of the bush’) and its legendary strength make it the most controversial animal with regard to stock raiding. Hyena raids are much more frequent, however, and yet this is only mentioned after lions have been discussed first. The reliability of the quantitative data is too low to know exactly whether the economic damage of lions attacking expensive cattle is much higher than hyenas killing much more but cheaper small stock. Table 2 indicates that the two are not far apart, however.

One of the shortcomings of the PRA methodology used

was illustrated by the fact that no information on the use of poisoned bait was obtained from the people. An anthropology student got this information later, after a longer stay in one of the same settlements (Schoemaker, unpublished MSc. thesis, 1999). The use of poison, hunting or other illegal activities were apparently too sensitive to be discussed, as mentioned by Scholte *et.al.* (1999a).

Conclusions

The people–predator conflict is serious in the areas around Waza NP, especially on the southern border. During problem ranking and restitution, predation was confirmed to be a priority problem in these areas. Research is recommended to quantify losses and to study locally practised mitigation measures. This could lead to recommendations for action within the framework of the current revision of park management. Further east, people agreed during the restitution that the level of conflict is acceptable. Their priorities for action are beyond the scope of this paper.

Thematic PRA can generate a good impression of a situation. The advantages are collaboration with the local population, relatively low investments in staff time and material and quick results. Disadvantages are the various

biases and contradictions, especially in quantitative data. We found that repetition of the same exercise in several settlements and triangulation of results from different methods were instrumental in clarifying the bottom line and overall tendencies as well as showing local variation. Thematic PRA is useful and feasible and is best undertaken within the context of general explorative PRA.

H. Bauer – Centre of Environmental Science, Leiden University, The Netherlands.

PO Box 9518, 2300 RA Leiden, The Netherlands

S. Kari – Waza Logone Project, PO Box 284 Maroua, Cameroon.

Acknowledgements

This study was part of the activities of the Centre of Environmental Science of Leiden University (CML) within the framework of the Waza Logone Project in Cameroon which is executed by the Ministry of Environment and Forests (MINEF), the World Conservation Union (IUCN), CML and The Netherlands Development Organisation (SNV). We are grateful for the support of these institutions and their staff, especially P. Scholte, Dr. H.H. de Longh and D. Ngantou. The comments of Prof. W.T. De Groot, Dr. S. Kersten, R. Noorduynd and the editors of this journal are gratefully acknowledged.

References

- Bauer, H (1999) Co-management in Africa: the case of Waza National Park, Cameroon. In: EC Bernardo & DJ Snelder (eds.) Co-Managing the Environment. CVPED & PLAN, Philippines.
- Chambers, R (1997) Whose reality counts? IT Publications, London, UK.
- Kruuk H (1972) The spotted hyaena. The University of Chicago Press, Chicago, USA.
- Ngog-Nje, J (1986) (Ethological note on the copulation of lions (*Panthera leo* L.) in Waza National Park, Cameroon.) Note ethologique sur la copulation des lions (*Panthera leo* L.) dans le Parc National de Waza, Cameroun. *Mammalia* **50**, 553-555.
- Scholte, P, S Kari & M Moritz (1996) The involvement of nomadic and transhumant pastoralists in the rehabilitation and management of the Logone floodplain, North Cameroon. *Drylands Issue Paper* **66**, IIED, London, UK.
- Scholte, P, S Adam, S Kari & JH Mbouche (1999a) Walking a tightrope: using PRA in a conflict situation around Waza National Park, Cameroon. *PLA Notes* **35**, 7-12.
- Scholte, P, S De Kort & M Van Weerd (1999b) The birds of the Waza-Logone area, Far North Province, Cameroon. *Malimbus* **21**, 16-49.
- Tchamba, MN & P Elkan (1995) Status and trends of some large mammals and ostriches in Waza National Park, Cameroon. *African journal of Ecology*, **33**, 366-376.

Multidisciplinarity in the PLA Context: Eight lessons from a research project on tourism and the environment

Levis M. Kavagi

Introduction

This paper presents some of the basic lessons learned from my experience in participating in a multidisciplinary research project on *Tourism and the Environment*. The issues emphasised are those relevant to PLA. The full results of the study are documented in Omondi *et al* (2000).

Multidisciplinary research largely draws on participatory research methods. Participatory research requires a holistic approach to issues, an essential requirement in multidisciplinary research. When people of different specialisations work together they need to use techniques that will enable each member to learn the predisposition of other members in the group. For example, a physical scientist needs to understand the perceptions of a social scientist. Training is therefore an indispensable pre-requisite, if a co-operative consensus is to be built among all stakeholders/ participants in a *win-win* atmosphere. Also, both multidisciplinary and participatory research approaches require resources, time and energy. Without proper conceptualisation of these issues a multidisciplinary research project will face severe shortcomings as it progresses.

Tourism and the Environment was a 2 year research project (1996-1998) funded by the International Development Research Centre (IDRC) of Canada, through the School of Environmental Studies of Moi University – Eldoret, Kenya. The overall goal was to assess the negative and positive economic, environmental, and social-cultural impacts of tourism in Kenya. One of the main areas of interest was the perception of stakeholders in the industry, particularly local (host) communities.

The project brought together professionals from five main disciplines:

- Biological sciences
- Economics
- Geography (planning and resource management)
- Environmental sciences
- Film Production

The team comprised four principal researchers, four graduate student researchers, one film producer (plus crew: cameramen, sound/lighting, editors etc), one media communications expert, two drivers and over seven field assistants. Each principal researcher had one student to work with.

I joined the project in May 1998 as a educational communications expert to provide technical advice for the documentary component of the project. The video documentary was a consummation of all four major components. My role was to translate the research findings into a mode suitable to present results of the study in a 30-minute educational video. I was therefore involved in collecting data through formal and informal interviews and observations, so as to get a clear picture of the project as a whole.

Multidisciplinarity and PLA

Multidisciplinarity, as described in the *Encyclopaedia of World Problems and Human Potential*,

is a variety of disciplines, presented within the same setting, but without making explicit possible relationships between them. From a systems point of view, the successive steps of co-operation and co-ordination between disciplines lead to the definition of the organisational principle for a single-level multi-goal, hierarchical system, without co-operation between the parts.

In a multidisciplinary team each member maintains their faculty identity without necessarily bringing together skills and knowledge from other fields since relationships between individual traditional disciplines are not well defined. Members tend to contribute from their own specialisation rather than benefit from the totality of the team as a whole, yet we know that the simple sum of parts is not equal to the whole. Each member has covert goals to achieve besides the overall overt goal of the project and thus dominance of certain “prestigious” fields is not uncommon in spite of the fact that they should be working together on a common problem.

The task of team building tends to concentrate around co-operation rather than the integration of concepts. This can lead to the results of the same study having different angles/ treatment when reported in the literature of each discipline involved.

PLA takes this a step further. Participants are encouraged to think in, and understand, each other's assumptions. It is a step towards interdisciplinarity, a complex concept that faces challenges from established discipline concepts, vocabulary and limited perspectives. Everyday issues

encompass several disciplines in a holistic manner that makes it difficult to pin-point one discipline we could claim to solve any single problem.

Local people for instance do not consciously employ any particular discipline in solving a community problem. They instead have well developed trust and respect for one another's knowledge and skills, appreciating their differences but realising the strength of understanding one another when working together. Perhaps the worst blow they suffer is from the specialisation of development workers/ researchers who have a tendency to inhibit rather than contribute to the richness of the solution sought.

Multidisciplinarity in the context of PLA tries to break boundaries between disciplines by opening avenues of "natural" dialogue by providing a common language for all team members. Whereas transdisciplinarity (fusion of disciplines) is far from being the norm in action research, we believe that multidisciplinarity in the context of PLA is a big stride forward. Policy makers must have the ability to digest information from various sources and distil a framework within which future action will be based (this is the norm rather than an exception). There is also the need for team members to learn from each other. Transferring methods, knowledge and skills between disciplines can be quite challenging for members within a purely multidisciplinary team. Such experiences can however provide deeper reflections on the limitations of commonly held methodologies. It does not imply that we abandon our own fields but requires us to use our knowledge while learning enough about other areas sufficient for us to function in a field different from our own. However, making this concept acceptable to 'professionals' of the trade is easier said than done.

Some of the challenges we faced as a team are discussed here. They are selected examples of the challenges that would be typical in a multidisciplinary research project in the context of PLA.

The Eight Lessons

Lesson 1: Defining who is a Stakeholder

Who is a local? We found that host communities resented us talking to people they considered to be outsiders, such as when we happened to interview a migrant resident whom the host community had accepted for the crucial role of providing services to them, but did not qualify to be their spokesperson. As an outsider it is very difficult to distinguish between stakeholders without the help/ expertise of the local people/ community. Even once you have identified these it then becomes difficult to know how to solicit views and involve the participation of each category without jeopardising your mission. In some communities the difference is so harsh that you cannot get members of two communities/ clans sitting at the same table.

In a pure multidisciplinary approach, the choice of informants is based on each discipline's methodology with

input from the team. However, we found that we had to adopt participatory methods to select people in the research area as key informants using informal unstructured interviews to discover the opinion leaders, experts of certain aspects, and so on. Informal interviews were held with the local people using the field assistants to interpret language as well as meaning of concepts/ geographical definitions etc. We identified field assistants who introduced us to the village leaders. This enabled us to gain faster acceptance among local leaders. Often it was the village elder that recommended a reliable person to serve as the field assistant. At one place in Namanga-Amboseli area we chose a young man to direct us to the Manyattas of the Maasai but a local shopkeeper raised his concern over the reliability of our would-be guide. We later discovered that the villagers in that area did not trust the young man due to his past record.

We found that host communities complained that foreigners had effectively taken what was theirs. The study showed that host communities rarely got employed in supervisory levels at the lodges, hotels, reserves, parks and museums. Locals got positions such as 'regalia' porters, dancers, or to do junior clerical and menial work. They also complained that they were not involved in policy formulation, and that the industry exploited their culture without fair compensation, leading to the neglect of their indigenous resource conservation practices – yet for ages they felt they had co-existed with their environment in a more sustainable manner than could currently be claimed.

As discussions proceeded more people were willing, and even volunteering, to talk to us. This was evident in all the study areas. But before this, when we had picked on non-representative informants, the rest of the local people tended to stay away.

Lesson 2: "Specialised Ears"

Multidisciplinary teamwork in the PLA context requires that team members understand one another's concepts and fields of work. At the beginning it was quite difficult for the team to understand each other due to their training/ professional background. Each professional had well treasured, justifiable ways of doing things. The physical scientists found the methodology of the social scientists to be odd and vice versa. During a workshop held in Mombasa to discuss the findings of the study, participants demanded methodologies they were familiar with, as though their own fields were under threat. In addition, the funding agency had imposed a reporting format which hindered the team's freedom to present the results innovatively.

"Specialised ears" can be overcome if participatory methods are used from the start of the team's formation. The 'talk about your field' approach relaxed the team and provided an opportunity to learn what each person thought of the task ahead. One-to-one discussions of methodological approaches and concept definitions were used throughout the project; for example, another team member accompanying the biologist to collect specimens,

and then to see and discuss the results together in a non-disciplinary way while relaxing over a snack etc. This gave us the opportunity to integrate the results into one body, and thus move a step towards interdisciplinarity. However, this was the toughest task to achieve.

Lesson 3: Leadership Issues

Traditional management styles make it difficult, if not impossible, for a junior worker to supervise his/her senior. In a multidisciplinary project the choice of a junior member as the leader of the group can have repercussions when it comes to decision-making at the executive level. However, we trained ourselves to try to overcome our differences and instead work as a family. The project leader was chosen not on seniority but based on a consensus developed within the team. We selected a person with a cross-cutting background, who possessed sufficient initiative to be creative and provide leadership. No leadership wrangles were experienced.

This did not mean that we did not experience problems when incorporating temporary members or during our fieldwork. Locals felt '*intimidated*' during the first stages until after the ice had been broken. With peers, there was the problem of '*specialised ears*' interfering whenever a colleague thought that s/he was smarter due to age, area of specialisation, better pay or affiliation. Other problems were experienced between management-administration and the team.

Leadership/ ownership issues can greatly discredit a project. It is best to set aside sufficient time and resources to build up a team prior to starting work. Games, interviews between experts and role-playing, plus democratically choosing a leader need to be taken into account at each stage. Trust and co-operation enhance the integrity of a team more than leadership based on seniority. Nevertheless the involvement of senior management is an element that requires close attention if long-term support for the project is expected.

Lesson 4: Changes in time and economy

During the project the Kenyan economy underwent a drastic decline that saw a depreciation in the local currency. Inflation caused our budget line to increase far beyond the project limits. Regarding time we found out that stakeholders held different attitudes and perceptions depending on the performance in the industry; slump versus boom, and low versus peak season. Pastoral communities moved across national borders in search of pasture and this also affected their perceptions due to spatial and temporal changes.

Time changes also meant changes in staff and administrators/ policies. Changes in university administration somehow impinged on the project. Three of the founding principal researchers had to leave for one reason or another. This derailed the project's timetable by over one year to the year 2000 instead of 1998.

This suggests that multi-disciplinary teams in the PLA context should not see themselves as static systems. They need to devise ways to deal with changes so that they become part of the learning process of the group. The PLA team needs to initiate new members into its way of thinking and doing things. This can be a slow and energy-consuming process. Involving key decision-makers and developing mechanisms to sense signs of stress and change, are key factors to consider in any team work. Personnel changes can be effectively dealt with by creating an atmosphere where the new team member can quickly feel comfortable and the old team members can see the benefits of a new member's potential contribution. This either requires a good facilitator, or solid participatory skills within the membership to resolve these problems.

Lesson 5: Time clashes

It was not always easy to bring the team together particularly with senior members who had multiple duties. It had been agreed that at least the principal researchers would go out together in the field as a team using one vehicle. However, our schedules conflicted severely, due to normal obligations coming first, and because we worked in different departments and institutions. Opportunity costs seemed to interfere with the schedules of the project.

Participatory methods helped to determine the times when it was prudent to do certain activities, taking into account the workloads of both the team and the respondents in the field. A team needs to agree on a process which allows all members to feel they have an equal part in the project even if they cannot always be physically present. Communication channels must be devised and agreed upon in advance so that information is available to all members. Attention must be paid to the stresses that are inherent in the irregularity of the team functioning as it is hard to predict events due to these uncertainties within the team.

Lesson 6: Need for regular meetings/ briefing

We realised that whenever we met regularly to review our work and map out strategies for the next day we enjoyed every bit of our work, especially when we were all together in the field. But when we went back to our stations it became difficult to meet or to make certain deadlines. At times delays resulted in increased costs. For example, we received some suggestions for further changes to the documentary, after video editing work had been completed in a hired audio-visual studio. Going back to the studio required a new contract and additional payment.

This problem had been successfully addressed earlier when the team met together twice for a preview of the documentary and provided an opportunity for spontaneous responses. Throughout the preview I took notes of comments made, even where there was a simple sigh or dead silence, like during one scene where a couple of lions were mating. It turned out that this scene had not been well received at both previews and it proved one of the most difficult to talk about.

A team needs ways of dealing with changes if they occur. To make important decisions quickly, it requires a team leader with good facilitation skills to guide the group to a decision or through a decision-making process, while being sensitive to, and able to resolve, signs of stress.

Lesson 7: Delegation issues

Bureaucratic red tape often caused delays. Even after the difficulties of assembling the team to work in the field, more time was wasted dealing with technical matters. It seemed that when controlled by a centralisation of power, the system became too slow for effective and efficient teamwork. For instance, to avoid delays, we decided to have a retreat to write the final report. However, administrative problems prevented us from meeting in time.

Using participatory methods to enhance the project reviewing process can determine areas of weakness that require adjustment to ensure deadlines are met, and areas of strength to be reinforced, so that experiences can be applied elsewhere. Involving senior management from the project conceptualisation to implementation could include a series of brainstorming sessions where management becomes part and parcel of the process, and therefore more likely to be sympathetic to granting requests later. Participatory methods help ensure that all stakeholders are aware that they have a responsibility, towards supporting the whole project. When a person feels part of a process it is more likely that s/he will give support. We successfully involved all stakeholders during the project launch, inviting each to give their views at a brainstorming roundtable in Kakamega. For the second round, at the Mombasa workshop, preliminary results were presented for participants to critique. Both meetings were very fruitful, although a continuous appraisal system that involved in-house stakeholders from the funding organisation and the executing institution would have been even more beneficial.

Lesson 8: Personal gain vs group objectives

Due to the multidisciplinary participatory nature of the study it was agreed that the team shared their observations and findings openly. This helped to build the team and overcome obstacles in the field and in reporting. Conflicts of interest were however noticed whenever we involved a commercial partner, or contractor, who would then take advantage of the openness in the group for personal gain. Those commercial partners who knew the budget line always tried to spend the maximum the budget would allow. Since the team used an *open-book* management style of doing things (discussing with all parties and giving all necessary information including the estimated budgets) these partners used such information to tailor their costs so as to gain maximum profit from their assignments, often by over-quotation. This would not happen if the contractor did not have known budget allocations.

Participatory methods help members see their position in the whole process. Costs and benefits can be seen in a

vivid way that can then be used to enter into a contract. Our weakness was in incorporating new members into our system of working. Rather than behave like technocrats when seeking for collaborators, it would have been better to be open from the beginning. We had used technical methods to hire commercial partners due to the institutional regulations involved in funding and executing the project. So when they joined the team they came expecting to make a profit. Telling them how much was available sounded to them like a strategy for profiteering rather than as a way to trust each other. I believe participatory multidisciplinary approaches would put aside such personal interests and create an atmosphere of trust.

Conclusion

There is a need to clearly define and identify the host community for your work, and any other stakeholders well in advance of the project. It is true that host communities have long felt left out of setting development policies and agendas. Involving them is however not sufficient until the local expertise is fairly developed. This means that participatory methods should incorporate training aimed at developing the participants' different roles and/or levels.

Delegating responsibility is an essential attribute to the success of multidisciplinary projects and participatory research. This largely depends on how much you are willing to invest in human resource development such as developing local expertise and delegating responsibilities.

To succeed in a participatory session, the choice of time is crucial to ensure that opportunity costs are minimised. Participatory approaches can be used to determine this. Personal gain must not override group objectives; ways to clarify and to resolve conflicts of this nature need to be arranged. The team should be alert and ready to diffuse such detrimental conflicts. Professionals should be trained to learn to think in holistic terms rather than using traditional faculties they were trained to think in. This helps to overcome problems of seniority/ inferiority within a team.

References:

Omondi, P.A. et al, (2000). "Tourism and the Environment: Economic, Social Cultural and Physical Impacts – A Cost Benefit Analysis." Unpublished research report IDRC-Nairobi Union of International Associations (Eds.), (1994-95) *Encyclopaedia of World Problems and Human Potential, 4th edition*

Acknowledgements

1. Lisa Singh of Intercultural Communication Unlimited (USA) for her review and comments
2. I give sincere thanks to the entire research team for their untiring efforts to keep the project running on time, and in opening my eyes to see in new dimensions. Special thanks go to Dr. Paul Omondi, {Head, Department of Geography, Moi University, P.O. Box 3900, Eldoret (Kenya)} the project co-ordinator.

Lessons from capacity building at Ha Giang, Vietnam

4

**Neela Mukherjee, Nguyen Thi Mai Huong
and Le Van Hong**

Introduction

Adopting participatory approaches (PA) to use in the planning, implementation, monitoring and evaluation of large projects, increases both the significance of and the challenges faced by, PLA/ PRA-type approaches. Whilst the 'open ended' approach and methodological innovations in PA have opened new vistas in the developmental scene, counteracting stereotyped 'mindsets' has not been easy. In centrally planned economies like Vietnam, transformation from 'top-down' planning to 'bottom-up' participatory planning based on PRA/ PLA-type approaches not only requires policy-level commitment from the 'top' but also more learning-by-doing approaches at the 'bottom'. New concepts, methods and ways of doing local level participatory planning often give rise to new issues and challenges, some of which are described below from Ha Giang Province in Vietnam.

In this article we share some lessons from the training workshops conducted for capacity building in PA at Ha Giang in Vietnam. Such lessons relate to finding out ways of influencing commune-level planning and recognising variations in the participatory planning done by literate and non-literate groups.

Background

Ha Giang Province is situated in the northern part of Vietnam bordering China, with relatively lower level of literacy, especially in its remote areas. Many inhabitants in the Province are from multicultural and multilingual ethnic minorities living in mountainous terrain, in difficult living conditions.

Two basic training workshops and a Training of Trainers workshop in participatory planning were conducted for 62 participants from 15-20 December 1998. The participants included project officials and members of the Farmers' Union and Women's Union. The workshops were designed around the principle of learning-by-doing, with participants working in small informal groups with farmer groups from different villages. The aim was to increase capacity building for field inquiries by conducting participatory micro planning both at village and commune-level, based on PLA processes, principles and methods, including gender issues.

Objectives

Although capacity building was the overall goal of the training workshops, two grassroots objectives emerged from the needs assessment:

- To learn ways of influencing the conventional 'top down' commune-level planning for broad-basing participation
- To learn participatory methodology for community-based planning in areas of both low and high literacy.

Influencing the commune-level planning process

One main objective was to demonstrate ways of influencing commune-type planning from the 'bottom up' where individual village plans would lead to a commune level plan. Influencing the commune planning process was visualized as a three-step approach, though in actual practice, it was not possible to cover the third step during the training period.

1. Both women's and men's groups of villagers made their own plans and presented and validated them in their own villages;
2. Commune-level meeting/discussion where villagers from each village shared and discussed their plans; and
3. Putting together all the village plans to arrive at a commune-level plan where the resources, time etc. would be allotted and matched against one another to make the plan ready for implementation.

These steps were in sharp contrast to the normal practice at the commune-level, where the decisions from the 'top' would get passed to Provinces, Districts and then to the Communes with pre-determined funds, targets and time.

Commune-level plan presentation

When making the village-level plans during the training workshops, it was possible to cover only 6 out of 10 villages of Phuong Do commune due to the lack of time. Commune-level presentations, organised on that basis were scheduled for half a day in which farmers from different villages, both women and men, made short presentations of their local-level plans for different project

components. These plans were exhibited at the presentation hall of the Commune for everyone to see and discuss. Farmers' presentations were preceded by an 'overview' given by the Chairman of the Commune, with the help of a sketch map of the Commune, a 'visual' problem chart and basic statistics relating to the Commune. The presentations were followed by a question and answer session on the issues raised. Though only 6 of the Phuong Do Commune villages were covered, one basic objective was achieved in terms of initiating and demonstrating a participatory process to influence commune-level plans.

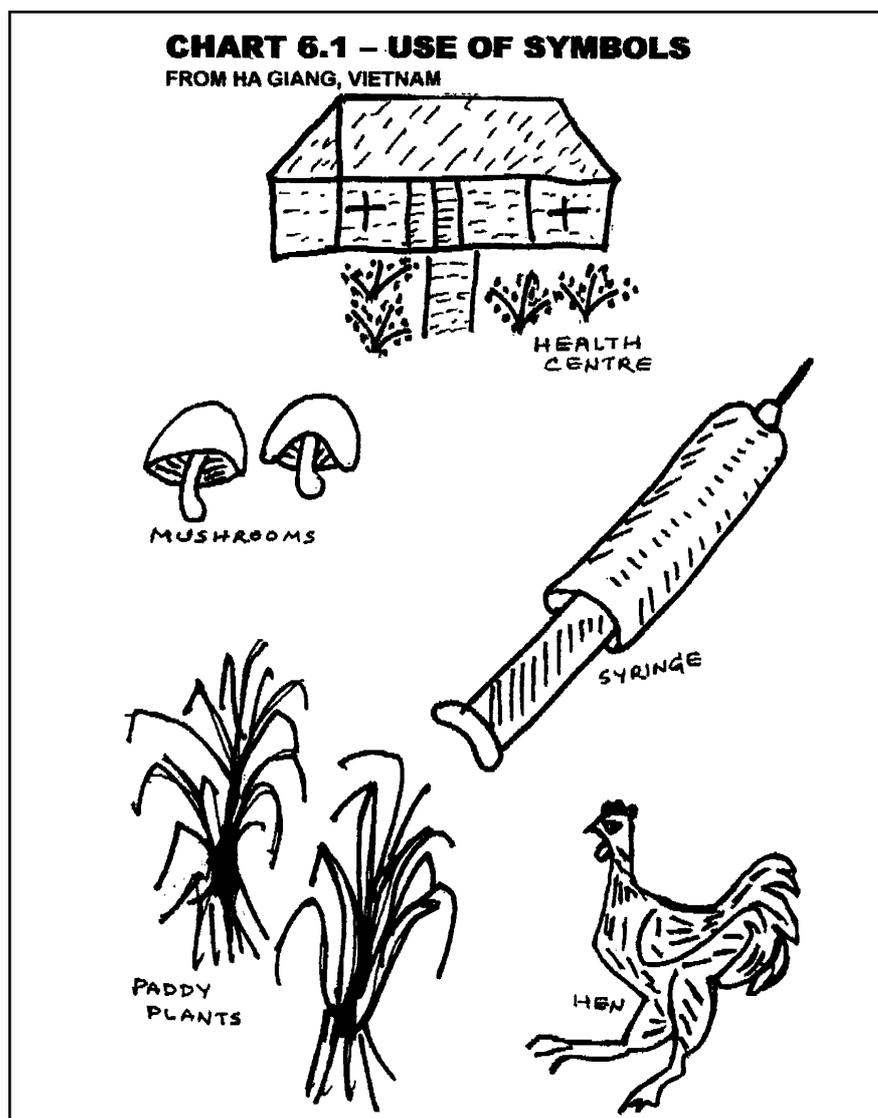
For the third step, which involved arriving at an overall commune plan, finding ways of putting together the PLA village plans was important. However, aggregating the plans was not that simple since such plans were diverse, and any one format for aggregation would limit such diversity. This was overcome to some extent by suggesting formats for component-wise aggregation of the village plans for administrative and financial convenience.

Participatory planning in low literacy areas

Participatory planning in high literacy areas was not much of a challenge. It took relatively less time with both women's and men's groups participating. However, local-level planning in villages with low literacy was tried in several ways:

1. Utilising the services of a literate person in the village to act as a scribe for the non-literate villagers participating in the planning process.
2. Using different symbols to represent the issues that the villagers raised and then scoring them as per their preference.
3. Drawing objects on paper and making pictorial plans with scoring/ranking of the villagers' priorities.
4. Using picture cards to help the villagers make their plans.

In some villages, villagers adapted different combinations of the 4 ways of local-level planning as given above. Ways adopted in areas with low literacy were more diverse than those with high literacy were.



Lessons

- The fieldwork in low literacy areas showed how the pictorials created by the villagers could be used for planning. Only those villagers willing to draw pictures helped with the pictorial plans while others discussed and watched. Participants of the training workshops discussed other options that could be explored in order to help involve more people in the planning process, such as the use of video or other audio-visual techniques. Though the participants were shown some videos about planning, it was felt there was a need for video-films appropriate for ethnic minorities.
- With many pictures drawn by farmers, it was suggested that the project office could select a range of them and print them to make copies for distribution to project staff so that farmers could use them for local level planning. The farmers' pictures represented pigs, buffalo, fields, trees, ducks, hens, schools, irrigation canals, water taps, disease, crops, forests, farmers, attitudes, behaviour and so on.

- Simple plans could be understood and validated more easily. In low literacy areas simple micro plans with two rows were used, where one showed the problems while other showed the solutions. Sometimes a utility matrix on the topic concerned also preceded such plans.
- Pictorial planning took time as each pictorial required additions and alterations as suggested by the farmers. Often the farmers were reluctant to draw and motivating them required time and patience.
- The local plans prepared by the villagers, both literate and non-literate, were returned to the village communities. The village communities in many villages wanted to retain the plans for future use whether by the project or other development agencies.

Limitations

- At the commune-level presentation, only a few farmers from each village could be accommodated for lack of space. Broad-basing of face-to-face participation was not easy at the commune level, especially because the commune was so large.
- The larger the village/commune size, the greater the time taken for presentation and discussion. Planning for so many components and activities took time, and it was not easy to organise presentations by, and with, busy farmers in the village/ Commune.
- It was difficult to copy pictorial plans for official report writing. The participants faced problems in retaining copies of pictorial plans for future use. Since many plans were made on large-sized chart papers, photocopying of pictorial plans was not easy.
- Often more time and imagination were needed to make local plans for low literacy areas, which was not thought convenient for the stipulated time frame of the project. There was a limit to pictorials for each and every activity. The farmers were also busy throughout the year.

Neela Mukherjee

Trainer-facilitator, Contact address-52/29,

Chittaranjan Park, New Delhi-110019, India

Nguyen Thi Mai Huong & Le Van Hong

Resource person, Contact Address- Office of ARCD

Project (IFAD/UNDP), Dong Hoi, Quang Binh

Province, Vietnam

Acknowledgements

Thanks to Rab Nawaz, Hoang Van Son, Omer Zafar, participants of the training workshops in PLA planning and the village communities of Ha Giang. All errors and omissions can be attributed to the authors.

Standing up to the limits and challenges of participatory methods and approaches in Cameroon

Michael Boboh Vabi

Introduction

Community participation, a recurrent theme in discussions on conservation and development projects/programmes constitutes a very vast and complex field. The concept means different things to different people within development institutions. Although a clear definition of the concept would be helpful, unfortunately conformity in the use of concepts and terms may not be necessary as conditions of definition and especially application are not often similar. In projects/programmes where emphasis is on democratic values, community participation is perceived as a goal in itself. In projects/programmes where emphasis is on efficiency and effectiveness, popular participation is perceived as an instrument. In conservation-development interventions, community participation has become one of the underlying pathways for scaling up field experiences and lessons into national policies and legislation. In this context, the concept could be operationalised through different participatory methods and approaches; the final outcome being to enable rural dwellers to become active participants in the definition of strategies for improving local livelihood systems. It is in the light of this that there has been an extensive development and use of the tools and techniques for translating the concepts of community participation into reality. Correspondingly, many conservation and development projects/programmes in Cameroon have adopted participatory methods and approaches as strategies for involving community-based partners in conservation and development initiatives. This has resulted in the production of a multitude of descriptive reports about the socio-economic contexts within which conservation-development projects/programmes will either operate or are operating.

The Cameroon Programme Office of the World Wide Fund for Nature, like other mainstream conservation organisations, adopts a pragmatic approach to the definition and use of community participation. In the context of a supporting role to conservation and environmental NGOs in Cameroon, community participation is perceived as a strategy for involving forest dependent/dwelling people in conservation and (sustainable) development. Participatory methods and approaches and Participatory Rural Appraisal (PRA) are used as entry points for mobilising community resources: *local knowledge systems of biodiversity including resource management skills and traditional institutions*. The PRA is

also seen as an instrument for initially appraising situations and determining collaborative conservation and development actions. This paper draws upon the experiences of working as a Farming Systems Rural Sociologist for over a decade within the Cameroon Institute of Agricultural Research for Development (IRAD), and later as Social Science Support Officer for WWF-Cameroon. The paper cautions less experienced users of participatory methods and approaches against exaggerated expectations of the role of participatory methods and approaches.

Using participatory methods and approaches to stimulate community participation in conservation and development interventions

The use of participatory methods and approaches in conservation and development interventions anchors on a certain number of assumptions:

- local communities have adequate knowledge of their environments;
- local knowledge is not often recognised, respected and sufficiently used;
- local resources exist which are not often effectively mobilised for development;
- intervention agencies often have resources which do not match local conditions.

From these assumptions, a number of principles in the use of participatory methods and approaches can be highlighted:

- *the human factor*. Development efforts only make sense if they are people-centred and respond to people's livelihoods systems;
- *role of development institutions*. Development institutions need to renounce the conventional roles of leaders to become facilitators of self-directed, learning-by-doing processes;
- *technical and institutional capacities of community members and their institutions*. Members of local communities and their institutions are not only beneficiaries of the fruits of conservation and development initiatives but are key actors in the process;

- *local communities as partners*. Indigenous local knowledge, skills and materials should be the basis for developing local capacities and specific approaches to local development.

In the light of the above, the use of participatory methods and approaches in the process of local development is expected to increase the understanding of the context within which development partners operate. This understanding enhances the prospects that conservation-development initiatives will be locally owned and therefore, institutionally sustainable.

Field applications and lessons from literature

Likelihood of faulty problem diagnosis

Quite often, when members of local communities are asked to identify priority problems, a shopping list of broad items described as "lack/absence of..." emerges. In most cases, local communities express the need for the improvement and/or construction of roads, schools, health facilities, and provision of credit. In general, they always tend to ask for more of the same thing as illustrated in a collaborative initiative of the International Centre for Research in Agro-forestry (ICRAF) and WWF-Cameroon pilot community forest site near Akonolinga in the Centre Province of Cameroon. In a problem diagnosis exercise in eleven villages of the pilot site, inhabitants expressed that they lacked trees essential for soil fertility rejuvenation. In future investigations, it was discovered that what was being expressed was the need for more nitrogen fixing trees, considering that ICRAF had already provided them to a neighbouring site. This pointed to the fact that prospects of identifying genuine community constraints and priorities during the short duration (often between 3 and 5 days) of PRA exercises and project identification missions using rapid assessment methods and approaches remain questionable. These relatively short periods of time tend to produce shopping lists of loosely related or even contradictory development needs and constraints. This is not an inherent limitation of participatory methods and approaches but a reflection of inexperience in the use and inadequate training in PRA. It is in connection to this that Chambers (1992) highlights the importance of both formal training and the mastery of the use of the tools and techniques of PRA. Unfortunately, the way the methods and approaches are used within conservation and development organisations in Cameroon and the Central African Republic is largely *tool- and technique-led*. Indeed, Okali et al. (1994) and Pijnenburg and Cavane (1997) observed that the PRA is being reduced to a recipe of tools and techniques which tend to falsify the diagnosis of community constraints.

Community constraints often require multi-institutional interventions

When conducting a diagnosis of community constraints, many constraints are usually identified that go beyond the

mandates of single conservation/development organisations, especially those of mainstream conservation organisations such as WWF. Considering that problems identified and prioritised during PRA exercises usually have multiple causes and are influenced by many other factors, solving them requires concerted actions by a range of conservation-development organisations. Local communities can for example, undertake actions that increase agricultural production, but if there were no access roads to facilitate the evacuation of the surplus production to the market, such efforts would have little added value. This is a simple and straightforward example. But what of problems like insect and parasite attack on crops, drying up of watercourses in the dry season, hard/ infertile soils and lack of phyto-sanitary drugs? (Table 1) All these problems can not be embraced by a single organisation let alone a mainstream conservation organisation such as WWF. Therefore, constraints identified during open-ended diagnostic exercises using PRA are more complex than are often imagined. This calls for focus in the manipulation of PRA tools and techniques and explains why mainstream conservation agencies argue to narrow the scope and domain of their interventions.

Cost of promoting community participation

Genuine community participation in conservation-development initiatives goes beyond merely using participatory tools and techniques in project design and implementation; it implies developing meaningful dialogue with grassroots partners. This requires time and skilled professionals, making it an expensive venture. Because effective community participation develops from field sites where lessons and skills can be harnessed, it can be, and usually is expensive for conservation-development organisations. The intensity of efforts required for experimentation implies that users of participatory methods and approaches need to consider limiting them to field sites. Furthermore, results are usually site-specific and therefore not necessarily and easily replicable. For these reasons, returns on investment in the use of participatory methods and approaches become discouraging to project managers who do not have any commitment to process approaches to conservation and development.

In order to reduce, and even eliminate some elements of these costs, WWF-Cameroon, through an Institutional Strengthening and Capacity Building Project, promotes networking among the individuals and organisations involved in the promotion of participatory methods and approaches. The most common networking and information exchange mechanisms include the relationship-building workshops/seminars, exchanges of related reports, exchange visits, brochures/ journals, newsletters and computer-based electronic exchanges of information. While exchange visits offer PRA network members the opportunity to learn more readily from their peers than from outside experts, relationship building workshops/seminars have been instrumental in enabling individuals and institutions concerned to work together on common concerns in structured but informal and participatory settings.

Table 1: Ranking of Priority Problems by some Communities within a WWF-Cameroon Community-based Forest Management Sites

Problem Ranking	Solidam Zone (11 villages)	Mpako Village	Tape-Etufe Village
First	Poor state of access road	Poor state of access road	Absence of pipe-borne water
Second	Insect and parasite attacks on crops	Rampant crop diseases	Rapid population growth
Third	Drying up of water courses in the dry season	Absence of community hall	Soil erosion on slopes
Fourth	Infertile soils	Lack of electricity	Pest and disease attacks on crops
Fifth	Irregular supply of phyto-sanitary drugs	Frequent trespasses into the forest by strangers	Encroachment into the forest by farmers

Social formality and selectivity of information

Improving the quality of information available to conservation-development organisations is central to the use of participatory methods and approaches. While from the point of view of the users of participatory methods and approaches, PRA exercises are informal events, in social terms, they are highly formal and public. PRA exercises, for example, are group activities, involving important external agents, (and at times *white people*) and members of local communities. These exercises are conducted in public places, such as schools, palaces and churches. They require community members to present themselves to outsiders and information is discussed publicly, recorded, preserved and often still taken away. These exercises are not similar to the everyday activities of community members, especially women. This partially explains why female attendance is consistently either absent or generally lower than that of men as summarised from the different case studies in Table 2.

In a similar dimension, the formality imposed by less experienced users of PRA gives rise to the selective presentation of information/data. An analysis of many reports of PRA application in Cameroon, shows that community perspectives on development priorities are reflections of the views of the most vocal and financially/politically powerful community members. This situation is enhanced by the tendency to impose formal structures upon PRA exercises; community interviews followed by individual and/or focused group sessions and finally restitution sessions, encourages the expression of general interests and consensus. Indeed, the inappropriate use of PRA provides avenues through which vocal community members are given the opportunity to make private interests official by putting them into PRA reports. It is in

Table 2: Attendance at PRA/RRA exercises by gender

Sites	PRA Activity/Tools	Participation by gender		Total
		Women	Men	
Ouambache ¹	Village resource/social map	–	60	60
Eligadou	Transect walk	–	05	05
Mogonie ¹	Village resource/social map	–	16	16
Hardé	Transect walk -	–	08	08
Yalla-Yalta ¹	Village resource/social map	–	40	40
	Transect walk	01	13	14
Magdémé ¹	Village resource/social map	–	32	32
	Transect walk	–	07	07
Tape Etufe ¹	Village resource/social map	30	40	70
	Transect walk	02	08	10
Mboko ^{1,2}	Village resource/social map	14	22	36
	Transect walk	01	04	05
Kpama ^{1,2}	Village resource/social map	37	30	67
	Transect walk	–	04	04
Sandimba ²	Village resource/social map	20	28	48
	Transect walk	–	04	04
Mpako ¹	Village resource/social map	02	34	36
	Transect walk	–	02	02

this context that Pretty et al. (1995) argued that the literature on PRA appears to reinforce weak and sociologically naïve notions such as the *community*. Experiences from both agricultural research and conservation interventions revealed that the interactive context of PRA often provided entry points for dialogue and helped in developing rapport with local communities. However, PRA tools and techniques did not prove helpful in identifying differences of perception among different tribal as well as different social groups; women, hunters, fulani cattle owners, intensive forest users, the Baka Pygmies, etc. Be it in on-farm research or community conservation, there was a need to constantly deploy efforts to identify distinct, and at times conflicting interests of the different tribal and/or social groups within local communities. In most of the sites where PRA exercises were conducted, public debates are not socially accepted phenomena. This required tact in the judicious selection of the tools and techniques of the social sciences and particularly of PRA. Users of PRA need to recognise and be aware of the fact that PRA exercises are social events likely to be influenced by social processes independent of the tools and techniques being manipulated.

Gender insensitivity in PRA applications

The presentation of local knowledge on maps, diagrams, tables, charts, etc. require aptitudes that appear to carve out PRA as the domain of men. During community interviews, for example, women have little knowledge of these and tend to be excluded from the mapping of the distribution of these resources. Also, many social issues of

¹ Villages in Cameroon

² Villages in the Central African Republic

cardinal concern to women (breakdown of household relationships and violence from husbands) cannot be represented on maps, diagrams or charts. On a more general note, PRA users who are not gender-sensitive apply PRA tools and techniques in ways that women's specific concerns are neither raised nor discussed. It is a usual practice to assume that once men's concerns are taken into consideration those of the women will be automatically addressed. Most women living in local communities do not often have the courage to present personal concerns in public and have to conform to the categories of concerns presented by men even when they are present in PRA exercises. The negotiation of protected area boundaries, for example, is often carried out in consultation with community-based institutions dominated by men. This highlights an important gender dimension in the use of participatory methods and approaches that needs to be recognised and targeted. Unfortunately, lack of skills in gender analysis coupled with the inappropriate use of the tools and techniques of PRA tend to reinforce the invisibility of important women/ gender differences. This suggests the importance of paying attention to the social context, timing and the appropriate use of tools and techniques of PRA in order to increase the opportunities for the participation of all social groups, particularly women, in processes of conservation-development. This includes creating contexts in which gender sensitive staff spend time with women, including home and field-based sessions (i.e. align the use of participatory methods and approaches with specific resource use). Other more informal ways of communicating knowledge, such as demonstrations or stories, are needed. Also, a wider range of sources of information on the perspectives of all social groups could be tapped including the recording of songs and proverbs.

Conclusion and policy implications

PRA and other participatory methods and approaches are being rapidly adopted by many conservation-development organisations within the Central African sub-region including Cameroon. This adoption goes along without insufficient preparation by staff to handle the challenges faced in the use of the methods and approaches. This paper was developed to draw the attention of current and potential users of PRA and other participatory methods and approaches to some of the limitations of PRA, and also to urge for caution in using participatory methods and approaches. The question of whether participatory diagnoses often reveal genuine community problems and priorities has been highlighted. Grassroots development partners tend to ask for more of the same things often presented in the form of shopping lists. Many priority problems of local communities lie beyond the scope and mandates of single conservation-development organisations, which are often limited by donors. By far, the most important issues emerging from the use of participatory methods and approaches in the process of conservation and local development include the minimal participation of women. As very few women often attend PRA sessions, their involvement is discontinuous. This raises

specific questions about the participation of all social groups whenever participatory methods and approaches are used to define conservation-development strategies for whole communities. State policies and legislation provide a framework for the promotion of participatory methods and approaches. Unfortunately, state institutions resist the full-scale adoption of the principles of participation. This obliges promoters of participatory methods and approaches to adopt more subtle attitudes in the translation of the concepts of participation into on-the-ground actions.

Acknowledgements

Many colleagues have contributed, directly and indirectly, to the ideas put together in this paper. These include Mr. Michel NDJATSANA of WWF-Cameroon, Mr. Francis TARLA of the Centre for Environment and Development (Maroua) and Mr. Peter MBILE of the International Centre for Research in Agro-forestry (ICRAF). I also thank members of the Cameroon Network of Participatory Approaches (CANPA) for their contributions in shaping my ideas on the whole question of participatory tools and techniques.

Responsibility for the views expressed in this paper rests with the author and not with WWF-Cameroon.

Bibliographies and references

Chambers, R., A. Pacey and L.A. Thrupp (eds.) (1989), *Farmer First: Farmer Innovation and Agricultural Research*. London: Intermediate Technology Publications.

Chambers, R. (1992) *Rural Appraisal: Rapid, Relaxed and Participatory*. IDS Discussion Paper No. 311.

Farrington, J. and A. Martin (1988b) *Farmer Participatory Research: a review of concepts and recent field work*, in *Agricultural Administration and Extension* 29, pp. 247-64.

Okali, C., J. Sumberg and J. Farrington (1994). *Farmer Participatory Research: Rhetoric and Reality*. London: Intermediate Technology Publications on behalf of ODI.

Piecre, C.J. and Wadley R.L. (1996). *Assessing Participation in Forest Management: Workable Methods and Unworkable Assumptions*. Working Paper No. 12 CIFOR

Pijnenburg, B. And E. Cavane (1997). *Community Participation and the Use of PRA in the LDF-Nampula Project*. Evaluation report. Maputo: FAEF, UEM.

Pimbert, M. P. and Pretty, J.N. (1995). *Parks, People and Professionals: Putting Participation into Protected Area Management*. UNRISD, IIED, and WWF-International. Discussion Paper. Geneva.

Scoones, I. And J. Thompson (eds.) (1994). *Beyond Farmer First: Rural People's Knowledge, Agricultural Research and Extension Practice*. London: Intermediate Technology Publications.

Tobisson, E. and Rudqvist A. (1991). *Popular participation in natural resource management for development*.

World Bank (1996). *Source Document on Participation*. Environment Department, Washington, DC.

The use of 'typical families' to explore livelihoods and service provision in urban informal settlements, South Africa

Lucy Stevens and Sue Case

Introduction

The South African NGO Community Agency for Social Enquiry (CASE) specialises in large-scale developmental, policy-related research. In 1997, CASE was commissioned by the Gauteng Department of Housing to monitor the broad impact of some of its housing subsidy projects over four years, and to make policy recommendations for improving delivery of the scheme. In May 2000, participatory methodologies were used in four urban informal settlements to investigate some of these issues.

There were three main objectives of this phase of research. The first was to test the use of some participatory tools in an urban setting, building on earlier work reported for example in RRA Notes Vol. 21 (1994). Two other objectives relate to the outcomes we hoped for from the research. These were: to gain a greater understanding of livelihoods and sources of vulnerability within these poor but diverse urban communities; and to gain a more in-depth understanding of how service provision had changed the lives of individuals and affected household and community relations in sometimes unexpected ways. Here we report in particular on the use of a tool to discuss 'typical families', which focused on understanding households, intra-household relations and wider social networks, and formed the basis for discussions of the impact of service delivery.

The wider research project

The South African government's housing subsidy scheme allows beneficiaries access to a R16 000 grant. This can be paid to individuals, but most commonly, as in the four case study communities chosen for this research, the subsidy is 'project-linked' and managed on a community-wide basis. It is made available in three parts providing a) security of tenure, with residents receiving the title deeds to their stand b) essential services and c) a small house, usually two-roomed.

CASE has been monitoring the impact of the subsidy scheme in four case study communities since late 1997. These are located in different parts of Gauteng Province. Two of the settlements, Johandeo and Soshanguve South Extension 4, were green-field sites, and two, Eatonside and Albertina Sisulu, were existing informal

settlements being upgraded. By May 2000, progress had been made with the first two elements of the scheme in all four communities. In Albertina, the final phase was underway, and houses had been completed for about half the households.

The project has used a variety of research methods, including a panel survey of 50 respondents in each community, repeated every 9-10 months; and monthly feed-back from two community members ('site monitors') in each settlement who write daily diaries about local issues. To build on this, it was felt that it would be appropriate to conduct an in-depth investigation of people's livelihood strategies, and the impact of service provision on them, using participatory methods.

Focus groups held in May 2000

A series of focus groups was arranged in May 2000 during which three participatory tools were used. First, the groups discussed 'typical families' in their communities, which we explain in more detail below. These 'families' formed the basis for discussions throughout the focus group. Second, 'before' and 'after' pictures were used to provoke discussion about the delivery and impact of services. Third, a ranking exercise was carried out using a series of simple line-drawing pictures showing different items that households might spend money on.

All three tools were developed in conjunction with Professor Peter Delius at the University of the Witwatersrand, and Ilse Wilson at the NGO Mvula Trust. Both have used the 'typical families' tool in rural contexts, in particular to investigate issues about sanitation, water provision and payment. The tool has also been used in discussions of HIV/AIDS and to discuss issues of sexuality with adolescents. Ilse Wilson ran a workshop at CASE to introduce the methods to researchers and to train the two people who facilitated the groups.

Participants were recruited for the focus groups by community members who were already involved in the research through acting as 'site monitors'. Nine people were recruited per group, with the groups divided on the basis of age, sex and whether the person was employed or unemployed. Three groups were run in each community, making a total of twelve.

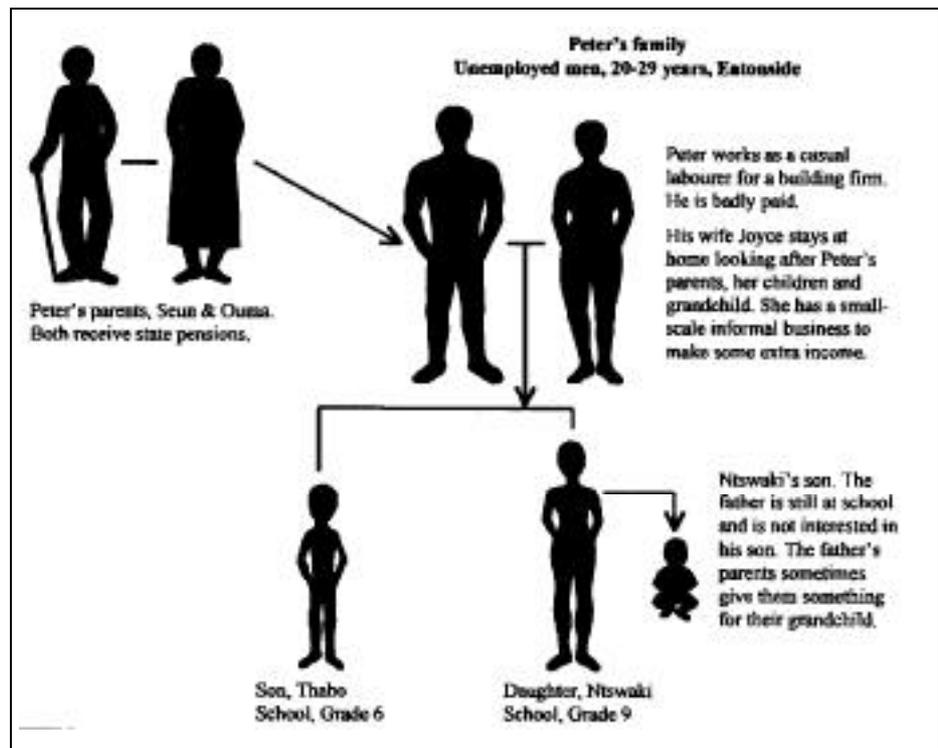
The 'typical families' tool

The 'typical families' tool has been presented in a previous paper in PLA Notes (Breslin and Delius 1997), and in the South African Participatory Poverty Assessment (May 1998), where it was reported that "to the best of our knowledge, this 'tool' is unique." (May 1998: Annex 2, XI). Since those early uses, the tool has continued to be adapted and improved. In our research, participants were given sets of silhouettes depicting a range of possible household members. The focus group was split into two sub-groups of four or five people, and each sub-group was asked to pick out a set of figures to represent a 'typical' family or household in their community. The groups were encouraged to invest emotionally in their family, giving it a family name, discussing how its members are related, and what each of them does. They discussed problems facing particular members of the household, and how the people relate to each other and their neighbours. Each sub-group reported back to the rest of the group about their 'typical family' and the other participants asked questions about it.

With 12 focus groups, 24 'typical families' were created. These varied widely, ranging from simply a mother and father with their three children, to highly complex sets of relationships involving four generations and as many as fifteen people. The families usually revolved round a central couple, although in three cases the central figure was a single mother, and in one case the mother was absent most of the time, living at her work as a domestic servant and only returning once a month. The central figure(s) always had their children living with them. Additional figures were often the husband's parents (present in 17 families), but interestingly never the mother's parents. Teenage pregnancy was widely reported, with nine families including babies who had been born to the teenage children of the central figure(s).

Livelihoods, households and social networks

Participants in the groups discussed the lives and livelihoods of their 'typical families'. A range of factors emerged often pointing to the characteristics of vulnerability and poverty which are particularly urban in nature.¹ Security of employment and the presence or not of regular wages were key factors. Having access to a variety of sources of income also made some families less



vulnerable than others. This was often related to the number of adults and pensioners in the household. Many of the 'typical families' relied heavily on the government pensions of older household members which provided a stable if meagre income. The importance of these factors can be illustrated using examples of three 'typical families', ranging from the secure, 'respectable' Gumede family, to the very poor Mbali family.

The Gumede family are relatively well off, with the income from two pensions and Mr and Mrs Gumede's fairly secure employment. They have been able to send their eldest son to study at University, and could take in the twin sons of their second son. Only 3 of the 24 families included anyone with a secure job.

Peter's family are less well off. Peter has irregular work as a labourer with a building contractor. His wife does not have a secure job, but makes a little extra money from an informal business. They are helped by the pensions of Peter's parents. Their finances were further stretched to support their daughter's child whilst she finishes school. In other similar families, the wife worked as a domestic servant, often only one or two days a week. Other women made money doing washing for families in the community, and some grew vegetables to help feed their family or to sell.

The Mbali family is the least well off. They do not live with their parents, so have no access to pension money. They support their five children from Mr Mbali's infrequent work. Participants commented that "their main worry is

¹Factors include greater commoditisation, different environmental hazards and greater social fragmentation. See for example Moser (1998) and Mitlin and Thompson (1994).

food. The children do not eat healthily." The group did not specify what kinds of work Mr Mbali could find. In some families, the husband would do occasional gardening work. One or two scavenged for tins which they could sell for recycling.

Participants also discussed intra-household relations. While the household can be a source of security because members can be involved in a range of income-generating activities, it can also be a source of acute vulnerability. A range of social problems, which put the families under great strain, were discussed in the focus groups. Teenage pregnancy featured in 9 of the 24 families, and in another two families, older women were looking after children they had given birth to as teenagers. Usually babies live with their mother and her family. People in the focus group commented that it was unusual for the Gumedede family to have taken in their son's children. Another common social problem was alcohol abuse by the father, mentioned in 7 of the families. This was often linked with unemployment. One group explained that

"When Dad was still working, life was very much all right. Communication was healthy at all times. But pressure has come to this Dad. He was retrenched and he doesn't have an income to support his family for the next ten years, so he is stressed and as a result he is drinking liquor with the aim of relieving his stress... Because of his stress his children are no longer performing well at school. When he comes back drunk, he always abuses his wife, and this affects the children."

(Working men, 25-40 years, Johandeo).

Wider social networks can be a valuable resource for poor families, but poverty has caused some families to become

more isolated from these networks. Participants discussed the ways in which their 'typical families' related to their neighbours. Families like the Gumedede or Peter's family were described as having a 'good relationship' with their neighbours. One participant described the reciprocal relationships in this way:

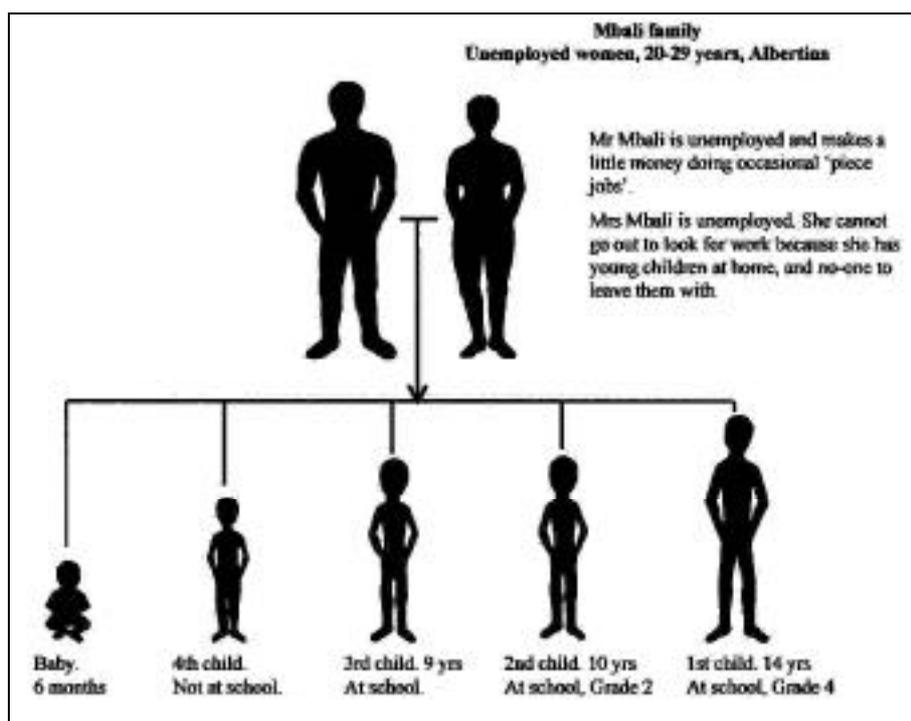
"Their relationship with their neighbours is not that bad because they are people who are able to live nicely with their neighbours. If they don't have something they are able to ask from their neighbours, and even their neighbours are able to ask something from them. They are living as a family." (Eatonside, working women, 25-40 years, 20/05/2000).

Even many of the poorer families described good relationships with their neighbours. As one group recognised, this was because many families are in the same position.

"They live well with their neighbours because their neighbours are just like them... They treat each other well but they all face similar problems. And sometimes they cannot help each other because you find that whatever the one neighbour doesn't have, the other neighbour also doesn't have." (Eatonside, unemployed men, 20-29 years, 26/05/2000).

For some, though, poverty was putting a strain on their relationships, and they were beginning to feel excluded. In one family, the grandmother was ostracised because people saw her picking through rubbish. She was also very old, but not yet sick. As a result they suspected her of practising witchcraft. In other cases, neighbours were beginning to lose patience with always being asked for help.

"The family lives well with its neighbours. It is a very poor family and the neighbours are always there to help when asked for assistance. However, people are not the same. Some other neighbours become annoyed by the continued assistance they are expected to give." (Johandeo, unemployed women, 20-29 years, 24/05/2000).



Reflections on the process

One aim of the research was to test the use of some participatory tools in an urban setting. Here we reflect on the use of the methods, concentrating on two concerns

raised by other researchers at CASE before the groups: one about the group dynamic, and the other about results.

First, concerns were raised about whether participants would engage with the participatory exercises we hoped to use. Some thought that urban people might think themselves too sophisticated to play with pictures, and were concerned that the exercises would be thought patronising. In rural settings where fieldworkers have conducted these kinds of exercises in the open, with people able to join and leave the group as they wish, they found that men often lose interest. We were also concerned that the exercises might not develop fully because the facilitators were used to having a much greater role to play in directing focus groups based simply on discussion.

These concerns were not borne out in the experience of the groups. Men contributed as willingly as women did. The only people who did not seem completely at ease with the process were the groups of pensioners. They seemed more aware and cautious of the role of the facilitator, and less able to relax in unfamiliar surroundings, so it took longer before they began to talk freely. In the other groups, the participants appeared to accept the exercises easily. Debate flowed well, requiring little interjection from the facilitator. Groups began to question each other, taking control of the discussion and allowing the facilitator to step back. People's attention was focused on the pictures and the exercise, not on each other or the facilitator. Sensitive issues such as domestic violence and alcohol abuse were frequently raised, almost as often in men's groups as in women's groups, which suggests that people felt free to talk about their own realities in a truthful, but depersonalised way.

A second set of concerns was about the kinds of results the groups would generate, and in particular whether they would be relevant to the impact of the subsidy scheme. It seemed there was a fear of handing over control of the discussion to the group participants. However, there were two main ways in which the tools generated valuable information. First, precisely because participants could take control of the discussion, they were able to raise issues of particular concern to them. For example, in groups from one site, participants continuously returned to the question of crime and inadequate policing. In another, debate focused on the lack of access to schools close by. Participants also chose to focus on particular elements of the services that had been provided by the subsidy scheme. In one community, residents had been extremely disappointed with the quality of the tarred access road that had been built. In another, there was concern about the costs being charged for installing electricity meters.

Second, the initial discussion of 'typical' families added to our understanding of the nature of poverty in these settlements and the broader problems facing their

residents. It provided a fuller context in which to assess the impact of the services installed as part of the housing subsidy scheme. For example, it highlighted the range of social and economic problems facing these communities, some of which were beyond the scope of the subsidy scheme, or even of wider government intervention, to solve. This highlighted the importance of co-ordination between different government departments, and between government and NGOs in upgrading efforts. The 'typical families' tool also encouraged participants to talk broadly about the impacts of the subsidy scheme. For example, as well as focusing on the material benefits of the scheme, people talked about issues of dignity, and the importance to them of the sense of pride developments had brought to their communities.

Lucy Stevens is a graduate research student at the School of Geography, Oxford University. Address: Jesus College, Oxford, OX1 3DW. Email: lucy.stevens@geog.ox.ac.uk.

Sue Marshall. Community Agency for Social Enquiry, PO Box 32882, Braamfontein, Johannesburg, South Africa, 2017. Email: SUE@case.org.za.

References

- Breslin, E.D., and P. Delius. 1997. *A 'Proper Household' - exploring household and community dynamics in South Africa*. PLA Notes 28:4-8.
- May, J. 1998. *Experience and perceptions of poverty in South Africa*. Durban: Data Research Africa.
- Mitlin, D., and J. Thompson. 1994. *Addressing the gaps or dispelling the myths? Participatory approaches in low-income urban communities*. RRA Notes 21:3-12.
- Moser, C.O.N. 1998. *The Asset Vulnerability Framework: Reassessing Urban Poverty Reduction Strategies*. World Development 26 (1):1-19.

Transforming participatory facilitation: Reflections from practice

Lori Hanson and Cindy Hanson

Introduction

Participatory training for personal and social transformation demands facilitation that goes beyond a focus on techniques and tools. Transformative or growth-centred approaches,¹ in particular, require that facilitators establish relationships of trust and reciprocity with participants by becoming co-learners. Co-learning implies letting go of the control of agendas and objectives as well as the pre-determined structures and roles at the root of power differences between facilitators and participants. The challenge is for participatory facilitators to reformulate their practice by making power relations transparent, by decentralising control over information and theory, and by developing a process of critical self-reflection. These changes create tensions, but the process of becoming a reflexive facilitator can lead to self-actualisation and the re-discovery of the spiritual dimensions of learning and transformation.

I. The essence: Building relationships of reciprocal trust

The majority of educators learn in an educational system dominated by didactic teaching methods that assume that the learner is an empty vessel to be filled with information and that the teacher is the transmitter of knowledge (Freire, 1970). As facilitators or educators² we often repeat this pattern and consequently participants or students become objects instead of subjects of learning (1970). Traditional teacher/student relationships are thus based on inequality and hierarchy. Participatory education or training was conceived of, in part, to challenge this relationship. But how well are we, as participatory facilitators/educators, doing in changing ourselves to meet this challenge?

Facilitators who use tools from “popular education” or who employ participatory techniques are often called

¹There are various approaches to participatory education including education for social change or conscientisation and growth-centred or transformative education. Differences in the approaches are not exclusive, but are considered to be differences of emphases (Srinivasan, 1992).

²As reflected in the literature, the term educator here is used alternately with the terms facilitator and trainer. Similarly, participatory training, participatory education or capacity-building are used interchangeably as are the terms participants and learners.

participatory facilitators. Certainly using techniques and tools that involve people in their own learning will enhance the learning process, but to facilitate transformative learning one must engage in a participatory process with more than a “bag of tricks.” It requires embarking on a personal learning journey with the courage needed for self-discovery and personal change. When the commitment to learning and self-discovery join with skill in using participatory techniques, educators can engage in reciprocal learning with students, can fuel the growth of mutual trust, and in the process can lay the foundation for work toward lasting social change.

II. The challenge: Shifting the power

Power issues and inequalities are inherent in any educational processes and are obstacles to establishing full participation and authentic relationships (Burke, *et al*, 1991). Accordingly, power issues must be explored from the outset of training programs because the inadvertent or inappropriate use of power by facilitators interferes with the creation of an atmosphere of trust and safety. As the foundation of growth-centred approaches rests on trust, an important initial task for facilitators is to shift or decentralise power away from ourselves. In various contexts where we have practised participatory facilitation or have been participants, we have noted two major inter-related issues that often arise in making that shift. The first issue emerges from the change in moving from structured education to non-structured participatory learning. The second involves the control of information and the transparency of participatory methods. Both issues can cause tensions for facilitators and participants alike, but they ultimately enable the process of change. Both also involve confusion surrounding the multiple roles and responsibilities of a facilitator-turned-participant.

A. Changing roles and structures

For the facilitator, engaging in multiple roles of facilitator/participant can be rife with discomfort. The difficulties of knowing what role to emphasise in different contexts and groups are compounded by a lack of familiarity with participatory processes. The dilemma of knowing “how much and when to lead ... is further compounded by the fact that most people come from organisations where well-defined hierarchies and centralised decision-making rather than group

leadership... are the rules rather than the exception." (Bhasin, 1991, p.13)

Universities are notable examples of such hierarchies, and developing a participatory practice within them presents many challenges, particularly because of the demands for grades, credits, time-lines, syllabuses, etc.

We have found that including the personal and emotive aspects of learning and change, or experimenting with combinations of academic theory and community practice can vastly enrich the transformative learning potential of university classes. However, critics and sceptics view such experimentation as trivial, non-academic or irrelevant thus discouraging the willingness to experiment with curriculum and educational methods.

Students and participants can also experience discomfort by the change to a less structured learning environment. Tensions are expressed as frustration, confusion, anger, or feeling overwhelmed (Hanson, 1996; Hanson, 1997). A lack of prescribed structure can be perceived as an apparent lack of leadership and direction. Participants can feel confused by a facilitator's refusal to spell out the specific objectives of learning activities so that they 'know what to look for.' Their confusions are made worse by the inevitable silence while waiting for someone to start, to point out the relevance of something said or done, or to sum up an exercise. Eventually, however, participants do find resources within themselves to make sense of the situation and to define the meaning behind the experience. Most often, as a result, the uncomfortable silences and apparent leadership vacuum turn from confusion into a vital learning experience (Box 1).

Box 1

In a workshop on participatory training techniques, I provided participants with instructions for proceeding with an exercise on observation. People participated fully in the exercise, enjoying the challenge and having fun while doing so. However, in the debriefing, a participant challenged the facilitation style, believing she would have had more to say, if I had given more information about the objectives of the exercise so the participants would "know what to look for." The comment led to a discussion about the issue of balance between too much and too little facilitator intervention in activities, and the relation of that issue to our fear of immersing ourselves in, and experiencing situations, without pre-determined structures and goals. At the end of the workshop, the participant who initiated the discussion communicated her appreciation for the facilitation approach, commenting that she had experienced an "ah-hah" about transformative learning. Theory and practice had come together for her in that moment. (Personal recollection of L Hanson from workshop at *Deepening Our Understanding and Practice*, a participatory development forum, Ottawa, August, 1999).

While in most cases these experiences lead to positive outcomes, there are times when unresolved tension leads to a retreat from the process. (Box 2).

Box 2

[An international participant] became disenchanted with the process and her own lack of clarity about it. While for the majority of participants the fog surrounding the process had lifted after the first few days, she continued to experience a lack of clarity and a resulting sense of disempowerment. For several days near the end of the program, she retreated from the process. In one evening session, she spoke of feeling alienated, and reported sensing that the facilitators had kept secrets, had not revealed needed information, and had made hidden decisions (Hanson, L., adapted from field notes, December, 1994).

This example highlights an important issue regarding the power of information, and illustrates a dilemma for facilitators. Making the participatory theories and processes understandable and transparent, while making space for learners to discover principles of transformation relevant to their own needs in order to create their own knowledge is a difficult balance to strike for facilitators.

B. Shifting the control of information

As a source of power, the exclusive control of information, whether intentional or not, is an expression of power-over others (Starhawk, 1987). If there is a perception that some individuals have information needed by others and are not sharing it, then trust cannot be established and individuals cannot feel safe. Yet it is trust in each other and in the process that assists people through unfamiliar moments. Establishing safety in a group can be assisted by being clear about power, purpose and expectations. Creating clarity around issues of information involves opening ourselves up as facilitators, making ourselves vulnerable, becoming transparent in our methods, and letting go of the process of pre-establishing objectives, timelines, program activities and agendas. The task is to be flexible rather than rigid, to explain the multiple roles we play and to clearly relate the ideas and theories behind participatory approaches. At the same time, we must emphasise the fallibility of pre-set ideas and methods, to be honest about our lack of answers, and to establish participant experience and expectations as the guiding hands of training programs.

III. Addressing the challenges

A. Helpful contexts for transformative approaches

Our practice reflects efforts both within formal educational institutions, and in 'informal settings', such as training within a larger development or community-based program. We believe personal and social transformation, to varying degrees, are possible within different contexts and within different structures.

Within *formal* institutional contexts enabling elements include:

- finding allies – supportive people willing to back you, who trust and believe in what you are doing, who are willing to hire you; or, for students or novice teachers,

who are willing to mentor or supervise you in using participatory approaches to learning and research;

- 'Selling' participatory methods and transformative approaches using the common language of academe; sound and well-documented theories from adult education and international development, citing courses, conferences, web-sites, academic departments and academic centres of excellence etc.;
- finding, maintaining and strengthening professional networks and seeking to establish formal institutional linkages;
- putting theory into practice: finding and using alternatives to the classroom setting, such as community placements, meetings and classes off campus, field trips, etc. to break down the artificial separation between classroom facilitators and participants, whereas appropriate community settings can break down the artificial separation.

Informal participatory training contexts without a rigid curriculum design, grading and timelines, help to free up space and enable creativity. However they are not completely free from constraints. Program contexts are wide and varied, but again transformation can be facilitated by using some of the following elements in a training program:

- a physical space for the program that is in a natural setting, or has access to nature;
- a live-in residence during training (rather than participants returning home at the end of the day);
- integrating theory and practice by extending beyond the training facility to communities surrounding the training setting; and
- having supportive project managers, willing to risk open-ended transformative approaches.

B. Tools for facilitator self-reflection

Changing from facilitators to co-learners requires searching for ways to express our fallibility as educators while at the same time showing our willingness and capacity for learning. We have found that sharing stories, using 'double dialogue', and keeping a learning journal are all helpful tools to promote ongoing self-reflection.

By telling stories, including stories of failure, facilitators can liberate others to tell their own stories and to recognise experience as an important source of learning.

During training sessions, establishing an ongoing dialogue between participants and facilitators regarding the role and purpose of the facilitators, that is, what they do and why, also helps build transparency into facilitation. The process involves reviewing and naming of facilitators' actions in a kind of thinking aloud or 'double dialogue'. Essentially, double dialogue ensures that reflexivity and critical self-analysis are built into the facilitator's job.

A learning journal is also a valuable tool for documenting and analysing our personal learning journey. Journals

promote reflection and enable self-validation while helping us to trace patterns of change in ourselves, and to increase clarity about our purpose and role as facilitators.

C. Opportunities for learning with colleagues

Facilitators need to share learning with their colleagues, in person and in writing. Strangely, truly participatory opportunities to do this are rare. Typically, participatory educators attend conferences and forums where they share accounts of program successes using didactic methods to extol the virtues of participatory practice.

In the competitive world of project funding, personal lessons learned (often through trial and error) in the practice of participatory facilitation are getting selectively forgotten. In order to convince funders of our legitimacy, we are reluctant to document our errors or our personal learning. In so doing, we are denying each other and ourselves a valuable learning source.

We need opportunities as learners to work together to bring about changes that will provide a more honest and open forum for growth and self-development. For us, co-facilitation has offered many opportunities for self-reflection and growth.

Many colleagues engage in reflection through informal gatherings and networking. However, a growing need is being expressed for more frequent, widespread, sponsored, and funded learning programs and workshops where educators come together *as participants* to promote sharing and learning with colleagues.

IV. Discovering spiritual dimensions of facilitation

Vulnerability, confronting risks, trust, co-operation, passion, and patience are, essentially, the spiritual dimensions of both facilitation and learning. They should be considered as important to develop as the skills and techniques for assessment, planning, implementation and evaluation (Smith in Jaques & Dillmann, (eds.), 1997, introduction). Participatory approaches that have personal and social transformation as goals of learning and development recognise the importance of spiritual dimensions and call on facilitators to work at developing these aspects. Discovering and developing the spiritual dimension will be possible when we commit to de-constructing our practice, and re-defining our relationships with learners.

Conclusion

For facilitators, engaging in self-growth and becoming a co-learner takes courage, determination, and an open mind. By shifting power away from ourselves, by making participatory theories and methods transparent, and by developing reciprocal relationships we move beyond tools

and techniques. But, our ability to transform ourselves along with others requires that we critically reflect upon the paradigms in which we practice, expose the contradictions, and seek to re-discover the spiritual dimensions of facilitation.

Lori Hanson (BA, M.Sc.) is a community health development professional. Her commitment to capacity-building through participatory development began alongside popular educators in Nicaragua where she worked for six years in community and women's health projects. In Canada, she teaches in a university department and works with NGOs in community-based research and community development.

Cindy Hanson (B.Ed., M.Ad.Ed.) is an educator with local and international experience. She has worked in gender training and Aboriginal education at grassroots and institutional levels in Canada and in teacher training and organisational development internationally.

Cindy and Lori are consultants with Community Choices Consulting based in Saskatoon, Saskatchewan.

References

- Arnold, R., Burke, B., James, C., Martin, D. & Thomas, B. *Educating for a Change*, Toronto, Between the Lines, 1991.
- Bhasin, K. 'Participatory Development Demands Participatory Training,' *Convergence*, XXIV, 4, 1991, p. 5-15.
- Freire, P. *Pedagogy of the Oppressed*. New York, Herder & Herder, 1970.
- Hanson, C. *Participatory Evaluation: A Pedagogy of Possibility*. Unpublished master's thesis. Nova Scotia, St. Francis Xavier University, 1997.
- Hanson, C. *From Doubt to Metaphor: Insights and Transformation in a Personal Learning Journey*. Unpublished learning report. Nova Scotia, St. Francis Xavier University, Sept. 1996.
- Hanson, L. *Participation for Transformation: Experiences and Effects of Participation in a Work-Study Program for Community Development and Participatory Action-Research*. Unpublished master's thesis. Alberta, University of Calgary, 1996.
- Hooks, B. *Teaching to Transgress: Education as the Practice of Freedom*. New York, Routledge, 1994.
- Jaques, L. & E. Dillman, eds. *Dinamicas Participativas DESAPER*. Calgary, University of Calgary, 1997.
- Srinivasan, L., *Options for educators: A monograph for decision makers on alternative participatory strategies*. New York, PACT/CDS Inc., 1992.
- Starhawk, *Truth or Dare: Encounters with Power, Authority, and Mystery*. New York, Harper-Collins, 1987.

Social mapping at Thenganayakanahalli village

Paranita Bhattacharjee

Introduction

Participatory research is a process of collective, community based participatory investigation, education and action for structural and personal transformation. It is a method of investigating problems involving participation of marginalised people to identify their problems, for providing solutions and taking collective action. Unlike traditional research, participatory research ensures that people being studied or the intended beneficiaries of the research have substantial control over, and participation in the research.

The fourth PRA Thematic workshop organised by PRAXIS, from 5th to 15th September 2000 in Bangalore, India carried a module on Participatory Research (PR) and Participatory Poverty Assessment (PPA). Six days of classroom training was followed by an intensive two days of fieldwork. Our team went to a village named Thenganayakanahalli, approximately 50 km. from the city of Bangalore, India.

This article focuses on the process adopted while doing social mapping and our, the trainees' learnings. Social mapping was only one of the tools used in the study.

Social mapping at Thenganayakanahalli

I started the social map in the village. We had staff from a local NGO to help us with translation and logistics. When around 10 people gathered, mostly old men, we explained to them the objective of our visit and our plans. The people selected a house that belonged to Laxman, a Gowda (upper caste) that was placed in the centre of the village. The people gathered chose to do the map in the veranda of the house, which was big and cemented. Some women community members who lived in the adjacent houses were also encouraged to participate.

We explained the purpose of our visit (being academic in nature) and requested them to draw a map of the village. It was interesting to see that a young 14-year old boy named Gopal picked up a chalk and started drawing the map. Krishna, a man from the lower caste, joined him. In the course of drawing the map, some more women also joined in and contributed. The map was corrected from time to time by the village elders.

The map was completed by drawing the roads, houses, water sources, primary, middle and secondary schools and the anganwadi. The participants were requested to help us identify the different types of houses; houses belonging to different castes groups in the village, women-headed households, resources and so on. Different coloured chalks and symbols were used to identify the different houses.

The participants then marked the poor households in the village based on their definition of poverty, *"the state when one does not have any land or ancestral property, has to go for daily wage labour and has large a family to feed"*. Based on the definition, the villagers classified the houses in the village as very poor (six households) poor (thirty-six households) and well off households. Once the map was complete, we probed various issues like the structure of the houses, caste dynamics in the village, houses that were made with government loans, water sources for homes and fields, education at school and so on. This whole process took around two hours. The copy of the social map copied by us is enclosed as figure 1.1.

The map when analysed threw some light on the structural dynamics in the village. Most of the schedule caste and women-headed households were the ones which were poor, had houses away from the main road and were poorer in quality (katcha houses). This meant that these households were landless and depended on daily wage labour. It was these houses that had poor accessibility to water, electricity and even education. The social map created a common orientation and understanding not only for us but also for the villagers. It helped the villagers and us in identifying issues that needed more reflection.

Social map of Thenganayakanahalli

Learnings

We, the trainees, found the social map an interesting and enjoyable tool to involve and engage community members in discussion about their village. We used the social map to build rapport, understand the physical structure of the village in respect to caste and gender relation, wealth/well-being ranking, and identified issues that need in-depth information to firm up the study design further. Our learnings were as follows:

Limitations

Some of the major limitations of the process and the tool were:

Time

The process needed to be rushed as we had only two days to complete the fieldwork. This limited our understanding of the map, as we did not have time to probe in details on various issues. We also realised that the people in the villages were busy with their own work and we were actually preventing them from working by demanding their time to create the social map. Hence we needed to stay longer in the village to complete the map (including drawing, probing and triangulation) at a time suitable for the people, without encroaching on their productive time. Time became a limiting factor in the participation of women too, as women in the villages not only went to the field but also had to do household work. For women, most of their free time is their rest time and we would be demanding part of that to involve women.

Social dynamics

The first activity of creating the map was done in the balcony of a house, which was in the centre of the village. However, the house belonged to an upper caste villager, in the upper caste locality, and so brought in more participation from upper caste people. Though there were few members from the schedule caste, there was no representation from the Lambani tribe. This essentially meant that we were doing the poverty assessment with upper caste people who were landholders and economically better off than the rest of the community members. This selection of place and time limited participation of poorer, landless, lower caste people who are the most important participants in a poverty assessment. The group became sensitive of this issue in the later exercises.

Language

Not knowing the local language was also a limitation. This resulted in a communication gap between the translator and us leading to miscommunication with the participants. Lots of time was spent on clarifying issues and retranslating, creating further confusion among the participants. The fact that we did not have any prior meeting with the translators (NGO workers) further complicated the situation as the translators started playing the role of participants rather than translator or facilitator. They had to be reminded from time to time about their role.

Participation of women

Gender issues can be totally neglected if women are not involved in the mapping. To involve women we need to take care of the time and place where the map was made. Even though few women were present while making the map and the facilitators were sensitive to seek their active participation, they were overruled from time to time by men and were not given space to voice their opinion or

their interest. This can lead to a very masculine map. We felt the best practical way to involve women was to do a separate map with the women and include their interests in the planning. Unfortunately, we were unable to make a map with the women separately.

Lack of complete information

Though it took a long time to make the social map, we realised it did not provide us with complete information. It did help us to identify issues but we needed to interview the map and use other tools to learn more in order to fill the gaps in information. Though social mapping is a good tool to develop a visual map of the community with people's participation, it needs to be complemented with other tools to fill the information and understanding gaps.

Impact of the process on the trainees

The trainees belonged to different countries and were from different professional backgrounds even though we were all working in the development sector. We all found that the social map created a visual representation of the village, which was understood by everyone and threw open many issues. The social map enabled the people in the villages to define their understanding of poverty and analyse the poverty status in the village. This tool can be used not only for understanding the village reality but also for planning with the people for the village. The map clearly showed us where we needed to work if we wanted to reach the poorest of the poor in the village. The process also taught us what we needed to do if we wanted to hear women's voices and seek their participation. We as trainees learnt the use of social mapping in participatory poverty assessment, skills to create a social map so as to enhance participatory involvement of people who are normally left out, like the low caste and women. However it cannot be rushed and needs to be followed by semi structured interviews and probing. The information generated by a social map needs to be triangulated by using other tools.

Acknowledgement

The fieldwork or the social map was a group effort. I acknowledge the efforts of all my group members, Andrew, Anindo, Divya, Deepta, Dipayan, Tony Ikwap, Tony, Malla, Murthy, Lincy and Rita. Dr. Amitava Mukherjee, our facilitator for the training, has been a guiding force during the fieldwork and in my efforts to write this article.

Paranita Bhattacharjee is currently working as a programme officer for ActionAid India. Paranita has six years experience of working in the field of reproductive and sexual health. Her areas of interest are working with women and adolescents and participatory processes.

Community participation in health: How does it work?

Grindl Dockery, Lyn Barry and Erica Hedley

Introduction

Reducing health inequalities and improving local people's quality of life requires public services to take a more holistic and innovative approach in health development activities and to listen to and act upon local people's voices and concerns. This research case study is based in a deprived and disadvantaged area of Liverpool covering two Census Wards, Breckfield and Everton, where the health and development problems have been exacerbated by large population losses since 1971. It describes how local people, through participatory research, were able to influence management decisions on their local health services to prevent a community health clinic being closed by the NHS Community Health Trust. Whilst the study area has a long history of activism in urban development, there had been little involvement of communities in influencing health care services. This article consists of accounts by two local women and the facilitator who worked with the community campaign group, describes the benefits and the challenges faced, and highlights some factors which influence the process and outcomes of participation.

Community profile in brief

The two census wards have a total population of 20,511. Key demographic data below indicates the scale of problems faced in the area.

Percentage	Breckfield	Everton	Liverpool	National
Residents with limiting long-term illness	18.6	23.5	17.3	12.4
Unemployment	32.3	45.1	21.6	6
Lone adult families	10.4	8.5	7.0	19
Households with no car	75.5	86.6	56.9	32

(From: Key Statistics Liverpool Wards 1991 Census: General Household Survey 1991; 1991 National Census).

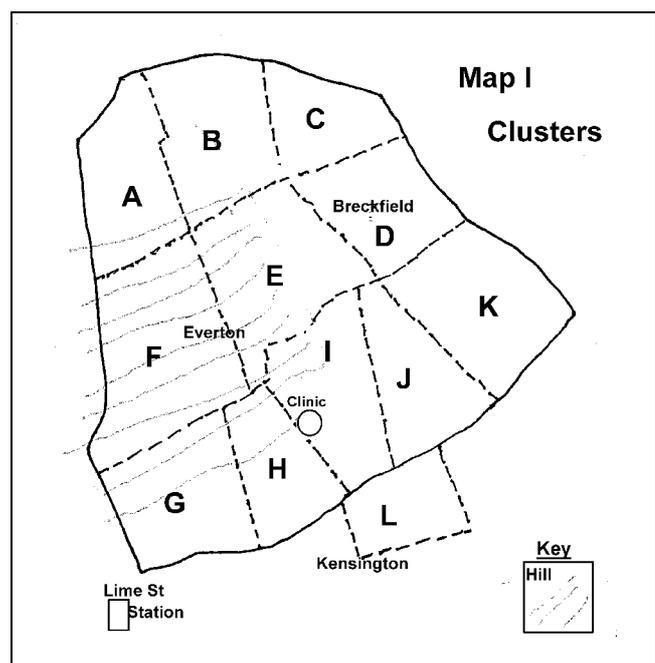
How it all began

Lyn (Local resident – Breckfield and Everton Community Health Advisory Group [BECHAG] member)

In 1994, we started a community campaign group, made up of 2 different communities, to keep our local community health clinic open where management decisions to close it down were being made behind closed doors.

Many local people thought the clinic was already closed so stopped going there. Those who went found that clinics had been moved to different days and times. Many local people do not have phones and only by walking there could they find out, so attendance numbers dropped, which the Trust used as an excuse to close it down. Local people felt that this was about saving money instead of providing a better health service for the area, which already had less GPs than other communities and some of the worst health problems in the city.

Our campaign group had open meetings with the Liverpool Health Authority, the Community Health Trust and local people to discuss what should happen. The group pushed for research to be done on the clinic and primary care services in the area before the final decision



was made. The Health Authority agreed to let us do the research ourselves and provided some funding with the Liverpool Community Voluntary Services. We then found and appointed an independent and sympathetic researcher to help us.

The research

Training for the research gave us a lot of confidence and time to get to know and trust each other, so we could work together. The research had to be done properly, so we practised the questionnaire interviews in our training sessions before we went out into the community.

Over three weeks, our survey team walked around the whole area, sometimes in strong winds and rain. We discovered a lot about our own community we didn't know before. We found many local people had no one to talk to or care for them, and many of them wanted us to stay and talk. We also kept telling people to go and use the clinic to help stop it closing.

I joined the campaign group because it made me angry that managers were making decisions on my behalf without discussing it. They were deciding for me what services I could have and who would provide them. It's easier for health professionals to reach the hierarchy in their system than it is for us local people, but it is also hard for professionals to meet and understand us at our level.

Attitudes and language or professional words keep us out of the system. Doors can be opened or closed by the

language people use. Luckily we had two sympathetic senior managers in the Health Authority (HA) who supported us and came to our steering group meetings, where they also shared some of their problems which made us realise we were not the only ones with problems. We built up a good relationship with these managers, which remains true today.

What did I think was good about this project?

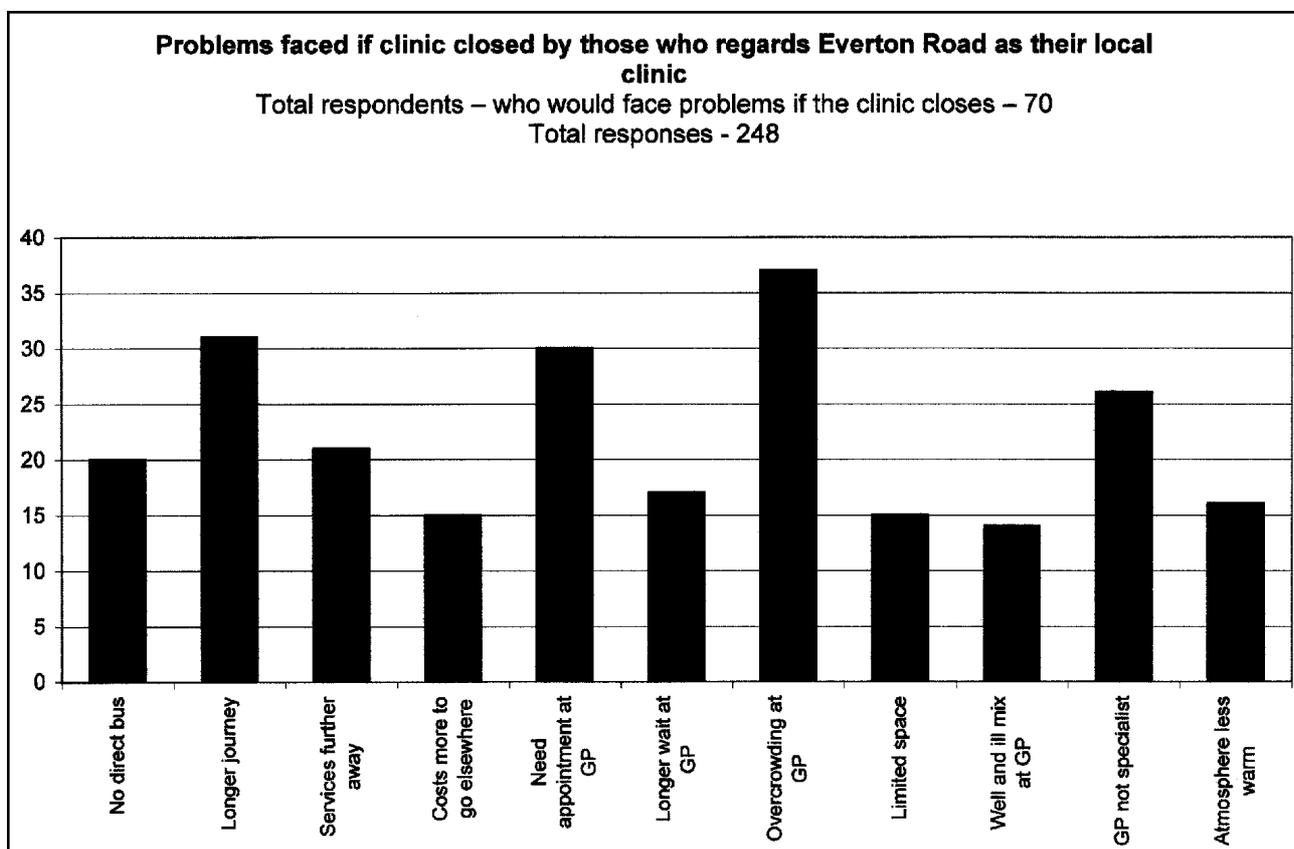
The open, honest approach in the training and the survey helped us to build up trust, and as a team, we were successful in saving the clinic and getting more GPs into the area too. We felt we owned the project and that we were all equals, but this took time and commitment to achieve! Through being involved in the research, we have had the confidence to do things which we would not have done before, like speaking at national and international conferences and teaching international Masters students at the Tropical School of Medicine.

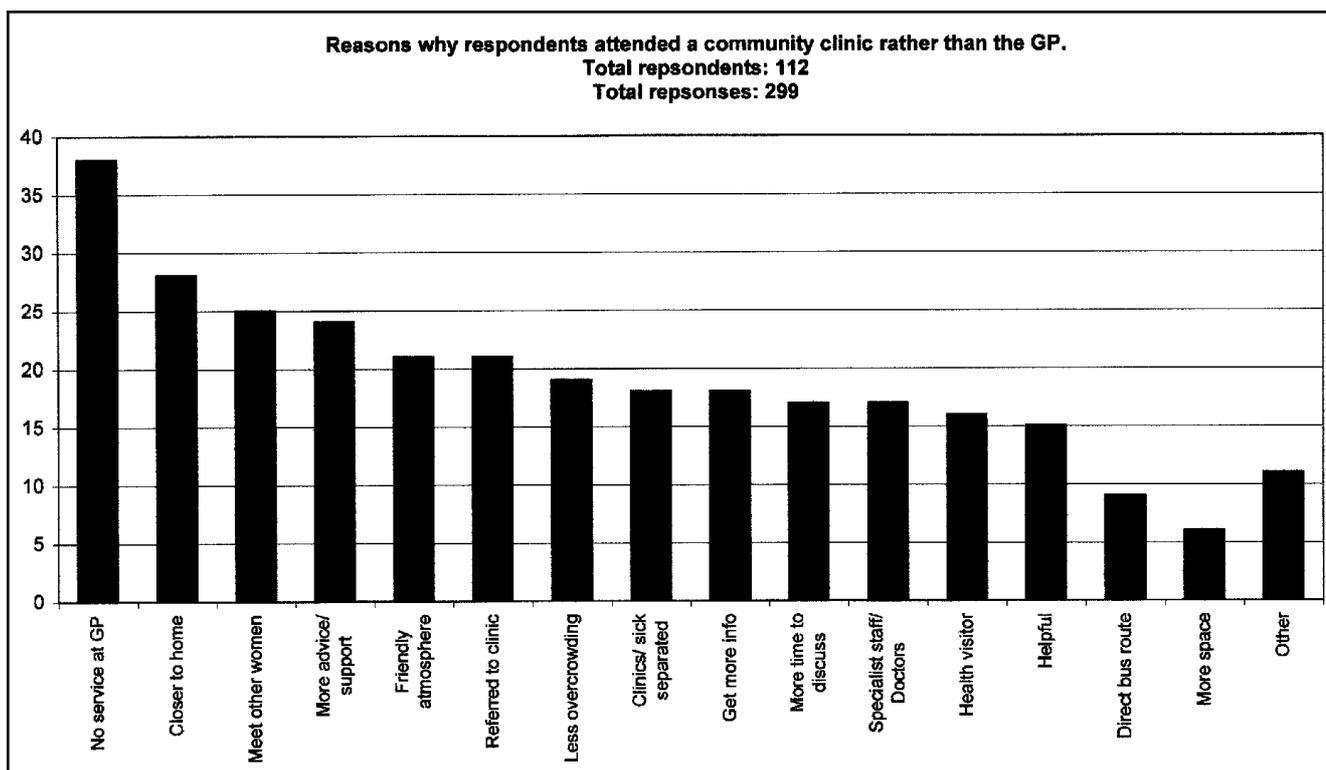
Instead of quiet whispers in the community, we built up our voices to loud-hailer levels, as together we weren't going to be moved from achieving our goals and we did it!

Methodology

Grindl (Research Facilitator and BECHAG Member)

Conventional research is based on values, assumptions and methodologies, which generate an imbalance of





power between the researcher and the researched. Participatory approaches may be seen as political, when based on a commitment to align oneself with disadvantaged or marginalised communities. Facilitators must address the way community participation challenges the *status quo*. Developing a participatory process is not simply to collect useful research data, but further to enable the individual and collective empowerment of those participating.

The first challenge is not to take over, but to share and enable all participants to participate in the planning, conduct and outputs of the research. Participants expect the facilitator to bring greater independence and needed skills to the process, and a commitment to ensure local people's voices are heard. However, these expectations can sometimes be exploited by outsiders fulfilling their own agendas.

Local people need to ask specific questions of the facilitator/trainer before activities begin: Who will be making the decisions? What experience/skills does the researcher have? How will they ensure that local people are able to participate in the process? Who will own/control the process and its outcome e.g. reports and academic/professional papers?

Not all communities have the confidence or informed experience to identify the type of skills and commitments they require from professional researchers. The key factor in participatory approaches is that no one person has

ownership or control of the research process. Rather, it is a shared experience based on mutual respect for each other's different skills, experiences and knowledge. The campaign group approached the research with a firm commitment to quality – aware that this would be necessary to convince the Health Authority – but they were also concerned about retaining ownership of the process and its outcomes for the whole community.

The process

A very practical planning framework was applied using flip charts pinned up on the wall (see Fig. 1) to facilitate everyone's participation. This enabled people to see and contribute to the progress of the research planning and share their knowledge and experience in developing the focus, the important issues to be addressed and the conduct of the research. Specific tasks were delegated between participants i.e. collecting further secondary data to better inform the final research objectives.

I conducted the qualitative semi-structured interviews after the initial planning was completed and research questions agreed. The local research steering group organised and found initial interviewees and others were identified through them. The preliminary report was edited by the whole team, who used this to develop, field test and edit a quantitative questionnaire. The survey purposely identified those who most used primary care services – those over 60 years, the main carers of children, those with disability/chronic illness – in randomly chosen streets (50) and households (6/street).

Because of limited time, I analysed and prepared a written report on the questionnaire data (300 questionnaires – 73.3% response rate). The final report was edited and commented on by the whole campaign group and included the qualitative and quantitative findings, together with a series of broad recommendations identified by all participants in the research. The team made presentations of the findings to the wider community in public meetings. They later planned, then presented the report's findings and recommendations to the Health Authority Board, which is unusual as communities rarely have such access at this level. Both directly and indirectly, nearly 400 people locally were involved in this research project.

Interim events

During the research, several GPs retired leaving even fewer practitioners in the research area. The HA initiated the appointment of new GPs, but this time, consulted community members via the campaign group. Now better informed and with increased confidence, the research team members prepared and gave presentations, over a lunch of butties at their own centre, to a group of potential GP candidates on the type of attributes they wanted from a new practitioner in their community. Asked if the team would like to appoint a member to sit in on the GP interviews, they decided that the Community Health Council (CHC) representative would attend so as to avoid wider community criticism of the campaign group if the new practitioner turned out to be unacceptable or did not meet their expectations.

Often managers and practitioners see the appointment or invitation of individual community members to sit on various committees as an appropriate approach to community involvement. This is often not a positive experience. Unless the community member is confident, well informed and able to communicate in a language that has other committee members listening, decisions are often rubber stamped and made without that individual's full participation, leading to criticism and resistance from within their own community. There is also the fear that the local representative may be promoting their own agenda and ignoring the wishes of the wider community. In this type of situation, health professionals are often naïve, and lack the experience and skills required enabling local people to participate. Thus, unintentionally, it exacerbates divisions within communities, and excludes local people from exercising power to influence decisions that affect their health and quality of life.

Sustainability in community participation

The greater challenge in health is sustaining local involvement in the longer term. Recent government policy has placed great emphasis on **partnerships** between local communities and government, but this often fails to acknowledge the main factors that enable or disable people from making the concept a reality. In this study, there was some degree of partnership achieved, but

Figure 1: Planning framework for research and development projects



Using this framework provides a reminder of the essential steps that need to be taken in the planning process, assists in developing a record of the information being used, enables and stimulates ongoing discussion on the various activities or information being acted on until there is a consensus in the team that the final plan is acceptable. Each step or category aids planners to identify information for the next step, moving from the top of the column (Policy – if that is the starting point or focus for the research) working towards the end of the column (Notes/organisation). Movement between Secondary Data and Objectives usually takes a *to and fro* process before refinement of final research objectives are agreed.

Adapted by G Dockery & K deKoning1994

ultimately much still needs to be changed if the term is to be meaningful and credible. Listed below are the main factors or concepts that, in our experience, are most influential in building partnerships.

Partnership implies and suggests equality between partners through:

- shared visions
- joint decision-making
- negotiated priorities
- shared duties/responsibilities
- mutual respect/trust of – different knowledges,
- skills/abilities, needs, constraints
- **real power sharing – this is the tricky one!**

Reflections on the outcome

Erica (Local resident – BECHAG member)

Six years after the formation of BECHAG, our experiences indicate some of the serious problems that community projects face in developing partnerships and achieving sustainability. Because of its past history of success, BECHAG is seen as a model of good practice in community involvement. We get asked to do a number of presentations in Liverpool, across the country and abroad. This is hard work, though the results can be rewarding. However, good practice is being allowed to die because of feelings of defeat, disillusionment, demoralisation and exhaustion.

The loss of the Save the Children Fund community development worker, after the formation of BECHAG,

who had provided most of the administrative support throughout the whole process, meant that the time consuming occupation of trying to access extra resources for the long term development of local health initiatives fell to a few volunteers. With less demand for 'hands on' community work, members began to leave the group.

The result is that fewer people are doing more of the work. The reality is that an experienced skilled worker takes a fraction of the time it takes a volunteer who lacks skills in typewriting, computing, written English, bookkeeping or accounting. We need to get local residents involved using the skills they have, like networking in, and finding the real needs of the community, training them to be community advocates and empowering them with confidence to fight for a quality service. With very few professional volunteers in the community, we need paid trained people to do the administrative work that includes researching and applying for funding, servicing meetings and so on, giving local people the time and support to recruit others to campaign for local needs and issues. At present there is neither time nor energy for this. **If local and central government want to take the local voice seriously, they need to seriously support that voice.**

Positive outcomes

We cannot relate all the successes and events that have occurred in this study, but important developments took place at both individual and collective levels. For the participants it was at times challenging and frightening. Their success gave a huge boost to participants' self-esteem and confidence, captured people's interest in health matters and inspired them to continue, leading to the formation of BECHAG, with ongoing links and activities in the local community health clinic, and continued involvement in other community development initiatives.

We have won regional and national awards for health development initiatives and community-led activities. Many participants have gone on to further personal development paths including access education courses, employment and the development of crucial skills that have enabled them to become important assets within their own communities in the daily struggle for a better quality of life. Outsiders played an important supporting role, but crucially everyone worked together in developing relationships that were built on trust. The challenge now is to achieve greater equality in decision-making on issues that most affect community health and quality of life.

Concluding comments

Many of the points raised here about sustainability, support from the statutory sector and community volunteering in health, reflect the experience of many communities from different contexts. The political or professional rhetoric on partnerships usually ignores the inequality that exists between the different parties and their ability to equally access resources and exercise power. It is often left to local people to initiate meaningful working relationships with the statutory sector or funding agencies and this dramatically increases the workload and pressure on communities who are already stressed by poverty. Those most affected by this are usually women, who are the main carers in families and volunteers in health and social movements, but are least able to exercise power in wider society and at policy and planning levels within government.

Innovative approaches that enable communities to have meaningful participation in health and that bring professional health workers closer to the community will generate inevitable tensions between professional duties or demands and those of the community. These can be limited by all parties being realistic in their expectations and building relationships that are based on mutual respect. There is also a need for professional workers to be re-trained or develop further those skills that enable them to work with communities in a participatory way. Despite positive outcomes in this case study, the longer-term process of sustainable development continues to raise important questions for all those committed to reducing health inequalities.

There is no magic toolkit in participatory approaches, but we believe that anything is possible when positive relationships are based on equality and when both visions and power are shared!

Acknowledgements

We want to thank all the members of our local organisation BECHAG and those others within the HA and the CHC who have continued to maintain an interest and give active support to our ongoing endeavours.

We would also like to thank the co-authors for the use of material from the paper prepared for the WHO international conference held in Thailand in 1999, (N Boaden, G Dockery, A Mackenzie, 1999 'Towards Unity for Health – challenges and opportunities for partnership in health development'), where local women in this project made presentations to the attending audience.

Abbreviations

HA -	Health Authority
NHS -	National Health Service
CHC -	Community Health Council
GP -	General Practitioner (Dr)
CAB -	Citizens Advice Bureau

References

For further information, and for discussion on participatory approaches in health research in the UK, from a theoretical and practical perspective, see listed references below:

City of Liverpool (1993) *Key Statistics Liverpool Wards 1971/1/91*, Liverpool: CPU, City of Liverpool.

Cornwall, A. and Jewkes, R. (1995) 'What is Participatory Research?' *Social Science and Medicine*, 41,12: 1667-1676.

De Koning, K. and Martin, M. (Eds) (1996) *Participatory Research in Health: Issues and experiences*, London: Zed Books

Dockery, G. (2000) 'Participatory research: whose roles, whose responsibilities?' in Truman, C, Humphries, B. and Mertens, D. (Eds) (2000) *Research and Inequality*, pp. 95-110, London: UCL Press

Dockery, G. (1996) 'Rhetoric or reality? Participatory research in the National Health Service, UK', in de Koning K. and Martin, M. (Eds.) *Participatory Research in Health: Issues and Experiences*, pp.164-176, London: Zed Books Ltd.

Everton Road Clinic Campaign and Research Group, and Dockery, G. (1997) *Final Research Report: Community Led Research on GP and Clinic Services in the Everton/Breckfield Areas of Liverpool*, Liverpool: BECHAG.

Gatenby, B. and Humphries, M. (2000) 'Feminist participatory action research' in *Women's Studies International Forum* 23,1: 89-105.

Humphries, B. (1996) 'Contradictions in the Culture of Empowerment' in Humphries, B. (Ed.) *Critical Perspectives on Empowerment*, pp.1-16, Birmingham: Venture Press Ltd.

NHS Management Executive (1991) *Local Voices: The Views of Local People in Purchasing for Health*.

OPCS (1991) *General Household Survey*, London: HMSO.

Stacey, M. (1994) 'The power of lay knowledge: A personal view' in Popay, J. and Williams, G. (Eds.) *Researching the People's Health*, pp. 85-98, London: Routledge.

Truman C, Humphries B & Mertens, D. (Eds) (2000) *Research and Inequality*, London: UCL Press

'Washirika': Raising awareness without mass media

10

Paul Vare, Living Earth Foundation

Introduction

Living Earth Foundation (LEF) is an international NGO that works with people to resolve environmental issues that concern them. LEF's focus is on education and participation so the inherent contradiction of using one-way (usually top-down) mass media in a human development context has been a growing concern among programme staff.

This paper outlines the development of a people-centred approach to raising awareness, i.e. without a reliance on one-way communication media. This includes a detailed account of the process that was followed by Living Earth Foundation in applying the approach on a project in Tanzania.

Learning to behave

A comparative study into sources of learning and behavioural influences among adults in Uganda and UK (Vare 1996) highlights the importance of dialogue in the learning process; the influence of mass media is surprisingly hard to pin down even in the UK. Passive learners cannot interrogate the mass media and so the effect of these media is usually limited to raising awareness. The closer the source of learning is to the learner, the more significant it would appear to be; known and trusted people are therefore a critically important ingredient in determining our own knowledge and attitudes through life.

Field neighbours in Ghana: people-based 'mass' communication around protected areas

The principle that people will learn from those they know and trust informed the development of an education programme for the EC-funded *Protected Areas Development Programme* (PADP) in the Western Region of Ghana (Vare 1998).

This programme includes a cadre of volunteers whose task it is to interact with their neighbours along the forest boundary. Each volunteer visits a limited number of homes stopping at the point where s/he is no longer very familiar with the place and or people, i.e. when s/he is no longer recognised as a neighbour.

These *field neighbours* are selected in pairs (one female, one male) by their community. The only 'qualifications' for volunteers is that they are widely recognised as having integrity and have a genuine willingness to take part in the programme.

Field neighbours walk from household to household arranging a time to meet or hold discussions on the spot. They collect data on forest use, development priorities and opinions on the emerging programmes being negotiated with PADP. 'Data' is collected in narrative form and is heard and written down at pre-determined intervals by a community liaison officer from the Wildlife Department. This ensures that the volunteer role can be offered to individuals based upon their personal qualities rather than their level of literacy.

By engaging people in conversation, questions are raised and current issues discussed. Volunteers receive training so that they can supply information but only in answer to people's questions. People listen and learn when their concerns and questions are being addressed – simply giving pre-prepared speeches might be termed teaching but it does not guarantee learning. This approach also reduces the temptation to proselytise, in an unconnected manner, about the less tangible (traditionally Northern) values attributed to wildlife although these issues are raised through discussion.

The field walker programme has made a significant contribution in the development of Community Resource Management Areas, an entirely new legal entity in Ghana. This has involved transferring resource use rights and responsibilities from the Wildlife Department to local community structures, a process that is fraught with potential misunderstandings and tension on both sides. The frank and informal nature of the field walkers' meetings with their community liaison officers helped to overcome suspicions, clarify and refine concepts and build mutual trust.

Tanzania: Project background

The *Rufiji Environmental Management Project* (REMP) is run by the District Government with technical assistance from IUCN – The World Conservation Union. Problems of unsustainable levels of resource use are recognised locally

in Rufiji District but local people feel powerless to change this pattern. The issue is not simply a lack of awareness of wildlife values but the empowerment of local resource users so that they can play a genuine part in taking decisions that affect them.

The situation is being addressed by the REMP awareness programme which has been designed by Living Earth Foundation who provided a four-person team (from UK and Living Earth Uganda) during two inputs in September and November 2000 (Budden *et. al.* 2000).

The evolution of 'Washirika'

REMP has worked to devolve environmental decision-making authority by helping four pilot villages to form village environment committees; Living Earth has since tried to engage all local resource users in this decision-making process. This has been achieved through a programme of learning through dialogue.

Like the field neighbour programme in Ghana, volunteers are sought to develop and promote dialogue with their neighbours through listening and questioning. Unlike the Ghanaian programme, the volunteer listeners are not selected primarily on a geographical basis. Establishing the programme here involves a more intensive programme of participatory research. This avoids the danger of imposing an externally designed programme. Trust is identified as the vital ingredient behind successful dialogue – it is critical therefore for any external facilitators to take care to implement a transparent process of selection and training. In the pilot programme established by the Living Earth team, villagers use the Swahili word *washirika* to describe the people they trust and with whom they co-operate.

The washirika programme is the learning link from the community to the District Government via the village environment committee and REMP. It is designed to bring all local people into the decision-making system, to elicit their ideas and their support in developing resource management patterns that will benefit both wildlife and local livelihoods. This is also a way of encouraging people's critique of higher level decisions which are traditionally accepted as 'givens' in Tanzania's hierarchical political system.

The role of the volunteer listeners

Volunteer listeners spend a few hours a week talking with and listening to ten close neighbours and friends on natural resource/environmental issues. They internalise and remember the key issues, concerns, questions and ideas for solutions. A weekly meeting takes place with all the volunteers in the hamlet to discuss their dialogue of the previous week. The key issues are then summarised and recorded. No allowances are paid for this work; REMP provides lunch for those attending training sessions.

The role of the volunteers' representatives

The volunteers select from their midst two representatives (one male, one female) to link with the village environment committee. The representatives have the tasks of co-ordinating the weekly meetings, recording the summary information, ensuring that all members of the hamlet have access to a volunteer and requesting groups to replace volunteers who are no longer active. Again, no allowances are paid for this.

When they attend the village environment committee meetings, the representatives inform the committee of major issues and possible solutions at the grass roots level. They should also provide information on the impact of the village environment action plan. Their monthly report is forwarded to the Village Government for onward transmission to the District Government and REMP.

The process of establishing the programme

REMP is a Tanzania Government/IUCN programme so the Living Earth team worked alongside local government staff during this process. Staff members were selected for their facilitation skills rather than their technical background in natural resource management or education.

Task 1: Semi-structured interviews

A number of interviews are held with residents in order to gain an understanding of the hamlet, its current sources of information/learning and the important social groups. Interviews include a discussion on what people understand by environment and natural resources, where they gather information and who they discuss issues with and where.

Task 2: Trust mapping

This is a novel adaptation of village mapping, developed by the Living Earth team, to find out how people in the community relate to each other in terms of trusted 'neighbours' and to identify social groupings in their terms. The activity includes the following steps:

Step 1: Request that the community meet to map their hamlet.

Step 2: Discuss and decide on which social groupings should meet separately (recommend that at least men and women meet separately).

Step 3: Explain the purpose of the exercise to the sub-group.

Step 4: Ask one person to start by drawing on the ground the most important landmarks in the hamlet and to mark their house, where they work, where they get information, where they meet and discuss.

Step 5: Use probing questions while they are drawing and try to establish dialogue. Ask: Why? With whom? What do you learn there? etc.

Step 6: Allow others to correct or add to the map.

Step 7: Pass the stick to the next group member to add their house, place of work, people they visit, etc. Continue until all have participated.

Step 8: When the map is finished, request someone copy the map and keep the copy with a trusted person in the hamlet.

Step 9: Facilitators should analyse the outcomes and list the main sources of information, the various social groups and the places where people meet to discuss (formally and especially informally).

Step 10: Arrange to meet again soon in peer groups – see below.

Task 3: Peer group meetings

These meetings bring together people who consider themselves to be in the same social or peer group. (NB in the pilot activity, residents chose old men, young men and women although young women were added after the first trial run).

The groups discuss and agree on the number of listeners required to enable all group members to be able to meet with a volunteer listener (the facilitator suggested no more than ten people per listener). They also agree criteria for the selection of listeners.

Typical outcomes in terms of criteria have included:

- Trustworthiness
 - One who attends meetings
 - One who is not lazy
 - One who can follow-up
 - Has experience or expertise in the activity of the interest group s/he is representing
 - Can communicate well with others
 - Can accommodate others and has no temper
 - One who likes sharing information with others
- Specific geographical or occupational criteria are also important.

The actual volunteers are not selected at this meeting although a date is set for an introductory training session for all of the volunteers.

Task 4: Peer groups select washirika in the absence of external facilitators

Task 5: Volunteer training

The roles and responsibilities of volunteers are explained at this meeting which lasts for a full day. Specific activities include:

- Discussion on what is understood by the environment and natural resources
- Questioning and listening exercises
- Role play on work of volunteers
- Transect walk through village and hinterland, asking volunteers to point out natural resource issues and how they have changed over time

Task 6: Review of first week's dialogue – selection of representatives

After one week of work, the volunteers come together to discuss any problems or issues arising from the method. This is an early opportunity to refine the process for this particular community. The two representatives who will provide the link with the village environment committee are also chosen at this time.

Monitoring the programme

The facilitator from the District Government keeps track of timetables and joins volunteers on occasions to see how they are getting on. At these meetings volunteers are expected to report any difficulties they experience, information which can be used to further refine this and subsequent programmes.

Next steps

Having initiated the activity, the next task is to extend the programme hamlet by hamlet, beginning with the REMP pilot villages. The initiation of a *washirika* programme should be used as a means to reinvigorate or mobilise village environment committees and ensure that they have a truly representative membership. The programme should then extend to neighbouring resource users in adjacent villages.

One critical issue which may face similar programmes in other contexts is that local governments (the implementing authority in this case) are often implicated in the promotion, legally or otherwise, of unsustainable resource use. As a result there is often mistrust between local people and their civil servants. In the case of REMP this issue might be relieved, if not resolved, by engaging an NGO as a third party or 'honest broker' to facilitate the programme on behalf of the District Government and rural communities.

Lessons learned

The process for the selection of trusted volunteers is critical; the key to success lies in the way that the programme has been refined and modified by local people rather than being introduced as a pre-determined system.

In general the washirika programme needs:

- ample time for implementation and prior mobilisation of the community before the trust mapping exercise
- careful follow-up to ensure that (a) volunteers have live issues for discussion and (b) relevant extension staff respond to appropriate calls for technical assistance
- the village environment committees require training in how to handle the information generated by the washirika programme so that they can respond promptly themselves and make the most of this activity, otherwise there is a danger that some committee members will see this as undermining their own decision-making powers

More specifically on trust mapping, the facilitators noted that:

- like any practical exercise, it relaxes the participants and allows them to reflect on current practice and discuss issues freely
- such discussions provide information which will be of importance during the implementation of the washirika programme – one should never stop listening
- it reveals gender lines which might otherwise be ignored, e.g. the mapping exercises showed that women's learning sources and trusted people are quite different from those of men (women cited churches, hospital, market, garden and friends who are highly trusted whereas men focused on meeting places like bars, hotels and their friends who are mostly linked to shared economic activities)
- the mapping indicates common learning sources which the facilitator can pick out as key areas or persons for subsequent awareness raising

Concluding comment

As a component of an awareness-raising campaign this is a markedly different approach to that adopted by many environmental conservation programmes which often stop at the village level and tend to be dominated by one-way modes of communication *from* 'the authority' to 'the community'. The washirika programme represents the point at which environmental education and stakeholder dialogue converge. This is a novel approach that will require sensitivity and shared experience to develop further.

References

Budden K, Kamau C, Okuta S and Vare P (2000) *Awareness Programme Design, Final Report*. Rufiji Environmental Management Project, Utete/IUCN, Nairobi

Vare P (1998) *Conservation Education Programme for the Protected Areas Development Programme, Western Region Ghana*. ULG Consultants, Warwick

Vare P (1996) *Serendipity or Schooling?: identifying the process of environmental learning* M.Phil thesis, School of Education, Bristol.

Website: www.livingearth.org.uk

Acknowledgement

The author would like to thank Charity Kamau and Keith Budden whose work has contributed a great deal to the writing of this article.

Participatory as can be...

A case study of an evaluation

11

Joanne Harnmeijer

Introduction

This paper describes a project evaluation in which the external evaluator's main role was to help identify the project's information gaps and to propose an evaluation methodology that matched the data requirements. The design that resulted exploited the participatory approaches the project had used, and yet itself opted for questionnaires. What then was the participatory dimension of this review?¹

Design matters

The case at hand is that of a project that took its main target group through a participatory process, as was described in PLA Notes 37 (Kaim and Ndlovu, 2000). The project's evaluation used this as an opportunity for a shortcut to the data it needed. The author aims to demonstrate, firstly, how a project's information needs may dictate an evaluation's terms of reference and consequently, its ways of collecting the data. The paper's second argument is interwoven with the first one: participation ultimately is the result of people's readiness to engage on a certain topic, at a certain point in time, in a certain forum. It thus depends, among other things, on participants' interests, the time they have available, and what they stand to gain, or lose, from participating at that point in time. This, it is argued, is the opportunity as well as the limitation for a participatory design. Taking the two arguments together: in highly participatory projects conventional evaluation instruments may turn out to be the most appropriate.

The Auntie Stella Project

The Adolescent Reproductive Health Education Project (ARHEP) has been working with secondary school students since the beginning of 1997. The project arose out of research undertaken by the Training and Research Support Centre (TARSC), on reproductive health rights in Zimbabwe. Early in 1998 ARHEP produced a reproductive health education pack named 'Auntie Stella'. This pack is modelled on the 'agony aunt' concept and is based on the stories, experiences and expressed needs of adolescents in the four secondary schools where ARHEP did its research. 'Auntie Stella' consists of 33 question and answer cards, the questions supposedly written by

adolescents seeking information and/or advice on a variety of topics. The answer cards give Auntie Stella's replies, the content part of which has been checked by a number of medical and other experts.

The topics covered include normal reproductive development, social and economic pressures to have sex, gender roles, forced sex, communication and relationships with parents, depression, wanted and unwanted pregnancy, infertility, cervical cancer and HIV/AIDS. The cards are discussed in small groups, with minimal intervention by the teacher. The methodology is based on research findings that adolescents are most at ease when talking to peers of the same sex, but feel inhibited in full-class discussions and in discussions with pupils of the opposite sex and especially in the presence of the teacher (Kaim and Ndlovu, 2000).

Since June 1998 the project worked in co-operation with Zimbabwe's Ministry of Education, Sport and Culture on a two year programme. The first year of this programme field-tested the Auntie Stella pack in eight pilot schools to assess the pack and the way it was used in the classroom, plus the kind of inputs needed for such a programme to be effective. The pilot thus included a cross-section of rural and peri-urban secondary schools, boarding and day scholars, farm and mine workers' children. All eight schools are co-educational institutions.

In each of the eight schools the pilot study addressed one form three class, with students aged 15 years and above. The lessons were part of the Guidance and Counselling classes which schools are required to provide on a weekly basis. The Project Officer monitored the teachers' use of the pack and ran several PRA type internal evaluations with all pilot classes. Students had been keen to participate, and had given very positive feedback on what they felt they had gained. At the time of the evaluation, one year after the introduction of Auntie Stella, and about two months after the internal evaluations, the pilot class students were preparing for their O level exams before leaving school.

¹ The article makes no distinction between 'review' and 'evaluation'.

The evaluation

Agreeing on terms of reference:

The terms were drafted by the Project Manager and went through several discussion rounds with the evaluator. The evaluator would concentrate on the review's design; project staff would assist in data collection, and, if necessary, in data analysis.

Demonstrating effect

The project had been using intensive, participatory techniques soliciting the students to define their own indicators of success in dealing with the reproductive health challenges of adolescence (Kaim and Ndlovu, 2000). The Auntie Stella pack clearly filled a felt need and yet it was not possible, based on available information, to be precise on the extent of the Auntie Stella pack's success, nor on its shortcomings. Getting accessible quantitative data on processes and results would be the evaluation's priority.

A logical framework as an aide-memoire

The easiest way to capture the different levels at which the project could have effected change was to differentiate between input; process and activities; output; outcome, impact and replication as in a logical framework. A one-page adaptation of the logical framework matrix was drawn to give an overview of potential review issues, and of corresponding information requirements. Table 1 below lists a selection of the review items that were suggested.

The design thus used the logframe's ability to summarise many ideas and their interrelations and make them visually accessible (Des Gasper, 1997). The matrix served as a probe; it did not aim to impose a project logic.

Questionnaires for speed and privacy

Project staff liked the idea of using a questionnaire based on the cells in the log frame's matrix, for both teachers and students. The questionnaires were edited by project staff and then tried out in one school. Teachers and students filled out their questionnaires in the presence of the evaluator or the Project Officer, during school hours. With the students, the questionnaire, which was anonymous, was first read together, and explained in vernacular, and opportunity given for clarifications. With the teachers there was extensive discussion afterwards. In each school this process took less than two hours. Four

Table 1: Selected examples of indications and indicators suggested to guide Project review, presented in the style of a Logical Framework

NB: All of these need a comparison with the situation before introduction of the Auntie Stella pack, or with existing instruments of adolescent reproductive health education.

Input	<ul style="list-style-type: none"> ● Aunt Stella packs required per school per unit of time ● cost per distributed pack ● time it takes for teachers to learn how to use the pack.
Process and Activities	<ul style="list-style-type: none"> ● complementarity (define) with existing reproductive health education classes and methods ● 'student participation' compared to former or other reproductive health education classes ● evidence of discussion on the pack's lessons with pupils in non-pilot classes; siblings; friends; parents..
Output	<ul style="list-style-type: none"> ● Proportion of male and female students in a) pilot classes; b) in school who completed the Auntie Stella course.
Outcome	(students; content): <ul style="list-style-type: none"> ● Proportion of male and female students in pilot classes who are able make an informed decision on situations such as sketched in the Auntie Stella pack.
Impact and replication	(students): <ul style="list-style-type: none"> ● Proportion of male and female students in pilot classes who usually make an informed decision on situations such as sketched in the Auntie Stella pack (teachers, schools): <ul style="list-style-type: none"> ● Proportion of teachers adapting Aunt Stella pack to incorporate reproductive health issues not covered by the pack.

schools were taken in the study sample. Fieldwork, including transport, thus took a mere two days. The limited time demand was a pleasant surprise for both project staff, teachers and particularly for the students, who were busy preparing for their exams.

Visual data

The questionnaires had been designed with a view to be assured of clear visual images of the evaluation results. Below is an example of one of the nine questions to the students, with the results (Figure 1).

The totality of the data was the basis for a comprehensive set of conclusions on the added value of the Auntie Stella pack. Readers interested in the project can look up the website (www.tarsc.org), which also contains the evaluation report.

Positive qualities of the evaluation

The review had a number of positive qualities, some of which are inherent to the project while others were a result of the evaluation design, or of trust between the people involved:

- *Interesting intervention in a difficult subject area:* Adolescents' reproductive health is a main concern in Zimbabwe. Few interventions can claim success in this difficult area. A well-researched education pack with an innovative approach is an appealing subject for an evaluation, especially if there is scope to help raise a pilot intervention to a wider application.

- *Evaluation as a process, in partnership:* The evaluation was a joint process that took a couple of months, and yet in terms of the number of consultancy days available, was limited. This was possible because, as a locally based consultant, the evaluator could spread the assignment over time and go with the flow of the project. The process thus matched the abilities, interests and availability of the persons involved.
- *Spotting the information gaps, in the project's interest:* The evaluator had actively sought weaknesses in the project's available data, not to find fault, but to make the evaluation as useful as possible. Talking over the terms of reference then was a way to decide what additional data would be focused on. This discussion, which took place before the contract was signed, set the stage for an evaluation methodology that both parties agreed on.
- *Ownership of data:* The laborious work of data compilation and preparing the data for presentation stopped short of analysing the implications of the data. Ownership of the data was firmly with the project and its decision-makers. The evaluator was a mere facilitator, and barely seen at that. By the time she was writing her report, the project had already drawn its conclusions on the way forward.
- *Room for diversity:* Where most reviews have difficulty avoiding the 'dichotomy trap'- bad versus good; old versus new; conventional versus participatory, and so on – the methodology brought out the weight of diverse opinions, thus reflecting the complexity of real life. Such data signal a message 'This is as close as we can get to "the truth", at this point in time. What do you, reader, make of it?' and so support a more informed debate.
- *Transparency:* The data collected were comprehensively presented in the report. Where the evaluator drew conclusions these were clearly guided by the data. Both the process and the results were transparent.

Discussion: Defining participation in evaluation

Despite the above qualities one may query to what extent this was a participatory evaluation. 'Participatory' is of course a much-used term and in an evaluation generally refers to participation of stakeholders or end-users. A working definition is 'participation is a process through which stakeholders influence and share control over decisions and resources that affect their lives' (Fowler,

Figure 1: Results of a question to the students, as presented to the project's Reference Group for discussion

Question: Do you actually take responsible decisions when you find yourself in situations such as described in the Auntie Stella cards?
(Note: This question followed on "Has the Aunt Stella experience made you more confident to take responsible decisions in situations such as described in the cards?")

No	Yes, in some situations	Yes, in most situations	Yes, definitely, even in situations not directly addressed by Aunt Stella	Not applicable since no such situation occurred	Other
GIRLS answer:					
n=1 2%	n=18 34%	n=22 42%	n=7 13%	n=5 9%	n=0 0%
BOYS answer:					
n=2 3%	n=28 37%	n=27 36%	n=10 13%	n=9 12%	n=0 0%

Form 4 students in 4 out of the 8 secondary schools in the pilot project.
n and % give number and proportion of students.
Total n of girl respondents: 53; Total n of boy respondents: 76. Only one answer allowed.

1997). This definition assumes that an intervention is of such interest and magnitude that it can affect peoples' lives. However, not every project has such qualities. In the Auntie Stella Project students were happy to give their views on the project's merits, but were otherwise busy with other things that really affected their lives such as exams. Projects do affect people's lives, but may over-estimate their importance when demanding participation in time-consuming reviews.

The concept of defection

In the project at hand the target group of adolescents had together, in class, come to a deeper level of understanding on what reproductive health meant for them. Repeating this process would have been a duplication from the students' perspective. Lack of interest, and a tepid, or partial response would have been the result, which would have defeated the evaluation's purpose to get improved observations generated by the target group. This, of course is an assumption that cannot be corroborated for this case. 'Defection', however, was imminent in one of the four schools selected for the review: when the students were told that 'Auntie Stella' was coming back for yet another evaluation they were clearly reluctant to join. Only when they heard that this evaluation had a different purpose, and would be brief, and would be altogether different, since private and in writing, did they decide to stay.

'Defection' has many forms – allowing the mind to wander, or walking out, or merely not reaching for one's core layers and give shallow or fake answers. Every practitioner, and probably every

reader, will know what is meant here and will recognise both defection and participation at a glance, in any setting.

From values to observations

It is the author's contention that when participants have reason to be truly 'switched on', and for as long as they can afford to be, and if a host of other conditions is fulfilled – such as, indeed, use of appropriate techniques – are participatory meetings set to reflect the best of what the collective of people present are prepared to express and share. The evidence suggested that it was this kind of whole-hearted participation that the Auntie Stella pack had induced in the reproductive health classes of the students who formed the target group in this review. What the evaluation had to do was turn the students' experience into observations that others could access.

Affordability

From an evaluator's perspective the participatory history of the project had several sides to it: on the one hand the project had resulted in a target group that had been deeply affected by the project. The emotive nature of the intervention could be exploited. On the other hand the participatory history meant that the target group had already benefited from a collective process, and had come to closure. The opportunity to generate improved observations in the same collective on the same topic was thus no longer there. The evaluation needed to come up with an instrument for data collection that the students were willing to afford.

Shortcuts

Combining the above pointed to shortcuts. For example, the question 'Do you actually take responsible decisions when you find yourself in situations such as described in the Auntie Stella cards?' is open to all kinds of bias. In this case respondents had as a group grappled with the meaning of 'responsible behaviour', stimulated by the Auntie Stella cards. The evaluation could thus avoid external definitions of terms such as 'responsible behaviour'. Reference to the joint experience made it possible for individuals to indicate changes in their behaviour as a result of working with the Auntie Stella cards, while using their own points of reference.

Participation: At an individual level the students 'participated' fully, as was clear from the hushed intensity with which they completed the questionnaire, and by the fact that over 90% used the blank spaces provided and often even the back of their questionnaire, to illustrate their answers. On several occasions those who had missed the session came to ask for the forms, which they then filled out right away, on the spot.

With the benefit of hindsight ...

The ARHEP Programme Manager, who is still involved in the project, gave her reflections on what the evaluation meant for the project, well over a year after the evaluation:

'Comments on the Auntie Stella pack reinforced our findings and gave us the confidence to make the pack more accessible to a wider audience. The evaluation's more quantitative approach to assessing Auntie Stella in the schools was a good balance to our more qualitative approach. Since the evaluation, ARHEP has strengthened relations with youth-servicing organisations (working with both in-school and out-of-school youths) and moved more consciously into institutional capacity building and advocacy both with government and civic groups. Closer networking has resulted in ARHEP playing a much more central role in the development of Adolescent Reproductive Health programmes and policy in Zimbabwe.'

The review findings thus held no surprise, which on hindsight is what one could expect, given that project staff knew the strengths and weaknesses of the pack. The review organised those observations and make them visible for other actors such as new institutional partners.

Conclusion

The Auntie Stella Project admittedly is a small project that consists of a single intervention, based on a single concept: the agony aunt, advising teenagers on sensitive and heart felt matters. Yet this case illustrates how evaluations each have their own design challenge. In conclusion:

- Discussions about terms of reference focus evaluations, and avoids unrealistic expectations. It bodes well for joint ownership of evaluation findings.
- Such discussion may point to evaluation design opportunities. In particular:
- When the project's target group has already completed a participatory process, and thereby as a group has acquired 'improved points of view', an evaluation can exploit this and so minimise the 'cost' (to participants) of participating.
- At the same time a participatory project history limits the opportunity for an evaluation to generate collectively improved observations: participants have already benefited from the collective experience and are likely to defect when there appears to be little to gain from another such process on the same topic.
- Evaluation instruments should thus be decided by what the situation requires. There is no hard and fast rule on what constitutes a participatory methodology, other than that it must inspire people to take part, and take part whole-heartedly.

- In the case described questionnaires appeared the most appropriate to turn points of view of a literate target group into observations that others could access. Or, in other words: when a preceding collective process has resulted in improved points of view of the individuals concerned, this improvement can be expected to reflect in the responses on any data collection instrument that taps these points of view.

Acknowledgements

I would like to thank Barbara Kaim, ARHEP Programme Manager at the Training and Research Support Centre, for permission to share my evaluation experience and for her feedback on the evaluation. For more information about ARHEP and the 'Auntie Stella' pack, contact TARSC at: 47 Van Praagh Ave, Milton Park, Harare, Zimbabwe. Tel: +263-4-708835, Fax: +263-4-737220 Email: brakaim@mango.zw or www.tarsc.org

Joanne Harnmeijer works for ETC, Consultants for Development, Leusden, the Netherlands. Originally a medical doctor, her interest is to make evaluation and impact studies useful for all concerned. Her postal address is ETC International, PO Box 64, 3830AB Leusden, the Netherlands. E-mail: jharnmeijer@wlink.com.np and jharnmeijer@yahoo.com.

References

Fowler, A. (1997) *Striking a Balance; a guide to enhance the effectiveness of non-governmental organisations in international development*, p.16. London: Earthscan.

Gasper, D. (1997) *Logical Frameworks: A Critical Assessment; Managerial Theory, Pluralistic Practice*. Working Paper Series No. 264, pp 30,31. ISS, The Hague.

Kaim, B. and R.Ndlovu (2000) 'Lessons from "Auntie Stella": using PRA to promote reproductive health education in Zimbabwe's secondary schools', *PLA Notes* 37, pp. 45-49. IIED, UK.

In Australia during the 1980's the New South Wales (NSW) Department of Housing built a number of estates for blue-collar workers living in Regional centres of New South Wales. With the changing economic base of Australia, the jobs have been gradually disappearing, leaving the estates either bereft of residents, or more commonly, housing the new poor. Whereas twenty years ago approximately 80% of tenants were employed, today over 90% are on some form of Government benefits. This new reality is driving a change in the Department's focus from 'Asset Development' to 'Community Development'. As with many social development funding agencies, the Department has been grappling with how to systematise its new community development funding. This article outlines its use of LogFrames, and the methodology it has developed to enable groups to complete them.

Common to development programs, a principle problem for a funding agency has been defining 'why' a particular project should be funded. As one of a number of strategies, the Department traditionally allocated a few thousand dollars for 'Social and Community' projects. However, while small in nature there was no formal method of either identifying which projects might be of value, or how to assess the worth of a project once carried out. An example being how community coordinators or committed residents might come up with an idea such as 'let's put on a Christmas Party for the kids'. While it might be an admirable idea, the project, or action, is not in any way linked to achieving a particular goal. At the end of the day, there is no method of identifying whether a Christmas party for the kids actually contributed to improving long-term community wellbeing or not. The challenge was to formalise such projects, to provide some form of accountability, even though small in nature. In considering this problem, the international development industry seemed to offer a solution with the LogFrame. However, as many existing practitioners can confirm, LogFrames seem not only difficult to complete but almost arcane in nature. To get residents and estate coordinators to complete a LogFrame for a Christmas Party appeared to be problematic.

In considering this problem, there seemed to be a relationship between the concept of a LogFrame, and the structure of the group decision-making system known as

Table 1: Basic LogFrame outline

Goal	...the overall vision or goal to which the project addresses	The limit of direct control by the project manager
Objective (or Purpose)	...the purpose, or objective of the project, which contributes to reaching...	
Outcome	...an outcome which will contribute to...	
Action	Action which will result in...	

the 'Technology of Participation'¹. The LogFrame consists of a series of activities with a causal relationship between each other. This is usually described as in Table 1, while an outline of the decision-making system 'Technology of Participation' is described in Table 2

Table 2: Decision making system in the 'Technology of Participation'

What is: The Goal or vision?	
What are: The obstacles or blockages to achieving that vision?	↓
What might be: Strategies to overcome the blockages?	↓
What might be: Specific actions to realise the strategies?	↓

The major difference between the two systems being that the 'ToP' system works on a series of questions, rather than defining what will occur as a series of statements. It also works from defining the goal or vision as being the starting point, not the action. It can also be seen that the ToP system results in the 'objective' part of the equation being a negative rather than a positive, however this can be easily remedied once the questioning process has been carried out. How this works can be seen in the example of a series of questions carried out with a group of older residents who were wanting to do a survey to find out

¹ Laura J Spencer *Winning through Participation* Dubuque, Iowa: Kendall/Hunt publishing Co. 1989

Table 3: Example of the ToP questioning carried out in a workshop format

What is: The Goal or vision?	To carry out a kids survey
What are: The obstacles or blockages to achieving that vision?	No knowledge of how to go about doing such a thing
What might be: Strategies to overcome the blockages?	Engage a kids survey specialist to run a training workshop
What might be: Specific actions to realise the strategies?	Find a kids survey specialist; talk to the school principle, council; put out a question on the Internet.

what activities interested kids. This particular goal emanated as an activity to be carried out from a workshop with residents and agencies, in which 'bored kids having nothing to do' was considered to be a major issue to be tackled. This provided the project with a 'super goal'.

Table 4: Example of the subsequent LogFrame causal hierarchy developed from the ToP questions

Super goal	Active and engaged kids
Goal	To carry out a kids survey
Purpose of project	To find out how to put together a kids survey
Outcome of project	A workshop with a kids survey specialist
Actions	Find and engage a specialist in 'Kids Surveys'

This LogFrame then became the basis by the residents for a funding application for the specialist to attend and lead the workshop.

Once the basic causal linkages in the LogFrame were prepared in this manner, the group found it quite easy to contribute to the 'indicators of success' and 'Risks' to complete the funding application.

As well as making the completion of the LogFrame almost automatic, it promotes a 'bottom up' approach to program or project development. Rather than the estate coordinator coming up with a solution to the problem, and then trying to fit it into a LogFrame format, the answers to the questions are from residents themselves.

Extracts from 'Forestry tactics: Lessons from Malawi's National Forestry Programme'

**James Mayers, John Ngalande,
Pippa Bird and Bright Sibale**

In this issue, we have departed from the norm in the Tips for Trainers section. The following extracts, taken from the IIED Forestry and Land Use Programme's book **Forestry Tactics: Lessons from Malawi's National Forestry Programme** give some examples of the process used to develop a national strategy for sustainable forestry, and some of the participatory approaches, used by the National Forestry Programme in Malawi. The diagram illustrates the process, and how the 'ground-truthing' exercise, a way of linking national-level strategic planning processes with local-level realities, was used to incorporate valuable local knowledge into the decision making process.

Natural Resources Adviser, a 9-month timeframe was given – this was later extended to 12-months, and later yet by almost a year more.

The aim was to shape a process that was long and concerted enough to generate and maintain adequate stakeholder engagement and 'buy-in', but short and focused enough so that it did not wear out everybody's energy and enthusiasm. The guide to the process (Figure 1) thus spelled out the expected steps for the NFP process.

Photo: Pippa Bird

The National Forestry Programme

Malawi's National Forestry Programme (NFP) has been developing since the early 1990s – with a concerted development phase during 1999 and 2000. Existing information has been unearthed and utilised, new analysis has been carried out by working groups, key international obligations and opportunities have been considered, and consultation processes with stakeholders at national, district and local levels have been steered and synthesised in a framework document launched by the President of Malawi in January 2001.

Planning for a 'long enough but short enough' process

In March 1999 DFID's NFP Adviser – a member of the International Institute for Environment and Development (IIED) began the first of a number of short visits to Malawi... Together with the NFP Co-ordinator and with assistance from the PROFOR Adviser a work plan was prepared. The work plan aimed to spell out what needed to be done to get to a set of actions agreed and prioritised amongst stakeholders, and captured in a framework NFP document. Under some pressure for results particularly from the Director of Forestry and DFID's



Busy Forestry Department extension stall at the launch of the NFP

Ground-truthing the NFP

It was recognised by the NFPCU that the credibility and likelihood of impact of the NFP depend on its ability to have meaning for people at district and village level. To have meaning it needs to be developed and shaped by those people – to reflect their ideas and priorities.

However, it was also recognised that a massive process of consultation about the NFP with every village in Malawi was not possible or desirable. The 'long-enough but short-enough' timeframe did not allow this, nor did available resources. Furthermore, considerable information already existed on which to draw. Thus, since the NFP needed to be 'true on the ground', what was needed was a process

similar in conception to that familiar to foresters for ground-truthing a remote forest survey. But instead of checking out the trees, it was the people on the ground who needed to be listened to. A tactical combination of gathering existing information, convening district level meetings, and interacting with village-level stakeholders was developed.

NFP tip: 'Ground-truthing' actions

Tactical actions to link national-level strategic planning processes with local-level realities included:

- Information from existing initiatives and processes. Information on local priorities from a variety of existing project reports and consultation exercises was drawn on – including those involved in the development of the national environmental action plan, and biodiversity conservation plan.
- District-level workshops. A range of workshops and district-level meetings were held. All the country's District Forestry Officers were brought together through several meetings to discuss the NFP and to gather ideas, and a similar approach was taken with several other stakeholder groups at district level, such as traditional leaders.
- Understanding village-level forest priorities. A programme of interaction with village-level stakeholders through a process of Participatory Rural Appraisal was spearheaded by an NGO, CURE, with experience in forestry and particular expertise in these approaches.
- This process linked ongoing training of field-level forestry staff in PRA to a series of interactions with villagers to examine their priorities for forest goods and services, and how they see their roles and responsibilities with respect to others. This allowed comparison of "village forest policy" with national policy to see the similarities and differences – and thus to see where some of the key challenges lay.
- Gathering village-level views on ideas from the working groups. The PRA work was also developed to incorporate a checklist of issues derived from the key proposals emerging from the NFP Working Groups. This was then drawn on to gather local views, that is, to see if these proposals made sense at local level.

These ground-truthing activities were all completed over a period of about six months. A total of 21 villages in 9 districts were involved in the PRA work whilst six district level workshops and a similar number of stakeholder-specific meetings were held at district level. The approach continues through the current phase of converting the NFP's agreed priorities into practical actions, and it is hoped that ground-truthing will be undertaken as part of the periodic monitoring of NFP progress.

Acknowledgments

Forestry Tactics: Lessons from Malawi's National Forestry Programme

Policy that works for forests and people no.11

Discussion paper

James Mayers, John Ngalande, Pippa Bird and Bright Sibale

Acronyms

DfID – UK Department for International Development

PROFOR – UN Agencies' Programme on Forests

CURE – Co-ordination Unit for Rehabilitation of the Environment. PO Box 2916, Blantyre, Malawi.

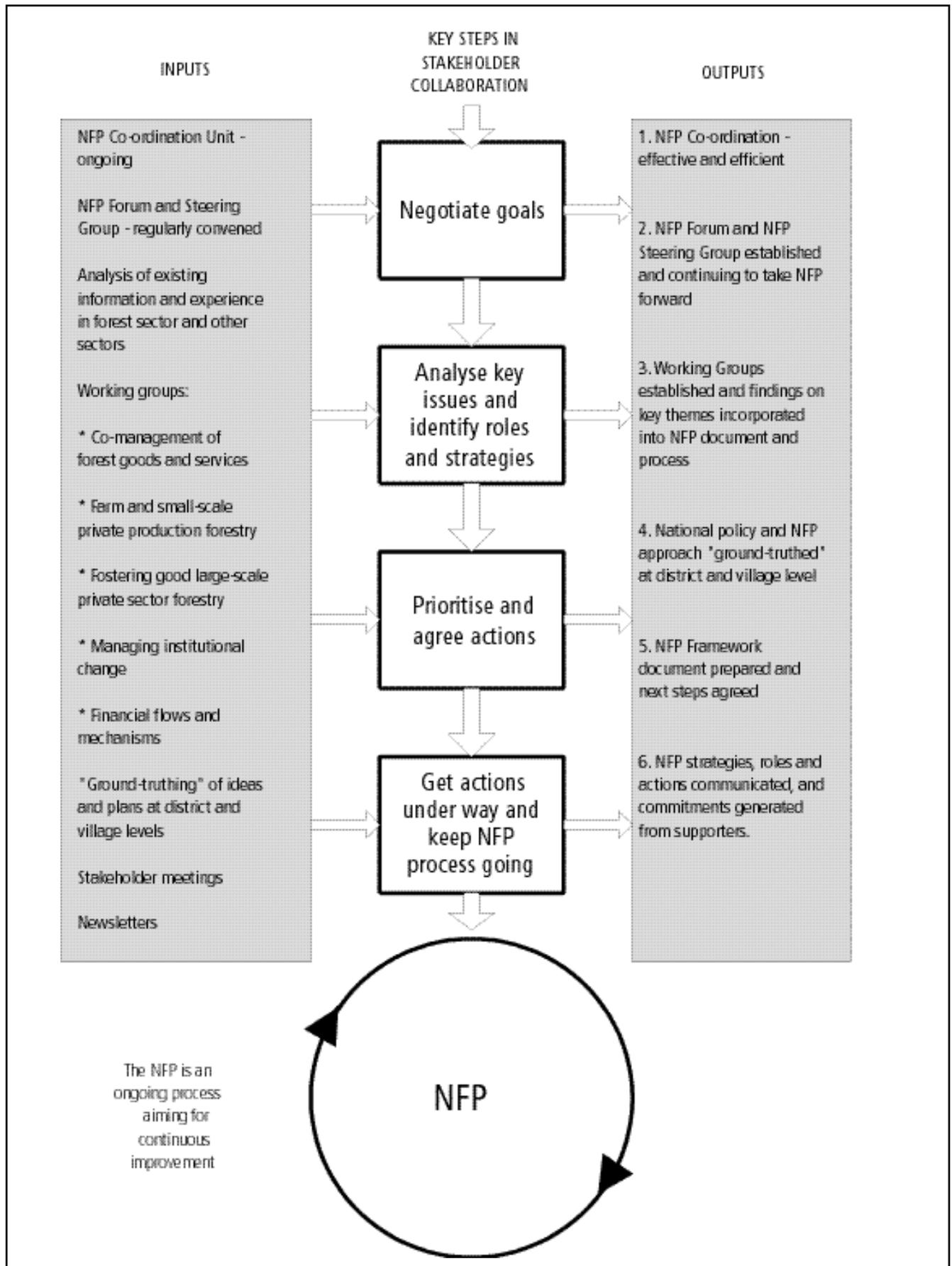
Email: CURE@malawi.net

To order this publication, please contact EarthPrint Limited, Orders Department, P.O. Box 119, Stevenage, Hertfordshire SG1 4TP, UK. Fax +44 1438 748844
mailto:orders@earthprint.co.uk

For more information about the series, contact the IIED Forestry and Land Use Programme, IIED, 3 Endsleigh Street, London WC1H 0DD, UK.

Email: Forestry@iied.org. Fax: +44 20 7388 2826

Figure 1



Notes



Welcome to the *In Touch* section of *PLA Notes*. Through these pages we hope to create a more participatory resource for the *PLA Notes* audience, to put you, as a reader, in touch with other readers. We want this section to be a key source of up-to-date information on training, publications and networks. Your help is vital in keeping us all in touch about:

- **Networks** Do you have links with recognised local, national or international networks for practitioners of participatory learning? If so, what does this network provide - training? newsletters? resource material/library? a forum for sharing experiences? Please tell us about the network and provide the point-of-contact for other readers.
- **Training** Do you know of any forthcoming training events or courses in participatory methodologies? Are you a trainer yourself? Are you aware of any key training materials that you would like to share with other trainers?
- **Publications** Do you know of any key publications on participatory methodologies and their use? Have you (or has your organisation) produced any books, reports, or videos that you would like other readers to know about?
- **Electronic information** Do you know of any electronic conferences or pages on the Internet which exchange or provide information on participatory methodologies?
- **Other information** Perhaps you have ideas about other types of information that would be useful for this section. If so, please let us know.

Please send your responses to: *PLA Notes*, Sustainable Agriculture and Rural Livelihoods Programme, IIED, 3 Endsleigh Street, London WC1H 0DD, UK.
 Fax: + 44 (0)20 7388 2826 Email: PLA.Notes@iied.org

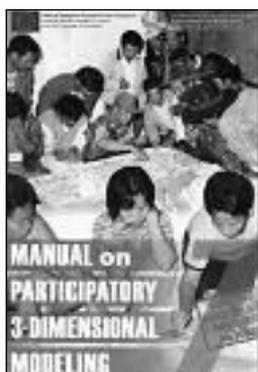
***PLA Notes* is published in February, June and October.
 Please submit material two months before the publication date.**

Books and Reports

Manual on Participatory 3-Dimensional Modelling

Giacomo Rimbaldi and Jasmin Callosa-Tarr

This manual illustrates the Participatory 3-Dimensional Modelling (P3DM), a cartographic method which integrates participatory resource mapping and spatial information to produce a stand-alone scaled relief model. This is the approach used by the National Integrated



Protected Areas Programme (NIPAP), a special five-year project co-financed by the European Union and the Government of the Philippines. P3-DM has been applied to eight protected areas to encourage local communities to express their interests and decide the critical issues of protected area boundary delineation, resource-use zoning and formulating policies on sustainable use of natural

resources. P3DM has proved to be a user-friendly and relatively accurate research, planning and management tool. More information, discussion lists and tools, visit the www.iapad.org Participatory Avenues website (designed, researched and developed by one of the manuals authors, Giacomo Rimbaldi) or email iapad@iapad.org. This site has lots of photo images so pages can take a while to open.

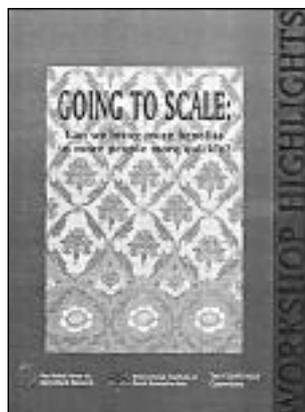
Manual available from: Protected Areas and Wildlife Bureau, DENR Compound, Visayas Avenue, Diliman, 1101 Quezon City, Philippines.

Going to scale: can we bring more benefits to more people more quickly?

Workshop Highlights

International Institute of Rural Reconstruction (IIRR), Philippines

Highlights from two workshops in which participants were brought together to discuss the need to scale-up successful sustainable agriculture initiatives in order to spread their benefits more widely to farmers. The report discusses the concepts, principles and strategies for scaling up and used sustainable agriculture and natural resource management. Experiences in other



sectors like health and social development, micro-credit and agrarian reform are also examined and presented.

Copies of the report are available from: **IIRR, Y.C. James Yen Centre, Silang, Cavite, Philippines. Tel. (63-46) 414-2417; Fax (63-46) 414-2420; Email publications@iirr.org**

Tools for Participation

New Economics Foundation (NEF)

This toolkit contains briefing on the techniques that NEF's Centre for Participation has developed and used in its work. Each briefing outlines a tool for participation, ideas on how to use it, and practical examples of how it has already been applied successfully in the UK. This toolkit aims to help practitioners to generate a real community vision, promote economic literacy and participation, build community and measure the impact of projects on local people.



Available from: **The New Economics Foundation, Cinnamon House, 6-8 Cole Street, London SE1 4YH. Tel. +44 (0) 20 7407 7447; Fax: +444 (0) 20 7407 6473; Email: info@neweconomics.org; website: www.neweconomics.org**

Techniques Participatives pour le Developpement des Programmes Communautaires, Tome 1: Manuel du Formateur; Tome 2: Livret du Participant
Participatory Techniques for the Development of Community Programmes, Volume 1: Trainer's Manual; Volume 2: Participant's Manual.

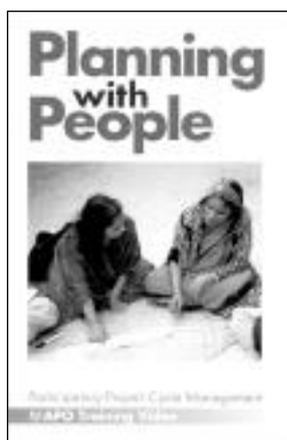
These two manuals have been designed to be the key readings for a course on Participatory Techniques for the Development of Community Programmes, aiming to train participants to work with communities using Participatory Learning and Action (PLA) techniques in order to implement programmes which are feasible, desirable and sustainable.

For more information contact: **Centre for African Family Studies (CAFS), PO Box 60054, Nairobi, Kenya. Fax: (254)-2-448621. Internet: www.cafs.org/publish.html Email: info@cafs.org**

Planning with People: Participatory Project Cycle Management

APO Training Video

Participatory planning with communities is considered the key in ensuring effective and sustainable rural development and poverty alleviation. Participatory Project Cycle Management (PPCM) is a planning concept for such community-driven planning processes. It combines the methods and principles of two approaches known as Project Cycle Management (PCM) and Participatory Rural Appraisal (PRA). The Asian Productivity Organisation (APO) organised an international training program in 1999 on PPCM in collaboration with the Centre on Integrated Rural Development for Asia and the Pacific (CIRDAP) and the National Productivity Organisation (NPO), Bangladesh. This video is the documentation of that training course on PPCM.



Available from: **Asian Productivity Organisation (APO), Hirakawa-cho Daiichi Seimei Building, 1-2-10 Hirakawa-cho, Chiyoda-ku, Tokio 102-0093, Japan. Tel. 81-3-5226-3924; Fax: 81-3-5226-3954; Email: ilcd@tkf.att.ne.jp; URL: <http://www.apo-tokio.org>**

Extension Processes for Rural Energy: an energy survey.

AERDD – The Agricultural Extension and Rural Development Department of the University of Reading, UK and Gamos Ltd.

Under a research programme funded by the UK Department for International Development (DfID), AERDD and Gamos Ltd are investigating the use of participatory tools to explore energy issues within the context of community development programmes. Using a survey, they are canvassing practitioners for their opinions and experience, in order to help identify participatory methods which are particularly appropriate to energy, and particularly those relating to renewable energy. AERDD and Gamos Ltd are offering two small enticements for answering the questionnaire – first, to add respondents' names to the DFID Energy Newsletter circulation list, and second, to send respondents outputs from the project, aimed at giving practical guidance on energy for extension workers. The survey is supported by an article outlining the project aims and progress to date, Putting Energy on

the Map - Participatory Approaches by Nigel Scott, Simon Batchelor, O. Sakyi-Dawson, Preeti Malhotra, John Best. For further information, please contact: **Gamos Ltd., EPRE, Crown House, 231 Kings Road, Reading, Berkshire, RG1 4LS. Fax: +44 118 929 9515. Email: EPRE@Gamos.org**

Participation: The New Tyranny?

Edited by Bill Cooke and Uma Kothari. Zed Books, London & New York. 2001. ISBN: 1 85649 794 1

This is a collection of eleven papers written in the main by European-based social scientists and development academics and is a critique of the rhetoric (and at times) experience of promoting participatory approaches and in particular Participatory Rural Appraisal. The authors' main argument is that participation has been co-opted by the large development agencies such as the World Bank as a means to legitimise an essentially unchanged set of power relations and has not been able to challenge the 'old orthodoxy'. Some of the papers go on further to deconstruct PRA and show that it can reinforce and does reinforce existing inequalities.

In general, I found this a thought-provoking book which, when based on real case studies and evidence, offers a lot of significant areas that practitioners need to consider very carefully. I share this concern for the abuse of participatory approaches by powerful and naïve groups, based on the experiences at the IIED Resource Centre.



The book falls into the trap of much academic literature. Somewhat dated references (mostly 'formally' published English material), few references to experiences from real life to validate the critique, little or no alternatives offered, a written-style which would alienate many potential audiences and published in book form with the usual problems of copyright and availability. Yet despite this, I would recommend this as essential reading for those who promote and use participatory approaches and especially decision-makers that are in the position to be more imaginative in their policies and programmes.

Reviewed by: Paul Mincher, Outreach & Network Development Co-ordinator at the IIED Resource Centre for Participatory Learning and Action

Workshops and events

Multi-Sector Workshop

6th-13th October 2001, Kinvara, Ireland.

This seven-day course in a rural seaside village in Ireland will be facilitated by senior experts in participatory research from GroundWork, both anthropologists: Eileen Kane and Mary O'Reilly de Brun, authors of an innovative new book, *Doing Your Own Research* (Boyars, London, 2001). Participants work from manuals and workbooks specially tailored to their own interests, and participate in fieldwork with enthusiastic local communities. One of the most popular aspects of this workshop is that each participant is helped to design his or her own future project, beginning to end.

For further information, please contact: **GroundWork Inc., Email: workshop@groundworkers.org**

Participation in Local Development, A-Week introduction course

24th– 28th September 2001, Leur, The Netherlands.

The central theme of this course is Participation in Local Development. However, what does participation mean in practice? Conflicting opinions of donors, local governments, farmers and development workers about the definition of participation often hamper effective development co-operation. Understanding and conceptualising participation is the starting point for any development worker who wishes to involve different actors in the local development process. By the end of this course, participants will also have knowledge of several widely used participatory methods, as well as insight into situations where these methods can be applied.

Throughout the week, special attention will be given to active learning, group discussions and practical exercises.

Participation practical skills to facilitate groups and PRA tools, A-Week Plus

1st–5th October 2001, Leur, The Netherlands.

The A-Week Plus presumes a basic knowledge of participatory principles and methods, either acquired through the A-Week or through other experience. Besides further training in participatory methods, this week is entirely geared towards enabling the course participant to gain personal competencies in the application of these methods. A structural framework will be provided in the form of various skill-building methods to allow this. Learning by doing forms a guiding principle within this framework. Upon completion of the course, each course participant will have drawn up a Participatory Implementation Plan, which can be transferred to the own professional environment.

For further information, please contact: **Agromisa, P.O. Box 41, 6700 AA Wageningen, The Netherlands**
Tel: ++ (31) 317 412217 Fax : + + (31) 317 419178
Email: Agromisa@wxs.nl

Website: www.agralin.nl/agromisa/

International Course on Farmer-led Extension

Training Course Date: October 8 to 26, 2001 Venue: IIRR-Y.C. James Yen Centre, Silang, Cavite, Philippines

This course is designed for rural development extension staff, officers, and specialists. Participants review and present various approaches in agricultural extension and analyse them from the perspectives of both farmers and development workers. Strategies and methods used in farmer-led extension are examined to develop field validated and recommended strategies. The course discusses how to scale up these approaches and identifies prerequisites at the community and organisational levels.

International Course on Food Security: Lessons from the Field

Training Course Date: Nov 19 to Dec 7, 2001 Venue: IIRR-Y.C. James Yen Center, Silang, Cavite, Philippines

This course is designed for co-ordinators of food security programs, and focuses on field experiences and highlights participatory approaches in implementing food security programs. Participants discuss current food security issues, policies and trends. They review and compare various strategies and approaches used in addressing food insecurity. The course provides the opportunity for participants to prepare action plans that their organisations can implement to improve existing programs, or to pursue new interventions toward more effective food security programs.

The International Institute of Rural Reconstruction (IIRR) has 40 years of conducting international training courses and over 80 years of rural development experience. For more information or to register on either of these courses, contact: **The Course Co-ordinator, Education and Training Program, IIRR, Y.C. James Yen Centre, Silang, 4118 Cavite, Philippines. Telefax: (63-46) 4142423; Tel: (63-46) 4142417; Fax: (63-46) 4142420; E-mail: Education&Training@iirr.org Internet: <http://www.iirr-africa.org/training.htm>**

Workshop: Community Water Supply Management: The Way Forward

19 – 27 November 2001 in Delft, the Netherlands.

For more information, please contact: **Patrick Moriarty, Course Co-ordinator, IRC International Water and Sanitation Centre, P.O. Box 2869, 2601 CW Delft, The Netherlands. Tel: +31-15-219 2953; Fax: +31-15-219 0955; Email: training@irc.nl Internet: <http://www.irc.nl>**

e-participation e-participation e-participation

Welcome to our second *e-participation* page. These pages include the latest news about electronic information, websites and email discussion lists. Currently, most information is found in websites from Northern countries and institutions, and mostly in English. We would like to hear more from our readers about websites developed in the South and in other languages. Get in touch if you would like to recommend sites or discussion lists to be reviewed in these pages!

Universidad Nur: Biblioteca Virtual <http://dpid.nur.edu/bibliotecavirtual/>

The Virtual Library of the Nur University of Santa Cruz, Bolivia, contains numerous on-line full text references dealing with participation and participatory methodologies. They are available at the Departamento de Proyectos de Investigacion y Desarrollo (DPID) section. The website is in Spanish and documents are available either in English or Spanish.

ELDIS: The gateway to development information www.eldis.org

ELDIS presents information sources on Development and the Environment through the provision of descriptions and links to a variety of information sources, including online documents, organisation's websites, databases, library catalogues, bibliographies, and email discussion lists, research project information, map and newspaper collections. ELDIS is available free via the Internet.

ID21: Communicating development research www.id21.org

ID21 is a fast-track research reporting service backed by the UK Department for International Development. It aims to make policymakers and on-the-ground development managers aware of the latest and best in British development research findings. Online, in print and through the Southern media, ID21 showcases fresh and unusual research angles on major development issues.

Partnerships Online www.partnerships.org.uk and www.makingthenetwork.org

Partnerships Online is a website devoted to *Creating Online Communities for neighbourhoods and networks* in the UK and the USA. The site is linked to *Making the Net Work – Creating Online Networks* that also includes information on games and techniques to use in workshops, route-maps for setting up your own Online community website, and much more. The *Partnerships Online* email list discusses what works and what doesn't in 'real world' and online partnerships, and the processes of participation and collaboration. To

subscribe/ unsubscribe e-mail
majordomo@p4t.org.uk; typing in
message body: SUBSCRIBE
PARTNERSHIPS / UNSUBSCRIBE
PARTNERSHIPS



FAO Participation: Sharing our resources

www.fao.org/Participation

This is the website of the Informal Working Group on Participatory Approaches and Methods to Support Sustainable Livelihoods & Food Security (IWG-PA) of the Food and Agriculture Organization of the United Nations (FAO). The IWG-PA fosters horizontal, cross-sectoral and multidisciplinary collaboration, sharing and learning within the Organization and with external partners, focusing on the nexus where participation, sustainable livelihoods and food security come together. The site lists the organisation's publications and provides links to 'participatory' resources and organisations.

PRGA: Participatory Research and Gender Analysis www.prgaprogram.org

Website of the Consultative Group on International Agricultural Research (CGIAR) Program on Participatory Research and Gender Analysis for Technology Development and Institutional Innovation (PRGA Program). The PRGA Program develops and promotes methods and organizational approaches for gender-sensitive participatory research on plant breeding and on the management of crops and natural resources. The Toolbox sections offers recommended references of PR and GSA Tools. PRGA Program's publications are available for download online.

The British Council: Participation Page <http://www.britcoun.org/governance/democ/participation/part1.htm>

This site from the British Council gives full text documentation, on-line databases of bibliographic information and details of how to find further information on many participatory approaches in various parts of the world.

Global Participation Net

(GP-NET) Discussion list on participatory approaches is sponsored by USAID's Participation Initiative. In addition to postings, GP-NET has an archive that holds all of USAID's Participation Initiative documents, including Participatory Practices case study series and Participation Forum summaries.

Connection details: To subscribe, send an email to Chanya Charles at ccharles@aed.org including your email address.

RCPLA Network

In this section, we aim to update readers on activities of the **Resource Centres for Participatory Learning and Action Network (RCPLA) Network** (www.rcpla.org) and its members. For more information please contact the RCPLA Network Steering Group:

Asian Region: Jayatissa Samaranyake, Institute for Participatory Interaction in Development (IPID), 591, Havelock Road, Colombo 06, Sri Lanka. Tel: +94-1-555521; Tel/Fax: +94-1-587361. E-mail: ipidc@panlanka.net

European Region: Jane Stevens, Participation Group, Institute of Development Studies, University of Sussex, Brighton. BN1 9RE, UK. Tel: + 44 (0) 1273 678690; Fax: + 44 (0) 1273 21202. Email: participation@ids.ac.uk. Participation group website: <http://www.ids.ac.uk/ids/particip/>

Latin American Region: Fernando Dick, Dirección de Programas de Investigación y Desarrollo (DPID), Universidad Nur, Casilla 3273, Ave Cristo Redentor No 100, Santa Cruz, BOLIVIA, Tel: +591 3 363 939; Fax: +591 3 331 850; E-mail: participa@tabarsi.nur.edu, Website: <http://dpid.nur.edu>

North Africa & Middle East Region: Emad Morris, Center for Development Services 4 Ahmed Pasha Street, Citibank Building, Garden City, Cairo, Egypt, Tel: +20 2 795 7558, Fax: +20 2 794 7278, Email: cds.lrc@neareast.org, Website: <http://www.neareast.org/explore/cds/index.htm>

Southern and Eastern Africa Region: John Kennedy, Participatory Methodologies Forum of Kenya (PAMFORK), Jabavu Road, PCEA Jitegemea Flats, Flat No. D3, P.O. Box 2645, KNH Post Office, Nairobi, Kenya. Tel/Fax: 254-2-716609. Email: pamfork@nbnet.co.ke

West Africa Region: Awa Faly Ba (*also Interim Network Chair*), C/o IIED Programme Sahel, Point E, Rue 6 X A, BP 5579, Dakar, Sénégal, Tel: (+221 824 4417, Fax: (+221) 824 4413, Email: awafba@sentoo.sn or iiedsen@sentoo.sn

Le Processus – Bulletin de l'Atelier sur le développement participatif

No. 4, January 2001
IIED Senegal/ FRAO

In April 2000 the *Recontre Francophone sur le Développement Participatif* took place in Dakar, Senegal. The conference and workshops were organised by FRAO/ WARF – West African Rural

Foundation – and IIED Senegal. Participants took part from thirteen countries, predominantly from francophone West Africa. *Le Processus* began as a daily bulletin of the conference, as a means of exchanging views and reporting back the contributions, ideas and reflections of the participants during the workshops held throughout the conference. Whilst not as yet a regular publication, this is the fourth edition made, with a view to publishing *Le Processus* on a more regular basis.

Seg Taaba ou Rencontres

Si les méthodes et approches participatives du développement connaissent un grand succès en Afrique de l'Ouest francophone, l'échange d'informations entre praticiens reste un challenge. Le besoin en documentation et en partage d'informations sur les expériences est



constamment exprimé par les praticiens de la sous région francophone. C'est ainsi que le bulletin *Seg Taaba* publié en tant que quotidien lors de l'atelier de Ouagadougou (Burkina Faso) sur « *l'analyse et l'influence des politiques de Décentralisation et de Gestion des Ressources Naturelles* », est devenu mensuel d'échanges afin de répondre en partie à ce besoin. *Seg Taaba* qui signifie « Rencontres » en Moré (langue du Burkina Faso) se veut un espace de rencontres et de partage. Ce bulletin offre une information pratique et ciblée sur les processus et expériences en cours dans la sous région précisément au Burkina Faso, au Mali, au Niger et au Sénégal, sous un format simple et accessible.

Ce bulletin est gratuit, sort le dernier lundi de chaque mois, disponible par e-mail en version texte ou en copie dure.

For more information about *Seg Taaba* and *Le Processus*, please contact Awa Faly Ba at the IIED Senegal office as detailed in the RCPLA Network contacts section.

DFID awards Centre for Development Services and IIED grant for work in the Arab Region

The Centre for Development Services (Egypt), in collaboration with IIED, have been awarded a grant from the Civil Society Challenge Fund of the Department for International Development (UK). This two-year grant will partly support the project that aims to promote the knowledge and practice of participatory development

approaches to ensure civil participation in the management of development and change processes. The project hopes to achieve this by promoting a culture of documentation and knowledge sharing of local innovations in participatory development, and by strengthening the networking capacity of CDS to provide information dissemination and documentation support. It is envisaged that the project will expand the Network in Egypt, Jordan, Palestine, Syria, Yemen, the Sudan and other countries in the region

For more information, please contact Emad Morris at CDS (as detailed in the RCPLA Network contacts section).

Radio programmes in Nepal

The Nepal Participatory Action Network (NEPAN) has been running regular radio programmes on Participatory Development Approaches and Processes. NEPAN and Radio Sagamath 102.4 FM have jointly produced the programmes. Initially, they have planned to transmit six programmes in every two week interval; the first regular programme being transmitted on 17th Baishakh 2058 in the Hindu calendar. The first programme was on "Participation, Participatory process and NEPAN's role on promotion of participatory development process" with Saloni Singh, Man Bahadur Thapa and Kamal Phuyal as key speakers.



For more information, contact Rabi Chitrakar, Information Officer, Nepal Participatory Action Network (NEPAN), New Baneshwor Chowk (South), Kathmandu, Nepal, PO Box-13791, Telephone: +977 1 482955, Fax: +977 1 419718 (attn: NEPAN), E-mail: nepan@mos.com.np, Website: <http://www.nepan.org.np/>

News from IDS

It has been an exciting period for the Participation Group with the welcome addition of four new team members: Everjoice (EJ) Win is our network co-ordinator; Rose Marie Nierras is co-ordinating the Citizen Participation and Local Governance programme; Alex Shankland is Research Officer for the Development Research Centre, and Jethro Pettit is managing Information and Communication as well as assisting with overall programme management. We are now involved in many areas of work, as we move towards a more critical focus on the ways participatory approaches can be used to reduce poverty and social injustice - keep an eye on our website for full details!

A recent highlight was a workshop in May, when individuals from donor agencies, NGOs and others came together for a week, to look at Power, Procedures and

Relationships. Analysis and discussion led to looking at ways to make constructive change within institutions to enable them to better meet new demands in development. A Policy Briefing - The New Dynamics of Aid: Power, Procedures and Relationships by Robert Chambers - is due out soon. EJ has also been looking at our networking initiatives and has produced a concept paper, on which we welcome feedback (email EJ on E.Win@ids.ac.uk for a copy).

For more information please contact IDS (as detailed in the RCPLA Network contacts section).

Bolivian members secure funds to support national and regional networking

The National Working Group on Participatory Approaches (GNT) Bolivia was formed following a four week long intensive training course on PRA given by DPID/NUR, FTTP, and CERES in 1994. Many of the organizations were surprised to find that others were experimenting with different participatory approaches similar to their own, and there was a desire to continue to learn and improve. The initial number of members was 17 and has now expanded to 37 individual and institutional members

Most recently, the GNT has been involved in helping to institutionalize and scale up the impacts of participation through helping IDS and the World Bank design the methodology for the Voices of the Poor Study. The GNT also carried out the Consultations with the Poor Project in Bolivia, having been recognized as the reference for participatory approaches in Bolivia. The GNT is just completing a project that aimed to support the National Dialogue (PRSP/HIPC) process in Bolivia through testing and developing different methodologies for assuring that the voices of the poor are being heard in the best ways. The GNT have been awarded a grant from DFID to strengthen the capacity of the network to facilitate and support participation by the poor and other actors in the development and to promote sharing in the Latin American region. For more information contact DPID (as detailed in the RCPLA Network contacts section).

Network Secretariat News

In 2000, a strategic external evaluation of the Network was undertaken. One of the recommendations of the evaluation was to speed up the devolution of the Network management. This has led to an increased role of the Steering Group, the appointment of an interim Chair (Awa Faly Ba, Senegal) and to the current recruitment of a Network Coordinator from amongst the Southern member organisations. It is hoped that this new coordinator will be in post by September 2001. The Steering Group hopes the new phase will see a strengthening of regional sharing and services as well as an increased profile of Southern groups in advocacy of issues relating to participatory processes at regional and international levels.

Related publications from IIED

The following are a selection of IIED publications related to participation. To order any of the following publications, or to request a catalogue of all IIED publications, please contact: EarthPrint Ltd, PO Box 119, Stevenage, SG1 4TP, UK or Fax: +44 1438 748844 Email: orders@earthprint.com Internet: www.earthprint.com.

Participatory Learning and Action, a Trainer's Guide

Designed for both experienced and new trainers, who have an interest in training others in the use of participatory methods, whether they are researchers, practitioners, policy-makers, villagers or trainers. The guide provides a comprehensive background to the principles of adult learning and details 101 interactive training games and exercises.

IIED Sustainable Agriculture and Rural Livelihoods, 1995

ISBN: 1899825002. Also available in Spanish.

Order no: 6021IIED Price: USD 31.50

Transforming Bureaucracies

This bibliography is part of a project to examine the dynamics of institutionalising people-centred processes and scaling up participatory approaches in large, public bureaucracies for natural resource management. *Transforming Bureaucracies* aims to highlight conceptual issues, gender, environmental knowledge, policy change, learning, changing attitudes and behaviour, impact and institutional analysis.

IIED, IDS. 2000 ISBN: 1899825614

Order no: 6342IIED Price: OECD: USD 45.00 or non-OECD: USD 30.00

Participation in the Caribbean: A review of Grenada's forest policy process

This independent study traces the lessons of Grenada's participatory policy process. The report analyses context, actors, policy processes, policy contents, and impacts, and identifies ways to implement that policy based on a continuing participatory approach. This book is part of the Forestry and Land Use Programme series *Policies that Work for Forests and People* which includes *Forestry Tactics: Lessons from Malawi's National Forestry Programme* abstracted in the Tips for Trainers section in this issue.

IIED Forestry and Land Use Programme, 2000

ISBN: 10288228(ISSN)

Order no: 7559IIED Price: USD 15.00

Questions of difference

Two hours of thought-provoking images in the overview and case studies can be used to stimulate discussion and lead into class-based exercises. The Overview presents a summary of the key elements for using PRA to understand gender and environment. Structured as a series of short thematic segments ranging from 2-14 minutes, trainers can select sections to stimulate discussion for specific training objectives.

IIED Sustainable Agriculture and Rural Livelihoods, 1995

In print (Video) Available in PAL and NTSC formats, and a choice of English, French or Portuguese. Please state format and language when ordering.

ISBN: 1357938X(ISSN)

Order no: 6100IIED Price: OECD USD 45.00 Non-OECD USD 22.50

Gatekeepers Series

The Gatekeeper Series, published by the Sustainable Agriculture and Rural Livelihoods programme, highlights key topics in the field of sustainable agriculture and natural resource management. The aim is to provide an accessible and informed briefing on major policy issues to an institutional and individual readership, comprising decision-makers within international agencies, development banks, national governments, universities, research institutes and NGOs throughout the world.

For further information on the Series, how to contribute and a subscription form, please contact Holly Ashley, Subscriptions Administrator, the International Institute for Environment and Development (IIED), 3 Endsleigh Street, London, WC1H 0DD, UK. Tel: +44 (0) 20 7288 3117, Fax: +44 (0) 20 7388 2826

Email: subscriptions@iied.org Web: www.iied.org/agri/gatekeep.html

Some articles are available online at www.iied.org/agri/gatekeepers/GKarticles.html or request articles via email: sustag@iied.org

PLA Notes subscriptions order form

Return to: PLA Notes subscriptions,
IIED, 3 Endsleigh Street,
London WC1H 0DD, UK.
Tel: +44 20 7388 2117 Fax: +44 20 7388 2826
Email: Subscriptions@iied.org
For more information about the series please
contact us at the above address or visit
www.iied.org/agri/pla.html



PLA Notes is published three times a year, and is available free of charge to non-OECD organisations and individuals based in non-OECD countries. However, due to cost restrictions, this excludes the following: organisations that are from, or funded by, OECD countries or organisations; organisations and individuals based in OECD countries.*

First Name: _____ Surname: _____

Organisation: _____

Address: _____

Postal Code/PO Box: _____ Country: _____

Tel: _____ Fax: _____ Email: _____

I would like a subscription (delete as required)

I am from a non-OECD Country and would like a free subscription*

I am enclosing payment for: Individual One year – £25 or US\$40 Two years – £45 or US\$72
Institutional One year – £75 or US\$120 Two years – £140 or US\$224

Please note that all free subscribers will be contacted every two years/ six issues to renew their free subscription. Due to cost restrictions, and to reach as many readers as possible, we request that where possible, organisations share a free subscription or ask their organisation's library or resource centre to subscribe.

Total amount enclosed

Payment by (delete as required) Sterling or Dollar Cheque/Credit Card (Visa, Mastercard, Switch)

Please make cheques payable to IIED

Credit Card Number: _____ Expiry Date: _____

Holder's Name: _____ Date: _____

Signature: _____

Card Address (if different from above): _____

Do you wish your details to be disclosed to others? Yes/No

* **OECD Membership:** Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Korea, Luxembourg, Mexico, New Zealand, Norway, Poland, Portugal, Spain, Sweden, Switzerland, The Czech Republic, The Netherlands, Turkey, UK, USA.

Please indicate what type of organisation you work for: _____

Please indicate what your area of work/interests are: _____

PLA Notes Special Issues ordering form

PLA Notes Special Issues

	Order no:	
PLA Notes 41: Aug 2001	9034 IIED	General Issue
PLA Notes 40: Feb 2001	6345 IIED	Deliberative Democracy and Citizen Empowerment
PLA Notes 39: Oct 2000	6344 IIED	Popular Communications
PLA Notes 38: Jun 2000	6341 IIED	Participatory Processes in the North
PLA Notes 37: Feb 2000	6335 IIED	Sexual and Reproductive Health
PLA Notes 35: Jun 1999	6154 IIED	Community Water Management
PLA Notes 34: Feb 1999	6150 IIED	Learning from Analysis
PLA Notes 33: Oct 1998	6143 IIED	Understanding Market Opportunities
PLA Notes 32: Jun 1998	6137 IIED	Participation, Literacy and Empowerment
PLA Notes 31: Feb 1998	6131 IIED	Participatory Monitoring and Evaluation
PLA Notes 30: Oct 1997	6129 IIED	Participation and Fishing Communities
PLA Notes 29: Jun 1997	6123 IIED	Performance and Participation
PLA Notes 28: Feb 1997	6115 IIED	Methodological Complementarity
PLA Notes 27: Oct 1996	6114 IIED	Participation, Policy and Institutionalisation
PLA Notes 25: Feb 1996	6099 IIED	Children's Participation
PLA Notes 24: Oct 1995	6093 IIED	Critical Reflections from Practice
PLA Notes 23: Jun 1995	6092 IIED	Participatory Approaches to HIV/AIDS Programmes
RRA Notes 21: Nov 1994	6090 IIED	Participatory Tools and Methods in Urban Areas
RRA Notes 20: Apr 1994	6089 IIED	Livestock
RRA Notes 19: Feb 1994	6088 IIED	Training
RRA Notes 16 Jul 1992	6085 IIED	Applications for Health
RRA Notes 15: May 1992	6084 IIED	Wealth Ranking

For a full list of RRA/PLA Notes back issues available to buy please contact Earthprint Ltd

Return to: Earthprint Ltd. PO Box 119, Stevenage, Hertfordshire, SG1 4TP. UK.
Tel: +44 1438 748111 Fax: +44 1438 748844
Email: orders@earthprint.com Internet: www.earthprint.com

First Name: _____ Surname: _____
Organisation: _____
Address: _____
Postal Code/PO Box: _____ Country: _____
Tel: _____ Fax: _____ Email: _____

I would like to purchase backcopies (delete as required)

Back-copies Issue Numbers: _____ Total back-copies at US\$ 18.00 each: _____

Save 15% by ordering a full set of back-copies (PLA/RRA Notes 1-41 US \$ 627.00)

When ordering, please apply for postage charges to Earthprint Ltd.

Please note that due to cost restrictions we are unable to supply, or respond to requests for, free copies of back-issues.

Total amount enclosed _____

Payment by (delete as required) Dollar Cheque/Credit Card (Visa, Mastercard, Switch, Amex)
Please make cheques payable to Earthprint Ltd.

Credit Card Number: _____ Expiry Date: _____

Holder's Name: _____ Date: _____

Signature: _____

Card Address (if different from above): _____

Do you wish your details to be disclosed to others? Yes/No

