PART I

MOVING SLOWLY AND REACHING FAR

INSTITUTIONALISING PARTICIPATORY PLANNING FOR CHILD-CENTRED COMMUNITY DEVELOPMENT

AN INTERIM ANALYSIS FOR REDD BARNA UGANDA

PART II

PARTICIPATORY PLANNING IN REDD BARNA UGANDA: REFLECTIONS AND GUIDELINES

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OCTOBER 1996

Redd Barna Uganda
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International Institute for Environment and Development, London

Acknowledgments

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EXECUTIVE SUMMARY

Since 1994, Redd Barna Uganda (RBU) and the Sustainable Agriculture Programme of IIED have been working to institutionalise participatory planning for child-centred community development. Initial work focused on training RBU field staff, who are now active in the Districts as Child Advocacy Project Officers (CAPOs) seconded to the National Council of Children. This report looks at the first follow-up phase which encompasses: support to field staff; assessing follow-up work at the community level; integrating vision, strategy and procedures; and advice on training strategy.

RBU works in Uganda simultaneously at the national, District, sub-county, and community levels. All RBU's activities are guided by three principles:

- non-operationality and, thus, working in partnership with local NGOs/CBOs or via existing government bureaucracies;
- child-centred development, and, thus, focusing on relatively marginalised social groups;
- strengthening the capacity and institution-building competencies of partners, notably in the area of participatory analysis and planning.

Impacts of this work to date include: increased training and planning capacity within RBU; improved working relationships with agencies and with communities; increased motivation among extension workers; and a range of physical and attitudinal changes at the community level.

However, several weaknesses have been noted:

- inadequate attention to enhance local people's capacity to plan with (and not just to analyze their local situation);
- insufficient focus on analysis and planning of activities to improve the situation of marginal groups, especially younger women, children and the worst off;
- inadequate efforts to identify and create appropriate opportunities to involve marginal groups, especially younger women, children, and the worst off;
- over-emphasis on community-level planning to the detriment of group-specific planning capacities.

This document suggests the following improvements: consolidate a training strategy, careful selection of partners in community-based work, provide support mechanisms for RBU's field staff and government extension workers alike, and adapt follow-up process with communities (see *Summary of Recommendations*).

RBU sees the need to resolve three key dilemmas:

1. RBU, like many other organisations, has held a simplistic view of both partnership and participation in and for development. The challenge is how to facilitate the creation of or identifying an existing social or organisational framework through which

participation can take place. Until this is addressed, people's participation will be limited.

2.   RBU's intention to remain non-operational does not sit easily with the need to identify or create viable social or organisational frameworks. Nor does it fit with the local people's desire to see concrete benefits quickly. People invest time in participatory planning and they expect tangible results while the planning is still under way. Therefore RBU may find it difficult to follow-up participatory planning without material inputs of some kind.

3.   Pursuing development through a community action plan (CAP) that assumes social cohesion and consensus is fraught with difficulties. Intra-communal differences reflect structural inequalities that can never be addressed in a CAP. To ensure that marginal groups tackle their specific concerns, more time must be invested to develop Group Action Plans (GAP). Therefore, RBU must choose how to divide its energies between CAP and GAP level work. RBU must also address conflict resolution in a systematic manner.

A two-pronged strategy for community-based work is one way forward. One part of the strategy would be the formulation and implementation of a community-level initiative, or CAP. This would require RBU to support the work of groups of people who might not be priority groups in terms of child-centred activities. The second prong of the strategy would mean concentrating efforts on RBU's priority groups in the form of GAPs. This two-pronged strategy would allow community-level activities to be pursued, such as health, schooling, water, while helping specifically with, for example, income-generation activities for the worst-off.

RBU has made much progress in institutionalising participatory planning and recognises that moving slowly is often the best way. Participatory planning is not a quick process. Further questions that will need to be clarified are:
*   whether to invest more in CAPs, in GAPs, or both;
*   what role the CAPOs are to play in the mid- to long-term at the community level;
*   what role RBU sees for PRA, in the long term, in its country strategy.

Abbreviations

AKOCODA	Akoboi Community Development Association
AMREF	African Medical Research Foundation
BCS	Basic Communication Skills
CAP	Community Action Plan
CAPO	Child Advocacy Project Officer
CBO	community based organisation
CDA	Community Development Assistant
CGR	Central Government Representative
DA	District Administration/Administrator
DES	District Executive Secretary
DLC	District Local Council
DPAC	District Plan of Action for Children
DRC	District Resistance Committee
GAP	Group Action Plan
HOD	Head of Department
IDRC	International Development Research Centre
IIED	International Institute for Environment and Development
LC	Local Councillor
LFA	Logical Framework Analysis
M&E	Monitoring and Evaluation
MLE	Mediated Learning Experience
NCC	National Council for Children
NGO	non-governmental organisation
NLC	National Local Council
NRC	National Resistance Council
OM	Older Men
OW	Older Women
PRA	Participatory Rural Appraisal
PTA	Parents' Teachers' Association
PWO	Probation and Welfare Officer
RBU	Redd Barna Uganda
ROTD	Regional Office for Training and Development
SPAC	Sub-county Plan of Action for Children
TOT	Training of Trainers
UNPAC	Uganda National Programme of Action for Children
VMC	Village Management Committee
WATSAN	Water and Sanitation Project
WHO	World Health Organisation
YM	Younger Men
YWAM	Youth with a Mission
YW	Younger Women

CONTENTS

**Summary of Key Recommendations
to Support Institutionalizing Participatory Planning
within Redd Barna Uganda**

TRAINING

Strategy and Schedule
1. Formulate, with urgency, a training strategy/coordination system, which includes evaluation procedures for range of different training modules.
2. Develop a training schedule to enable coordination and ensure strategic choice of workshops.
3. All CAPOs to seek approval of training request by RBU training coordinator.
4. Establish a RBU training team that can provide support to all CAPOs and partner organisations for a range of training sessions.
5. Develop a basic analytical framework, in line with Redd Barna's organisational mandate and vision, that can guide in particular the PRA training and the follow-up.

Partners in Training
6. Refine and implement *criteria* for selecting partner organisations.
7. Refine and implement *conditions* for partners in collaborative work, notably training.
8. Develop criteria for selecting participants for workshops.
9. Develop examples of different types of formal agreements with partner organisations participating in training and/or follow-up work (for use by CAPOs and Kampala staff).
10. Disseminate initial (draft) list of criteria and conditions for selection of partner organisations and participants (notably for training) and revise in October 1995.

CAPO Training Capacity
11. All CAPOs to receive draft guidelines for training strategy.
12. In next stages of capacity-building with CAPOs, focus efforts on building skills for analysis, perhaps through a training module.
13. Organise and provide TOT training for all CAPOs.
14. Provide supporting documentation to all CAPOs (see below).
15. Keep track, via the CAPOs, of how training requests come to the attention of Redd Barna to help develop the training strategy.

Practical Issues
16. Develop a checklist for planning a workshop, to include guidelines on the preparation phase, the fieldwork, and the follow-up.
17. At a later stage, provide training in the use of audiovisual equipment for the CAPOs.
18. Consider training in the use of video in/by communities to complement existing PRA work.

COMMUNITY-LEVEL FOLLOW-UP

1. Develop clearer ideas about the role of CAPOs in community-based PRA work.

2. Clearly identify exact type and amount of resources/incentives that RBU will provide, in principle, in the implementation of Community Action Plans and Group Action Plans.

3. Develop guidelines for CAPOs and partner organisations about the follow-up needed in communities after initial use of PRA for local analysis, and which should include a discussion on the phases of community-based planning and roles of different groups in that process.

4. Develop cost benefit analysis of Kyakatebe, Akoboi, and Iganga PRA sites, based on information from the CAPOs.

5. Document carefully each step in the community-level experiences to share lessons learnt amongst all staff and partners.

6. Organise an interim evaluation, both qualitative and quantitative, of the PRA process in Akoboi, Kyakatebe, and Iganga in late 1995 or early 1996.

SUPPORT TO CAPO

1. Develop more concrete vision of the role of CAPOs, perhaps in phases and/or specialisation, in community-based PRA work.

2. All CAPOs to receive a copy of and receive guidance on the use of draft guidelines for both the training strategy and community-based follow-up strategy (when these become available).

3. All CAPOs to receive guidance in the use of RBU's formal agreements with partner organisations.

4. All CAPOs to seek approval of training request by RBU training coordinator.

5. All CAPOs to receive follow-up training to strengthen their skills of analysis.

6. All CAPOs to receive training to become Trainers (as all are active in training and facilitation).

7. All CAPOs to receive Training of Trainers Notes and this report.

8. All CAPOs to work on developing monitoring indicators for the five main areas of their work: DPAC, SPAC, training, child advocacy, networking.

9. Discuss desirability of organising competitions on specific areas of the CAPOs to provide extra motivation.

PREFACE
SEVERAL CONSEQUENCES FOR REDD BARNA'S STRATEGIES

This midway report from the RBU/IIED joint applied research and training project on the institutionalization of the PRA approach to planning has strategic implications for Redd Barna as a whole. It should be read in the context of our other research and development initiatives and our ongoing endeavour to formulate a vision and strategic plan based on the principles of partnership, institution-building and being non-operational.

The report does not reach conclusions. That would be premature! Ably composed by Irene Guijt it does, however, give a detailed and comprehensive overview of the problematique in which RBU is now submerged and it sheds light on major areas of our concern.

It intimates that our perception of partnership in, and for, development is somewhat simplistic. In Africa, at least, it is not so that a partnership agreement can be made with an existing fully functioning organisational entity. Rather it is frequently a longer term organisational development in which a partner is created through a participatory process of considerable complexity. In any context, the core problem of people's participation in their own development has always been the challenge of facilitating the creation of or identifying an existing social or organisational framework through which participation can take place. Organisational development at the community level or institution-building at the level of governance emerge as essentially the same process.

Also, there may be an inherent contradiction in the new Redd Barna policy of partnership and non-operationality. If a Redd Barna country programme works with an established national NGO as a partner, it can fund the whole range of community development inputs indirectly and remain non-operational. But if it works in a participatory planning process aiming at establishing a community partner, a CBO, the same range of inputs given directly would label the project operational. The findings of this report illustrates this predicament. Does it not imply that Redd Barna cannot really work in partnership with local communities without becoming operational? Perhaps the distinction is artificial. Rather than an either/or verdict, the issue is more a matter of `degree of operationality'.

When it comes to the question of strategic planning, there are differences also in time horizons and planning culture. The Western concept of the future is not necessarily universal. The kind of planning from below that we profess to value requires a mutually agreed concept of the future, an insight into the importance of the future for the actions of the present and vice versa. This report exposes the difficulties that people have in seeing the purpose or intention of the planning process, which is the impetus of PRA-based work. Or is it that we have not found a way to link into local people's planning perspective? People invest time in this type of endeavour and they expect a rate of return to materialize quickly, tangible results while the planning is still under way. And therefore, it appears difficult to pursue PRA follow-up in planning without material inputs of some kind. It is possible that the Change Agent philosophy can offer insights on this issue.

Compounding this picture of the community are the intra-communal differences in age, gender, ethnicity, religion, and socio-economic status. These may render a mutually agreed and prioritized community action plan (CAP) unrealistic for practical and economic reasons, particularly because it

is excessively labour-intensive in terms of facilitation. This breaks the ideal flow of planning from below which Redd Barna covets: starting with a number of CAPs in one location, proceeding via project and country programme plans to the overall Redd Barna plan. On the community level, we may well be left with the alternative of working with social sub-groups to develop Group, rather than Community, Action Plans.

This focus may, for cultural reasons, preclude the application of Logical Framework Analysis on this level. This question emerges even more pertinently when we consider the ultimate purpose of Redd Barna's involvement in Uganda: planning from the village via the sub-county into the District Plan of Action for Children. We may have to accept that different levels of planning have different practical needs and that the common denominator can only be a general spirit of participation, downwards and upwards.

This report demonstrates, moreover, how exceedingly difficult it is to reach and give voice to the poorest or the vulnerable groups in the community, women and children. It cannot be reiterated often enough how those who are a little better off understand better how to reap the benefits offered by a development project. There is an inherent structural conflict situation. As our evaluation reports document, this is very much the case in Redd Barna operational projects worldwide. It is likely to be much more so with a non-operational strategy which in practice means `relinquishing' control to a series of actors inside and outside the community, a situation which amplifies the conflict potential.

As Irene Guijt's report rightly points out, conflict resolution is an issue in need of being addressed systematically. We need to recognise the practical implications of what we are doing. When Redd Barna changes its strategy from an operational to a non-operational, facilitating role, capacities for conflict resolution will be increasingly necessary. This is a consequence which has not been given any attention in our internal debate. And the question is: How do we develop such competence in our organisation in a systematic manner?

The table on page 4, Organisational Building Blocks, provides an overview which is familiar to the internal debate in Redd Barna. We already have most of the elements in place, but both process management and inter-institutional relationships require more attention. In their broadest sense, these two elements embrace the issues of facilitation, conflict resolution, and participation. These are areas of competence where strategies, guidelines, or procedures can only play a limited role. Ultimately what may be of more value for the staff members we endeavour to help develop is to have a capacity for tolerating uncertainty, and for deciding and acting in spite of ambiguity in the external environment.

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Resident Representative East Africa

August 1995

1 PRINCIPLES, POLICIES, AND PRACTICES

In March 1994, Redd Barna Uganda (RBU) started working with IIED[1] as part of the long process of developing an organisation that supports child-centred participatory planning in Uganda. Now, one year on, Redd Barna is taking stock of its progress with this process.

This report deals with three areas that are directly relevant to this stage of the organisational evolution: (1) training, (2) field level follow-up, and (3) support to RBU staff[2]. The report is based on a series of discussions and exercises with different groups: staff members of RBU (core trainers, Child Advocacy Officers, and senior management); extension workers involved in the follow-up, and several social groups in the community of Akoboi. It has been purposely kept detailed, to serve as process notes of the experience of `institutionalising participatory planning`[3].

This section presents several elements of institutional change and performance to help understand RBU's process of organisational development. Section 2 describes RBU's aims and structure and how these fit in the Ugandan context. Section 3 assesses RBU's efforts with Participatory Rural Appraisal (PRA) training to date, while Section 4 deals with the specific role of the Child Advocacy Officers (CAPOs). Section 5 examines the follow-up that has resulted from the training efforts, leading into a discussion of future steps that are required in this process in Section 6. The final section summarises key challenges that RBU now faces.

1.1 Institutional Change

Institutionalising a particular working approach means pursuing one of two processes: transforming an existing organisational structure (its principles, policies, and procedures) (cf. Thompson, 1995) or setting up a new structure to work in accordance with the chosen approach. Redd Barna Uganda's experiences serves as an example of the second process. Although active in one area before embarking on the District level work, it is essentially evolving as a new organisation or country programme. Its focus is on participatory planning for child-centred community development.

Three principles guide all RBU's activities:

- non-operationality, and, thus working in partnership with local NGOs or via existing government bureaucracies, each with their own policies and with very few resources in the districts;
- child-centred development, and, thus, working for and with a relatively marginalised social group;

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[1] Collaboration is with the Sustainable Agriculture Programme at IIED.

[2] These are only a few aspects of institutionalisation. See Caren Levy, 1996, for a good overview.

[3] See also *Draft Country Programme Strategy* (Redd Barna Uganda, 1995) for background information.

- strengthening the capacity and institution-building competencies of others (notably with planning), and thus needing in-house knowledge and experience, and skills in adult training, conflict management, and organisational development.

Participatory planning is not a simple mechanical procedure but is based on several principles, each of which has organisational implications (see Table 1). These implications are not simple to address, as many government and NGO agencies are realising. Add to this the specific organisational choices that RBU has made, and it becomes clear that it has set itself a formidable challenge.

The first step in RBU's institutionalisation process was its formulation of key working principles. The second step involved training field staff, which started in March 1994. The first of CAPOs

Table 1 Some Organisational Implications of Participatory Planning

Core Principles of Participatory Planning (from Preity et al, 1995)	Examples of Organisational Implications
A systemic learning process	- value learning by creating time for and equipping staff with skills to reflect on each new experience - develop system for efficient and effective sharing, eg via documentation - allow staff members to make mistakes - encourage learning at different levels through monitoring
Seeking diverse perspectives	- equip staff with skills to value, see and analyze different social groups/individuals - only accept and approve of work that has sought or will allow diverse perspectives to be sought and incorporated
Context-specific	- allow time to refine the 'skeletal' framework of any policy or procedure to each District or level in which staff operate - ensure that staff incentives recognise heterogeneity between field sites, to avoid unfair rewards
Group inquiry process	- equip staff with skills to facilitate group discussions and encourage analysis, including conflict resolution skills - equip staff with skills to recognise local power relations and how these influence group-based discussions
Facilitating external agents with key responsibility resting with local people	equip staff with awareness of and skills to take a listening and encouraging role, rather than an implementing role
Leading to sustained learning and action	- ensure that staff emphasise the motivation of local people and others involved to act independently of external support agency - field staff to focus on building local planning capacity that can operate independently of external support

followed a seven week induction and training programme, with a second training for new staff, and the first training of trainers in November 1994. Both events included a field-based PRA training, in Masaka and Soroti Districts[4].

1.2 Institutional Building Blocks

Training is one of the most visible parts of a process of institutionalising participatory planning. Many organisations will start by organising one or more training events without considering the long-term implications. But it is only a small part. Training takes place in an organisation. Each organisation is a complex organism, which may seem to follows official rules but usually follows unspoken rules and value systems. Changing an organisation involves dealing with the intricacies of human relationships and responding continually to many uncertainties and the contradictions that become apparent.

> "As a result,... agencies soon encounter the thorny problem of how to build internal capacity without fundamentally changing their cumbersome bureaucratic systems and risk-averse management styles. Eventually the contradiction will force the agencies either to abandon their newly adopted participatory methodologies (sometimes while continuing to use the associated rhetoric) or to begin the long arduous, task of reorienting their institutional policies, procedures and norms." (Thompson, 1995).

One way to understand organisational change is to look at an organisation as a set of building blocks that define its identity and influence its performance. IDRC has developed one useful perspective on building blocks (Lusthaus et al, 1995). These blocks can help identify how to improve an organisation or pursue any institutionalisation process, be it on participatory planning, gender awareness, or any other principle.

Lusthaus et al (1995) have identified four key areas or 'blocks': the key external forces at play, and organisational motivation, competence, and performance (see Table 2). *External forces* are the enabling or crippling effects of the different external environments that influence organisational performance and change. *Organisational motivation* refers to the 'motor' behind an organisation, which determines how inspired staff are to fulfil their tasks. *Organisational capacity* refers to areas which are conventionally considered the realm of management. This is a combination of strategic leadership, human resources, core administrative resources, programme and process management, and inter-institutional linkages. *Organisational performance* is the extent of realisation of organisational objectives, in relation to available resources and external environments.

Ensuring that RBU fulfils its aims of child-centred development through participatory planning means ensuring that the various 'building blocks' point in the same direction and support each other. Are RBU's policies and procedures capable of responding to changing external environments and to local people's priorities? To what extent is the mission statement supported by appropriately

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[4] Follow-up by RBU staff and local extension agents continues in both communities.

Table 2 Organisational Building Blocks (adapted from Lusthaus et al, 1995)

External forces are the different external environments that influence organisational performance and change, and their stability and enabling or crippling impact:
- administrative or legal regulations;
- political direction, stability, etc;
- environment that determines the direction of national level investment;
- wider social and cultural values related to the organisation's work;
- inter-institutional linkages;
- technology which determines organisational strategies.

Organisational motivation is the motor behind an organisation's activities. This includes:
- its specific history;
- both its official and its perceived mission (goals, values, and characteristics);
- cultural values, or the attitudes and behaviour of the mission and what people want to happen;
- incentives to encourage staff performance and commitment.

Organisational capacity refers to six areas which most people recognise as 'management'.

1. Strategic leadership:
- leadership that sets clear goals and directs all those involved towards realising those goals;
- strategic planning by formulating, communicating, and implementing a sequence of activities;
- governance or the legal framework for the organisation;
- creating the structure (working units) by defining roles, responsibilities and lines of authority.

2. Human resources: dealing with staffing needs and assessment procedures, and ensuring a gender-balance, and that learning and professional development takes place.

3. Core administrative resources:
- financial management, prediction of cash flows and appropriate allocation of funds to identified priorities;
- planning procurement and control of basic physical working conditions, eg transportation;
- technological resources, especially computer equipment, etc.

4. Programme management to ensure that each part of a mission statement is fulfilled. To do this, plan, carry out, and monitor the planned activities.

5. Process management by having procedures in place and using these for: planning, or defining the course of action of individual and groups of staff; problem-solving and decision-making; communication of activities and decisions; and monitoring and evaluation of work programmes.

6. Inter-institutional relationships means using or establishing networks, setting up formal and informal partnerships, and taking an active role in external communications to ensure that others are aware of the organisation and its work.

Organisational Performance in relation to:
- effectiveness, or the fulfilment of planned activities;
- efficiency, or the best use of limited resources
- continued relevance of activities.

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skilled staff? Are sufficient and relevant incentives in place to motivate District level staff to accomplish their difficult tasks? These, and many other questions, require close scrutiny over the coming years.

When transforming an organisation, changes may be needed for policies, principles, practices and staff incentives. However, for RBU there is no structure as yet to 'transform'. Instead it is filling the gaps with new policies, principles, and practices. As it develops its District level work, RBU is slowly finding out where these gaps lie and continual feedback plays a central role in this process. In many ways, RBU is undertaking a large organisational experiment, one which is based on trying a range of activities, assessing them regularly, and continual adaptation.

In this venture, RBU has at its disposal a core group of trained and increasingly skilled staff, invaluable learning experiences from nine Districts, a set of guiding principles, and ongoing learning experiences in three communities. These experiences provide insights into the good practice and gaps that exist within RBU in terms of participatory planning.

The remainder of this report will focus on specific activities that have been assessed and which require adaptation. They relate specifically to the second and third areas mentioned above, of organisational motivation and capacity. The external environment is described only briefly and can be found in more detail in other RBU documents. The performance issues have not yet been dealt with in great detail, although this is becoming increasingly urgent.

2 THE STRATEGY OF REDD BARNA UGANDA

2.1 Child-centred Participatory Planning and Rural Regeneration

Uganda is one of the least urbanised countries of Africa. Almost 90% of the population live in rural areas and most are active in agricultural production. Subsistence agriculture, depending mainly on human labour, is the main source of food for most Ugandans. When labour supply is affected, agriculture suffers, with related consequences for food security and social welfare.

Uganda faces huge challenges, one of which is that posed by HIV infection. 80% of HIV infections are found in the economically and reproductively active ages between 15 and 45. HIV infection affects girls from about 10 years old, which is considerably younger than boys, and infection rates among women are generally higher than men (Barnett and Blaikie, 1995). AIDS is the leading cause of death in adults in Uganda (NCC, 1994) and over 8% of the total AIDS cases are children. Young women of 15-19 years of ages are six times more likely to have AIDS than the young men in the same age group (RBU, 1995).

Besides the extensive human tragedy that such statistics conceal, they carry implications for rural development. Those most likely to be affected by HIV, in the reproductively active age, are also those most needed in agriculture. An agricultural crisis is pending through the threat to the labour supply, which will seriously affect agricultural productivity. Furthermore, with 8.5 million of the

16.6 million of the population under the age of 15[5], dependency ratios (of children on adults) are expected to rise, with potentially severe consequences also in the domestic sphere.

A strong national development is only possible with a healthy, educated, and committed population. Yet infant mortality in Uganda stands at 20%, amongst the highest in Africa. And with almost 8 million children living in rural Uganda and the adult labour force affected by AIDS, they play a key role in ensuring the viability of rural livelihoods.

The future of a country is embodied, literally and figuratively, in its children. In Uganda's case it is especially important to work with them before they become sexually active. Investing in planning that is aware of the importance and specific needs of children will lay the basis for sustainable forms of national development. RBU aims to support child-centred development throughout Uganda, and its innovative approach offers many lessons for others.

2.2 Government Policies

Redd Barna Uganda does not operate in a political vacuum. National government policies and recent decisions influence the potential of RBU to develop a viable and effective country programme. These policies and decisions are both constraining and enabling, and many are both.

Amongst the more constraining policies has to be counted the Economic Structural Adjustment Policies that were agreed between the IMF, World Bank and the Ugandan Government. These policies are affecting the funding of crucial social services, notably health and education, both of which particularly affect children's well-being and development options. However, these policies, which have led to cutting subsidies and limiting the money supply, have also meant a strong economic recovery with GDP standing at 5.5%.

The policy of decentralizing civil service to the districts has created both problems and opportunities. At this stage there is insufficient administrative and planning capacity to pursue all the decentralised responsibilities, and opportunities for corruption abound. However, the principle of decentralisation has also created an awareness at District levels that planning capacity is necessary, and officials are seeking means to build capacities, for example through training by RBU staff.

Decentralisation by capacity-building in communities is a major government concern, and is being implemented through the Local Councils (LCs) that operate at different levels: district, county, sub-county, parish and village (LC5 to LC1). Each LC must elect its own 'Secretary for Children's Affairs'. Early indications of the impact of this policy show higher budget priorities for Child Probation and Welfare Officers. By having a presence in the districts, RBU can grasp existing opportunities to influence budget allocations to favour more child-centred forms of development.

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[5] Anyone under the age of 18 is technically a child so, legally speaking, the number of children is higher. However, as many children in Uganda between the age of 15 and 18 carry responsibilities commonly equated with adulthood, including for girls the bearing of their own children, 15 is commonly used as a cut-off point for childhood.

To achieve this, information from sub-county and community levels must be fed into District planning processes.

A third policy is *Entandikwa*, a government sponsored rural credit scheme, which was inaugurated in the 1994-1995 budget approvals. While theoretically of value, especially considering the inability of many households to raise capital needed for investment, in practice it remains to be seen if it provides support to rural people's options for credit, especially the poorest.

The upcoming elections in 1996 (one for each levels of government) will be a constraining factor, with political leaders vying for votes and making unrealistic promises. Much energy will focus on the short term need to win elections rather than longer-term development goals.

On the other hand, other enabling policies that seem to favour the type of development work that RBU is engaging in can be found at the national level, in the form of various bills and papers that support child-centred development. The White Paper will outline how education and general learning environments should be organised[6]. The National Council for Children Bill will, when passed[7], formally establish the government agency that will coordinate all activities of all actors within the social service sector, including government, NGOs, external support agencies, and communities. This will then allow for a formal implementation of the National Programme of Action for Children. The Child Bill will formalise the rights and responsibilities of Uganda's children. The NCC and RBU are active in raising awareness within the LC system of this responsibility and what this implies.

2.3 Core Principles

Within this national context, Redd Barna Uganda's vision of working with children is operating following these principles:

- to support the government strategy of decentralisation, sub-county resource use, and community-based development;
- to base activities on existing community structures and community resources;
- to act as an external facilitating agent, in a process of self-help rather than doing things *for* people but with some carefully considered provision of supplementary resources;
- to strengthen capacities of local NGO, CBO and government agencies, through a package of organisational and staff development, and a funding input;
- to work with child-focused activities and organisations;
- to bring forward children's viewpoints and priorities and those of vulnerable groups and/or families.

To ensure a lasting, equitable and positive impact of development interventions, development interventions must involve those who are to live with the resulting changes. Thus, RBU's strategy

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[6] Since this report was first written, this report on Education has been written.
[7] Since this report was first written, this bill has been passed and is now a statute.

focuses on providing support to strengthen local planning capacities at different levels. Its staff is initiating a series of participatory planning exercises: at the Sub-county level, District level, and community level. These will, it is hoped, result in concrete funding allocations and/or implementation of child-centred development priorities at each level. At the national level, RBU also supports a range of NGOs, CBOs, and other government initiatives that work towards a common vision of a healthy child population.

Although it has started to operate at these three levels simultaneously, RBU is also seeking ways to link child-aware planning between the different levels. It aims to bring together community sub-group plans into one Community Action Plan (CAP). The CAPs would inform sub-county planning, which in turn would shape District Plans of Action for Children (DPAC). These would follow a developed framework and contribute towards achieving national goals for the survival, development and protection of children in the National Programme of Action for Children (UNPAC). However, whether this planning 'utopia' is feasible remains to be seen. What is clear at this stage is that it will not be a straightforward process. Data from a micro-level cannot be extrapolated automatically for use at aggregate levels, without problematic distortion of the information.

2.4 Timing of Activities

Although Redd Barna started working in Uganda in 1990, activities were limited to a specific HIV/AIDS related programme in Masaka District in the southwest of the country. RBU, in its present form, is a recent programme, starting with the recruitment of the first group of staff for District level work in April 1994. A second group was trained in November and have been working in the districts since January 1995.

RBU harbours no illusion as to the long term nature of participatory planning. It feels there is evidence that participatory processes in communities take from 15 to 20 years to mature into self-sustained activities. This is the time it takes a five year old to grow into adulthood. RBU also recognizes the fundamental role of parents, and the community, in mediating meaning, eg culture and feelings of agency, to the child. In practical terms, a two generation strategy should focus on the five year old and its parents. From this viewpoint, early childhood development and strengthening of the parental role in that development is a priority for RBU. It is, therefore, committed to a long-term process and works with the expectation of seeing full impacts of initial investments in the longer term.

2.5 The Main Actors

The District and Sub-county planning processes have involved Department/Sub-county Heads of Agriculture, Education, Health, Water and Sanitation, and Probation and Welfare, plus key

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District/sub-county level coordinating officials, such as the District Executive Secretary[8], and LC3 and LC5 officials who are in charge of the socio-economic frameworks and financial controls.

Community level work has involved extension workers, key local opinion leaders, and five social groups in each community: children, girls, older women (married mothers), younger men and older men. In this early `experimental' phase, community level work is concentrating on Kyakatebe (Masaka), Akoboi (Soroti) and Bulende-Bugosere (Iganga).

At the heart of this strategy, lie the Child Advocacy Project Officers (CAPOs). To date, 20 CAPOs are working in teams of two or three, in nine of Uganda's 39 districts: Masaka, Lira, Apac, Soroti, Kotido, Moroto, Mbarara, Iganga and Kumi. The CAPOs are trained by RBU and formally seconded to the National Council of Children (NCC), a government agency[9].

The two key organising principles of the CAPOs' work are:
* to support a more child-aware and child-beneficial development at all levels;
* to facilitate processes of change towards this development, mainly through more conscious and integrated planning and local implementation.

The CAPOs are engaged in four main areas of work and use specific skills in each (Figure 1).

First, the CAPOs are actively coordinating and facilitating a planning process that will lead to a *District Plan of Action for Children* by working with Departmental Heads and key government officials at the District level. A similar planning process is being carried out in, initially, a limited number of *sub-counties* per District. At both the District and Sub-county, basic planning skills are generally absent and data is non-existent or unorganised, so work must start from scratch.

The second area of the CAPO's work, directly flowing from the two generation strategy, is *training* in Mediated Learning Experience, Basic Communication Skills, and PRA. They have conducted a limited number of training initiatives to date (see Table 3). However, this number will probably increase substantially over the next years as the district and sub-county planning processes become independent of RBU's input via the CAPOs, freeing their time for more training work.

Child advocacy work, general sensitisation of strategically placed individuals about the rights and responsibilities of children in Uganda, forms another main part of the CAPO job. This often happens as part of everyday work, but also through specific training and sensitisation sessions and meetings. Child advocacy work is often the precursor for longer collaborations, such as training or a planning process. It flows from RBU's commitment to the UN Convention on the Rights of the Child.

The fourth area is *networking* at the District level. For maximum impact, RBU feels it is crucial to link government and non-government efforts, and to link planning and administration between levels and sectors in government. However, this work is hampered by the proliferation of CBOs

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[8] Since the report was written this title has changed to Chief Administrative Officer(CAO).
[9] The NCC is a fledgling government agency, formed in 1993.

and NGOs and the lack of a central register of activities. RBU is supporting inventories of such organisations in the Districts where CAPOs are based.

Figure 1. Multiple Tasks of CAPOs
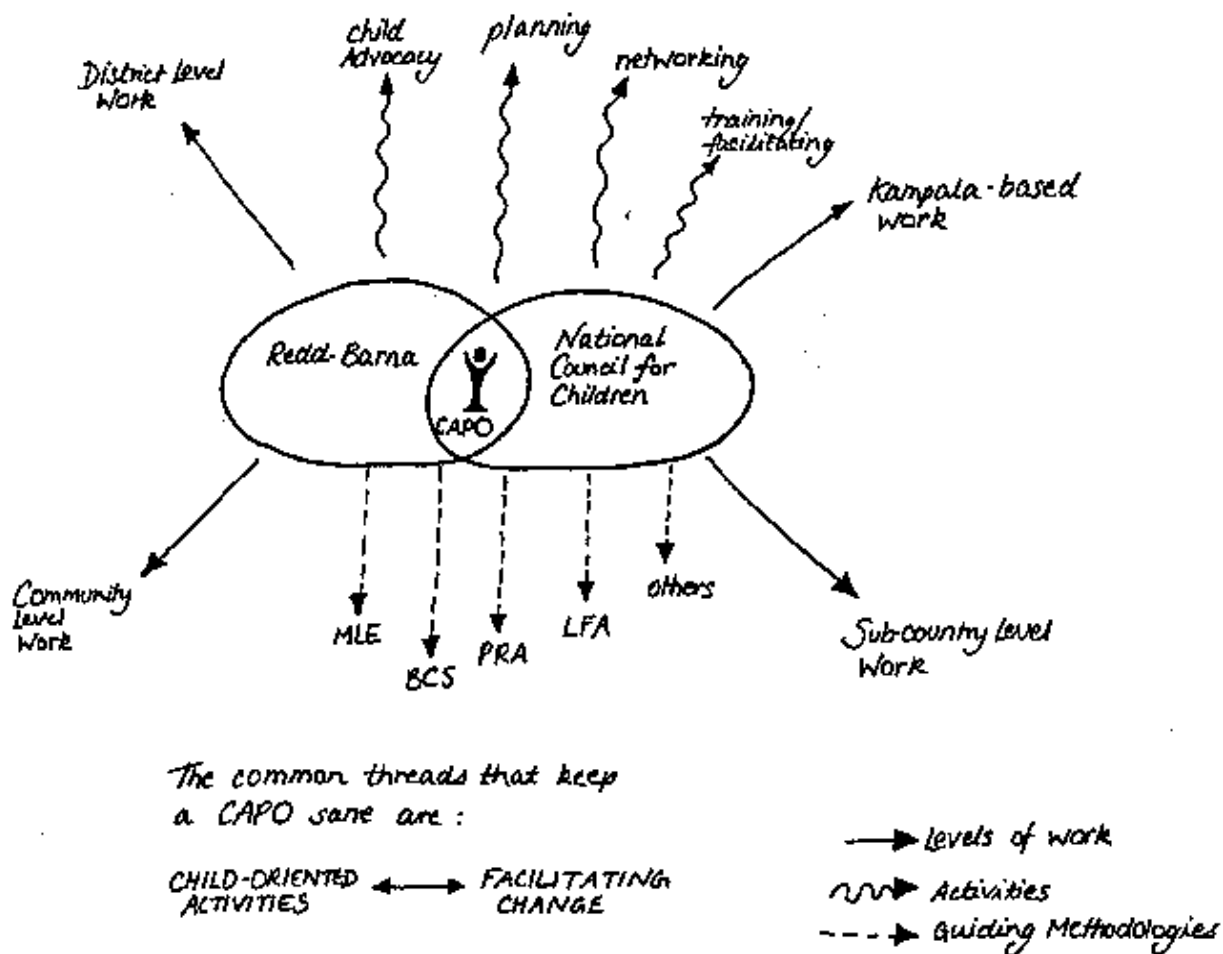
2.6 Outcomes of Community-based Planning

RBU is now focusing its efforts on developing an effective child-focused process for community-based analysis and planning. Besides building local capacities, this process is also expected to result in data and local level action. However, these three objectives are not necessarily compatible. Tensions appear particularly when combining data collection with the slower local planning process. This tension is usually resolved in favour of the urgency for data, to the detriment of the original objective of local empowerment. In RBU's case, this has resulted in a focus on DPAC and SPAC work, with its data collection emphasis, with limited community level PRA work.

Nevertheless, RBU expects the following outcomes from the community-based planning it is pursuing:

Skills
*   increased understanding of the planning process and capacity for planning in communities;
*   more autonomous planning capacity, for example, repeated planning `cycles' carried out by community members, without external support;

Information
*   more accurate, relevant, and useful data at District level about community realities and needs;

Local action
*   higher activity level by community members in solving (some of) their local development problems;
*   stronger links between District and community levels in support of local activities;
*   links between community and other solutions (eg other operational NGOs or government extension services), that operate independently of RBU staff presence;
*   concrete activities that address urgent and direct children's issues via analysis and priority ranking;
*   a formulated community plan, be it a mental plan and/or written;
*   within one year, a clear, significant benefit defined for children and identified by the community and/or vulnerable families/groups;

Motivation
*   increased local self esteem and a stronger sense of "we know our challenges and we can do something about them".

To ensure that these outcomes are realised, an organisation such as RBU must first ensure that there is sufficient, adequate staff capacity to carry this process forward.

3 TRAINING FOR PARTICIPATORY PLANNING[10]

3.1 The Past

Since the first training programme for CAPOs in March 1994, many other training sessions have taken place. Five types of training are being carried out: Basic Communication Skills (BCS), PRA, MLE (Mediated Learning Experience), LFA (Logical Framework Analysis), TOT (Training of

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[10]Analysis by Mary Bitikerezo, Tony Kisadha, Grace Mukasa, Geoffrey Mugisha, Simon Okalebo, Richard Ochen, Benon Webare of RBU and Irene Guijt of IIED .

Trainers), with other topics planned for the near future, such as project management and financial accounting.

An initial list of training events (Table 3) shows a total of 21 separate workshops between March 1994 and April 1995. Over 240 different people were trained, with some attending several workshops. Not included in this list is work carried out within the Masaka Project and several other initiatives conducted by CAPOs. It provides an initial indication of the speed with which training is happening by and with the CAPOs at RBU.

Table 3 Calendar of some training activities undertaken by RBU (1994-95)[1]

	PRA	BCS	MLE	LFA	TOT
Mar 94	26; Masaka[2]	26	26	26	
Oct 94			20; nursery/ primary; Soroti		MLE; 2
Nov 94	18; Soroti[3]	18	18		PRA; 4 CAPOs, 2 other RBU
Dec 94	19; introduction for villagers & ext. staff; Soroti		39; babies & children's homes		
Jan 95		.	44; CBO/ govt. ext. staff, babies homes; Lira	18 CAPOs; 3 other	MLE; 3 CAPOs BCS; 2 CAPOs & 1 senior staff
Feb 95			18; follow-up & new staff	5; LFA on MLE; Masaka	
Mar 95	17; NGO/CBO ext. staff, Iganga				
Apr 95	2; NGOs; Soroti	10; NGOs; Kampala			
TOTAL trained	*72*	*54*	*165*	*49*	*14*
future	*Kumi; Soroti; Lira; 4 in Masaka*	*Kumi; Iganga*	*Lira;Kumi; Kampala*	*Kumi; Masaka*	

[1] *This list does not include much training of the Masaka Project and others unreported by CAPOs.*
[2] *Of these, 8 are currently CAPOs and 1 is a regional unit supervisor.*
[3] *Of these, 10 are currently CAPOs and 1 is the Training Coordinator*

3.2 The Present

To analyze the PRA training efforts to date in greater detail, a SWOT framework was used. The analysis focused on two areas of particular concern to the present group of trainers: PRA field training and PRA community-level follow-up. The analysis of field training focused on recent experiences in Bulende-Bugosere (Iganga) and India village (Soroti), while the follow-up analysis focused on the earlier experiences in Kyakatebe and Akoboi (see Section 4).

Although training and follow-up are written up separately in this report, in sections 3 and 4 respectively, they are part of the same process of community-based planning. RBU believes that field-based training is not worthwhile unless follow-up takes place in the same community, and it will only start a PRA-based process where follow-up will happen.

3.3 Strengths of PRA Training

The PRA training events have had a range of positive impacts for the individuals, organisations and communities involved. However, these impacts only reflect the short-term picture and long-term impacts remain to be seen.

RBU has gained much from the training 'risks' taken by the CAPOs, many of whom had no prior training experience. Training on their own and seeing the events to a good conclusion has greatly strengthened their confidence and skills in facilitation and planning. The workshops have provided stimulating learning experiences, with new ideas for problem-solving and ensuring high standards of 'good PRA practice'. Links were established with the CBOs and NGOs involved, so increasing the likelihood of sustained follow-up in the communities. The SPAC process has been strengthened though a better understanding of the needs and concerns of local people raised in the fieldwork. These insights will feed into the SPAC process.Other positive impacts were seen within the participating organisations. Extension staff indicated a change in attitude, acknowledging that their previous working approach had not led to a clear understanding of the communities that they thought they knew so well. They expressed a keen interest to continue working with PRA. Immediately after the training ended, extension staff conducted extension activities as part of the follow-up. This helped them appreciate further the potential of PRA to mobilise community groups for extension activities, as turnout was much higher than they normally experience.

Many of the strengths of PRA appeared at the community level. RBU and the CBOs established a good relationship with the communities, which will serve as the basis for all follow-up work. Furthermore, the community groups themselves expressed surprise at some of the issues that they learnt about their own community, notably the extent of differences between different social groups within the community.

Besides increased local understanding, different groups were able to articulate their needs be. er in public meetings. For example, the women in Bulende-Bugosere (Iganga) expressed their anger in public that they were not being involved more in the follow-up. Another aspect of this increased capacity and/or willingness to articulate concerns was the opening up of India village, Soroti, to

subjects that were previously taboo. The NGO working there had previously encountered complete denial of the existence of sexually-transmitted infections. During the PRA-based fieldwork, these infections were finally acknowledged and discussed freely.

3.4 Weaknesses of PRA Training

However, many challenges remain. The weaknesses of the PRA training events include both practical and organisational issues.

At a practical level, the trainers felt that 2 days orientation prior to fieldwork was not enough. Presentation and practice in the classroom was rushed and incomplete. The need to translate (part of everyday life in Uganda which has over 40 different languages) slowed down the work. Attendance was problematic because the orientation was non-residential, leading to late arrivals and incomplete participation, especially by key people. This then led to further problems during the fieldwork, with the key people of the NGOs and CBOs over-committing themselves to implementing development projects *for* the community, rather than emphasising the *partnership* nature of follow-up. Lack of time also led to an overemphasis of the methods, at the expense of analysis of the issues raised. Deepening the analysis with the community is now the focus of follow-up work (see Part II of this document).

The group of participants was felt to be too mixed, with greatly varying levels of formal education and language differences, leading to problems with the analysis of findings. Although a very conscious choice was made to include community members in the training session, this proved problematic during the fieldwork period. Community members disappeared to their homes and, in some cases, acted as respondents to their own questions. While RBU feels community members are essential in PRA fieldwork and will continue to include them, more time must be spent to clarify with them their roles and responsibilities in this type of workshop.

Other practical problems arose, such as the lack of handouts (participants took notes, and listened and understood less), not testing the generator before going to the field, and not knowing how to operate the slide and overhead projectors.

However, the most difficult problems arose in relation to *working with other organisations*. To date, RBU continues to be non-operational. It acts as an intermediary to support the implementation-oriented work of other CBOs, NGOs and government agencies. Therefore, it has no control over the working style or procedures of others.

RBU staff did not check whether the commitments, in terms of attendance, financial input, etc, were actually guaranteed. Instead they assumed that this would be the case, and were let down when transportation, for example, did not arrive as promised. There was also lack of clarity about the respective roles and responsibilities of the partner organisations in the training. No formal inter-organisational agreements had been made so there was no agreed norm to refer to when misunderstandings arose.

Ensuring that the promised follow-up will indeed happen is a crucial and complex phase, and one over which RBU, again, has no control. One particular weakness in this area is the limited understanding of the organisational implications of adopting a participatory planning approach to development. While RBU could benefit from more insights about this issue, this is particularly a problem on the part of the partner organisation and makes follow-up difficult. More efforts are required to discuss this thoroughly with potential partners before embarking on such a process together.

3.5 Opportunities to Overcome Problems

RBU staff identified a series of opportunities to overcome existing problems, or recommendations. These will be of particular value to guide the development of RBU's training strategy (see Table 4).

Most of the opportunities relate to organisational needs. First and foremost, a training strategy and policy must be developed (see 3.2.5). This means identifying and using conditions and criteria for selecting partner organisations, outlining an organisation-wide training schedule, and making a firm organisational commitment to establish a training team. At present the CAPOs who have been trained as trainers are taken away from their daily work in one district to help train in other districts. This leads to serious delays in their other non-training work and is not the sound basis for a long-term training policy.

Table 4 Ranking of Opportunities to Improve PRA Training (by trainers)

Opportunity	Priority
formulate a training strategy/coordination system	high
develop a PRA schedule for coordination	high
establish a RBU training team	high
develop criteria for selecting partners	medium-high
set conditions for partners participating in training	medium-high
seek approval of training request by training coordinator	medium-high
develop criteria for selecting participants	medium-high
develop a practical checklist for planning a workshop	medium
take more time to plan with partners	medium-low
write together and sign a formal agreement with partner organisations participating in training	low-medium
obtain knowledge of participants background beforehand	low
training in the use of audiovisual equipment	low
training in the use of video in/by communities	low

3.6 Threats to Improving Work

Some potential threats to the successful implementation of the suggested opportunities remain. These threats will need to be addressed by RBU as it develops its management and training strategy. The most difficult is the excessive workload of CAPOs and Kampala staff.[11] How will the training requests combine with the non-training work of CAPOs? Is it possible to expect them to fulfil both roles or do CAPOs need to specialise?

Roles and responsibilities of the training coordinator must be clarified further, to encourage more speedy development of a coherent training strategy. There is also the possibility that senior management at RBU might veto the training team idea (although initial signals indicate the contrary). A seemingly unresolvable threat to the work is that RBU ultimately has no control over of the use and follow-up of PRA by other agencies, despite the careful selection of partners and signing of formal agreements. Quality assurance can, therefore, only be strived for but never guaranteed.

3.7 Training Strategy

The greatest need is for coherence and clarity of the training strategy, and for guidelines to help select partners with whom to organise and conduct PRA workshops. Given the experimental nature of the project, training to date has been opportunistic and, therefore, uncoordinated. The CAPOs are unsure about which opportunities to respond to and which workshops to organise themselves.

The importance of a comprehensive training strategy was reinforced in later analysis of the follow-up in the field. Many of the difficulties that the CAPOs face could have been prevented with a clearer understanding of what precedes training. Field-based training can only be successful if the introduction into the community is clear and consistent, and if partner organisations and agencies are selected with care (see Part II). The quality of follow-up of the fieldwork starts even before any fieldwork happens, and must form part of the training strategy (see Sections 6 and 7).

4 FOLLOW-UP WITH THE CAPOS

4.1 The CAPOs in Redd Barna Uganda

Every six to eight weeks, the CAPOs converge on Kampala to share their frustrations and achievements, identify problems, clarify doubts and receive further support or training. In May, 1995, IIED provided follow-up support to encourage further steps with participatory planning. The

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[11] Of particular concern is the workload of the original CAPO responsible for Kyakatebe follow-up. He has now been made Masaka Programme Manager, is leading the discussions around setting up a Credit Policy, and has also been trained as a PRA trainer. This workload is untenable and priorities will need to be identified, with related handing over of responsibilities.

CAPO session opened with a lengthy update of their recent work. As mentioned in section 2.5, the CAPOs juggle a wide range of tasks (see Figure 1 above) at different levels using a range of newly acquired skills. The two factors that connect their wide-ranging activities is the dual focus on child-centred development and facilitating planning processes to enhance such development.

To date, the CAPOs' efforts have concentrated on settling into their new sites, establishing links with different Department Heads at the District Level, and initiating and facilitating the DPAC and SPAC processes. However, it was clear from the CAPOs' reports, that they are all likely to be active in training, notably in PRA workshops. At this stage they have mainly facilitated discussions and short orientation sessions but all CAPOs will, sooner or later, engage in lengthier field-based training.

While these signs are encouraging, it is also important that the CAPOs *only* begin a PRA process with full awareness of the time-intensive and rigorous follow-up that this requires. They will need to understand the full range of potential and probable implications of institutionalising participatory planning. Only then will they be able to avoid problematic collaboration and can they ensure positive local development.

With this end in mind, the CAPOs discussed again why participatory planning is important and the requirements needed to ensure a smooth PRA process of training and follow-up (see Tables 5 and 6). The requirements listed in Table 6 serve as an initial guide, however incomplete, for those CAPOs starting with a PRA process in their districts. They represent the lessons learnt collectively within RBU to date (see Part II for an update on this understanding). The role of revisiting such basic questions regularly should not be underestimated in the process of institutionalisation. They serve to review, 're'-motivate, and, if necessary, revise, an organisation's direction.

Table 5 CAPOs' Perspectives on the Value of Participatory Planning

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- to broaden our understanding of the issues which will make our input more helpful
- when there is an expressed lack of or need for data to improve planning process
- to identify issues that are difficult to understand and could help reach the marginalised
- to involve, without discrimination, all community members in planning (to reach children, minimise conflict and increase social justice)
- to mobilise the community, bring people together that normally do not interact in this manner, to provide more information, reveal more subtle issues and engage more in their own development, which will then increase the likelihood of a more sustainable development
- to use our acquired skills to good effect
- to start with bottom-up planning and increase the likelihood of a more sustainable development
- it's an exciting new concept, which makes our work more interesting
- to encourage more use of local physical and human resources
- to respond to external demand from other organisations (build capacity and network for cooperation)
- to facilitate discussions in/with illiterate communities
- to build capacity in communities (identification, analysis, planning) for more sustainability
- cost-effective approach for data management, collection, monitoring and evaluation

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Table 6 Requirements for PRA training and follow-up (the CAPOs' perspectives)

Requirements to *Start* a PRA *Process*
• physical security in the geographic area of work
• objective and indicators
• guidelines for identifying community
• guidelines to select partners and agencies (to ensure follow-up, share costs, avoid duplicating efforts)
• clarify roles with selected partners
• guidelines for selecting participants who are to make up the PRA "team"
• have sufficient knowledge about existing structures to determine appropriate point of entry
• identify suitable community, and reach local consensus on the site of first meeting
• sufficient human capacity (knowledge, skills, willingness) to undertake and sustain the process
• money for undertaking and sustaining the process
• transportation
• overall Redd Barna schedule to coordinate PRA training work
• approval from Redd Barna Kampala office for training requests
• consent from community and agreement of appropriate timing for training work
• appropriate documentation, notably PRA training guide
Requirements to *Do* an effective PRA *training workshop*
• objective and indicators
• competent facilitators/trainers
• training materials (literature in appropriate language, visual aids, stationery)
• training venue
• trainees (guaranteed attendance throughout training)
• accommodation for trainees
• clear realistic and appropriate programme
• money (for necessary food, etc), transport
• community mobilisation
Requirements to *Ensure* PRA Follow-up
• sufficient and capable human resources
• transport
• food and other necessary allowances (or arrangements to cover this)
• output from initial PRA work to deepen when going back (eg issues matrix)
• set limit for involvement in the follow-up (should be linked to the initial objectives set)
• determine who is responsible for follow-up (but decide before training)
• commitment/mobilisation of organisations and community
• clear steps/plan for follow-up (when connected timing)
• monitoring mechanisms (linked to objectives and indicators)

4.2 Recognising and Analysing Conflicts

Participatory planning, at community, sub-county or district levels, brings together people who might not be used to working together in that way. This inevitably leads to some conflicts. Institutionalising participatory practices must include learning to deal with the conflicts that inevitably happen around the intense human interaction that such planning requires. The CAPOs deal with conflict in some form, hidden or open, as part of their day-to-day work. An introductory session on conflict and its resolution allowed them to explore different aspects.

Conflict is a form of competitive behaviour between people or groups which occurs when two or more people compete over perceived or actual incompatible goals or limited resources.[12] (Pendzich, pers. com.)

Conflict resolution is motivating (and organising) (groups of) people to develop a solution to problems. (Moore and Priscolli, 1989)

A first discussion revealed that CAPOs associate the word "conflict" virtually exclusively with negative feelings, responses, and symptoms. The CAPOs then divided into pairs and shared a recent experience of conflict with each other. In plenary they each reported back on their partner's experience, focusing on the main aspect of the conflict (Table 7). This helped to reveal other more

Table 7 Aspects of Conflict from CAPOs' Working Experiences

getting more resources (money)	breach of contract
unrealistic and incompatible demands	personality clashes
power and exploitation through hierarchy	being used as a scapegoat
late or inadequate information	lack of control or sanctions
raising expectations that cannot be met	lack of time and too many tasks
lack of clarity about intended outcome	differing priorities
change of normal procedure without warning	lack of trust
lack of time due to emergency situation	inflexibility
tension between personal and professional demands	personal "weaknesses"
making assumptions and not clarifying them	different styles
different personal and professional standards	difference in commitment
subversive tactics which intentionally fuel conflicts	differing world views
multiple personal interests and wish to fulfil them all	unclear informal agreements
high personal standards and inability to meet them all	different interpretation of rules
lack of understanding or information about the situation	breaking rules
build up of tension without resolving it at an earlier stage	
lack of practical alternatives (eg only one form of transport available; insufficient resources)	

subtle forms of everyday conflict that they confront. As in most organisations, conflicts in RBU are rarely analysed but usually simply reacted to. This often prevents an assessment of deeper causes and alternative resolution strategies. It is often helpful to analyze the nature of the conflict in order to assess whether resolution is feasible and if so, what strategies might be followed (Table 8). Only then can concrete, safe, and effective steps be taken to move towards the resolution of the conflict.

To understand these elements better, the CAPOs' analysed their own experiences. Two of the case studies are summarised in Table 9[13].

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[12] The type of conflict referred to here is not personal conflict but is that which occurs in interpersonal relationships.

[13] The other two conflict situations were: (1) how to deal with a Probation welfare officer whose work standards are lower than the CAPO's, and who is unmotivated, and (2) how to resolve a conflict between a husband and wife where the long-term withholding of marital obligations has led to a conflict about household power relations.

Table 8 Elements of Conflicts to Analyze (adapted from Pendzich, pers com)

Who?	The people who are passively or actively, directly and indirectly involved in the conflict and its consequences
Why?	What are the causes of the conflict: relationship, value, structural, interest, and/or data conflicts?
Phases	Is it a new or an old conflict; is it still manageable or out of control?
Power relations	What power does each party have over the other(s) involved?
Level of the conflict	Is it at household, intra- or inter-community, national, regional, or international levels?
Past efforts	What has been tried to resolve the conflict in the past, and why has this not worked?
Range of desired solutions	What possible solutions would be acceptable to the different parties?
Possible strategies	What plan of action would be necessary to achieve the different possible solutions?
Willingness to negotiate	Is each party equally willing to negotiate or are there differences? If so, why?
Endangered	Who is endangered by different conflict resolution strategies and outcomes?
Time available	Is there a specific deadline by when a decision needs to be made?
BATNA	What is the *Best Alternative To A Negotiated Agreement*, ie what options exist which do not require 'sitting down at the table' with the other parties?

The discussion around conflict resolution revealed that there was some confusion about the difference between possible *strategies* and possible *solutions*. Possible solutions should be identified first, after which different strategies (the necessary steps of action) can be identified to reach the different solutions. The idea of BATNA, Best Alternatives To A Negotiated Agreement, was discussed but requires follow-up. BATNA is the solution to the conflict *if you are not going to aim for any kind of discussion to reach an agreement*. This could be, for example, resigning or ignoring the conflict.

Towards the end of the session, the difference between *issues, positions,* and *interests* was discussed in relation to the case studies given. An *issue* is the actual problem or area of disagreement, for example, being asked to continue with the same work but with fewer resources (Case 1). The *position* is the formal statement of the solution of a party, for example, a seemingly adamant refusal to increase resources. The *interests* are the specific needs, conditions, or gains that the parties have, such as not going over budget. It is common for people involved in a conflict to assume that the *position* is rigid. However, understanding the *interests* better could allow for more creative problem-solving.

Table 9 Analysis of Two Cases of Conflict from CAPO Experiences

CASE 1. POWER THROUGH MANAGEMENT HIERARCHY	
Who?	direct and active: project (field) staff, head office management; direct and passive: community; indirectly: donors
Why?	limitation of funds at field level; seemingly differing priorities and interests; weak management
Phases	reduction of funding to the project, discontent of project staff, mandate to "stick to basics", withdrawal by staff, blaming by management of failure on project staff, loss of trust, resignation of field staff
Power relations	donors have power over head office, country programme management have power over field staff
Level of conflict	within the organisation
Past resolution efforts	submission of report, requisition, negotiation at head office
Desired solutions	increased resource allocation, genuine participatory management style
Possible strategies	consensus at project level, sit down strike (seek audience), bypass the management bottleneck to a higher level of authority, ie the donors
Willingness to negotiate	project staff willing but head office management arrogant
Who is endangered?	community work and project staff jobs
Time available	no deadline as such but project staff patience had run out
BATNA	acceptance by project staff to suffer; seek another job

CASE 2. CONFLICTING PERSONAL AND PROFESSIONAL DEMANDS	
Who?	direct and active: CAPO and colleagues; direct and passive: RBU Kampala, family; indirectly: partner organisations at district and sub-county level
Why?	personal versus professional commitments, lack of practical alternatives, uncertainty of stay
Phases	not clear
Power relations	RBU can fire CAPO or facilitate a solution; CAPO can bear it, resign or "supply air"; family can bear it, be supportive or fail to understand; colleagues can encourage and support, or frustrate situation further
Level of conflict	personal level and within the workplace
Past resolution efforts	staying with friends, commuting, renting a house (having 2 homes), negotiating with RBU Kampala
Desired solutions	home at workplace, access to physical transportation, realistic remuneration
Possible strategies	shift family to work place, reduce frequency of travel
Willingness to negotiate	CAPO is willing (but how much compromise?), willingness of RBU Kampala and family unclear
Who is endangered?	all parties: CAPO, RBU, family, colleagues, partners
Time available	6 - 12 months
BATNA	resign and find alternative job, accept situation, work part-time, breach contract

Moving from conflict identification and analysis to its resolution involved discussing a continuum of dispute resolution procedures for different stages of conflicts (see Annex 1). Most conflicts are resolved informally or some form of cooperative decision-making. When conflicts are more difficult, a third party is involved, sometimes simply to facilitate discussion. When discussion becomes impossible, the third party makes a decision that is adhered to. If third party decision making is not respected, the more rare and serious forms of conflict can lead to non-violent coercion and after that, at times to war.

The conflicts that CAPOs face are likely to all remain in the first part of the continuum. Any follow-up work with the CAPOs on conflict resolution should, therefore, focus on improving their informal conflict resolution skills. The CAPOs expressed an interest in learning better how to recognise signals of (potential) conflict. This would help them to avoid conflicts reaching unmanageable proportions.

Final discussions focused on the possible relevance of understanding conflict and its resolution for the CAPOs' work, and therefore, for the type of participatory planning that they aim to support. Although they recognise that conflict is part of their daily lives, they also strongly see it as undesirable, a `necessary evil'. Further work with the CAPOs on conflict resolution might create the understanding that conflict can mean both 'crisis' *and* 'opportunity'. Conflicts of all kinds, between the different groups involved, will arise at different stages of participatory planning. Learning to recognise and resolve different types of conflicts would support the CAPOs in this part of their work.

4.3 Monitoring Progress of Process

Monitoring progress of the work with participatory planning is essential to enable reflection, learning, and revision of working procedures. The final IIED-facilitated session with the CAPOs focused on monitoring their work. Although there is no procedure as yet for assessing progress in the different aspects of their work, the CAPOs value assessing or measuring change or progress in their work for many reasons:

- for personal satisfaction by being able to see changes/progress;
- to keep focused on the original objectives;
- to assess level of success of achieving objectives;
- to assess the appropriateness of methods to achieve goal;
- to learn and improve on what exists;
- to help (re)focus individual CAPO activities;
- to see if adjustment of plans are necessary;
- to satisfy senior RBU staff;
- justify expenditure of resources.

To develop ideas about how their work could be monitored, the CAPOs identified a range of indicators for five of the main activities they currently undertake: guiding the DPAC and SPAC processes, advocacy work, networking, and training (Table 10). They identified general indicators, such as `political goodwill', and specific criteria, such as `number of invitations to CAPO to attend meetings'. They did not specify quantitative standards for each criterion, such as "at least 2 meetings at District level per month".

Setting standards for each indicator would help define specific targets for the CAPO work. However, great care must be taken with this as the political and economic situations in the

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Table 10 Initial Indicators for Five CAPO Activities

Training
1. number and type of training workshops, of people trained, and of training requests
2. developing training manual(s) based on local needs and training programme
3. impact resulting from training, in terms of changes in behaviour, attitude, and practices
As each type of training session has its own objectives, specific indicators need to be developed to accommodate these differences.

Networking (both reactive and proactive)
1. number of invitations to workshops, conferences, seminars, meetings
2. sharing of resources (transport, facilities, funds), and of information and documentation
3. joint efforts at various levels: planning, implementation, financing, consultancy
4. inventory of the activities of various actors (NGOs, government agencies, CBOs, communities, etc)
5. awareness and involvement in what is being pursued
6. knowledge of existing development actors in the district and how they relate to each other (ie that different organisations know what the others are doing, where and why)
7. political support and goodwill

Advocacy Work
1. number of reported cases related to children's welfare *reduced* because of more awareness and less violence, or *increased* because there is more awareness and willingness to report cases
2. number of awareness seminars held in relation to children
3. change of attitudes towards children (in parents, teachers, other community members)
4. recognition of PWO and other social sectors by the DRC and related allocation of funds
5. recognition at all levels, of the role Secretary of Children as responsible for child advocacy
6. active role of Secretary for Children at all levels
7. number of children who know about their rights and responsibilities are increased

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SPAC Process
1. attendance at planning meetings as a sign of commitment
2. political will and support
3. feeling of ownership at sub-county level of the plan
4. active participation and contribution towards planning processes (what data is given by whom)
5. nature and level of resource allocation
6. expectations about payment of allowances
7. management of sub-county records (information and data)
8. receptive response to child rights and responsibilities, care and development
9. extent of dissemination of child care, protection and development information to lower levels
10. level of resource mobilisation versus acting for own situation
11. coordination and integration of committees and sub-county staff and NGOs
12. extent to which the committees and sub-county staff feel they have the capacity to plan
13. knowledge about which CBOs, NGOs operating in sub-county and what they are doing

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DPAC Process
1. level of commitment by sector heads and by CAPOs
2. political will, eg number of meetings that CAPOs have been invited to, who invited them, and which ones they have managed to attend
3. resource allocation to social sector and to DPAC process (office, stationery, personnel)
4. the stage at which the written plan is
5. the stage at which the inner, mental, felt plan is
6. ownership of plan at District level, eg less talk of "Redd-Barna/NCC's plan" and more of "our plan"
7. level of conceptualisation of the term "sustainability" among the various players in the process
8. level of demand for CAPO skills (number of training workshop requests)
9. number of times of follow-up in the districts

Districts vary so much that what is achieved easily in one area might be completely unrealistic in another. It would be better to express quantities in terms of a relative change rather than an absolute number. For example, rather than "at least 2 meetings at District level per month", the indicator could be "at least one additional invitation to a District level meeting within the next two months".

Little time was available to elaborate on these criteria, and considerable further work is necessary to add to and refine existing indicators. Nevertheless, the CAPOs could identify several signs of progress in their District-level work. To continue as a learning organisation, RBU will need to invest more time on monitoring. Such information must be useful (for work, self-satisfaction, and/or other groups) and should focus on what can help improve future work.

5 ASSESSING FIELD LEVEL FOLLOW-UP

Much PRA training is happening in Uganda, but how much community-based development is it leading to? Training alone will not ensure that this happens. Follow-up activities in the field, with community members, extension workers, and RBU staff alike, are needed to ensure that locally meaningful changes take place. Institutionalising participatory planning clearly involves much more than only training (see Section 1). The development of a viable, and effective approach for follow-up is of specific concern to RBU now, as it faces new challenges in the three communities where it is involved in participatory planning. RBU's position as a non-implementing agency and, therefore, dependent on other operational organisations and agencies has proven particularly problematic but is only one of several challenges.

To understand these challenges better, the follow-up activities in Kyakatebe (Masaka District) and Akoboi (Soroti District) were analyzed by different groups of people. First, an initial analysis was held with the senior RBU staff and CAPOs who are actively involved in the fieldwork. Field visits allowed further exploration with different groups of community members and extension workers, mainly in Akoboi. This involved a series of focused discussions to assess the value of the work to date, identify key weaknesses, and attempt to find solutions.

5.1 Redd Barna Uganda Perspectives

The CAPOs and other senior RBU staff who have been engaged in the follow-up activities have identified several positive impacts of the follow-up to date (Table 12)[14]. As with the training impacts, these are immediate effects. To assess lasting impacts, continual monitoring is needed.

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[14]A SWOT framework was used to structure these reflections (Strengths, Weaknesses, Opportunities, and Threats).

Table 12 Strengths and Weaknesses of Field level Follow-up (RBU Perspectives)

STRENGTHS of FIELD-LEVEL FOLLOW-UP

Improved working relationships

- increasing inclusion of those initially not involved in the fieldwork in follow-up meetings (although this is not a straightforward process)
- increased unity within the community about local development priorities (as expressed to RBU by a range of groups)
- growing appreciation by extension staff of the PRA approach for their regular work
- better understanding of the roles of extension staff by community members
- creating community level demand for the services of the extension workers, with exchanges of addresses and making of appointments for extension visits
- continual interaction creating stronger linkage between extension workers and the community, and with RBU, the basis for which had been laid with the initial PRA training fieldwork
- remotivation of local groups through follow-up meetings

Better analysis

- clarification of issues identified in initial fieldwork, deeper analysis, confirmation and amendments to issues, plus prioritisation of issues
- confirms the genuineness of issues raised during the PRA fieldwork after deeper analysis with the community
- identification, and even some implementation, of solutions for the identified problems
- clarification of fears and expectations of the community that were based on previous negative experiences with outsiders/development workers (both NGO and government)
- deeper analysis of the situation of the worse-off by engaging in specific discussions on this
- greater understanding of intra-communal differences by sharing issues between different social groups

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WEAKNESSES of FIELD LEVEL FOLLOW-UP

- lack of follow-up to build planning capacity in Kyakatebe and only implementation of plans
- follow-up seeming to move either too quickly to build lasting planning capacity, or too slowly to keep local people and extension staff motivated
- setting a locally feasible schedule of follow-up meetings and activities
- insufficient clarity from Kampala office about what material inputs, if any, can be committed by the CAPOs to the community
- organisational dilemmas about whether or not to provide material support to make follow-up meetings possible, and if so how much (eg lunch)
- lack of clarity about the respective roles of RBU, community members, extension agents, in the implementation
- organisational difficulties of linking follow-up to other operational government agencies and NGOs
- conceptual problems of linking local level information to meso-/macro-level planning (ie SPAC and DPAC processes), and therefore also limited linking in practice
- limited involvement of most vulnerable group(s), which takes place only via general community-level activities
- lack of local monitoring procedures which could serve to motivate local group activities

The *strengths* identified are mainly about community level and inter-organisational relations. Follow-up meetings and activities have improved both the working relations and the quality of analysis in a number of significant ways. The process of making the plan has proved beneficial, with local activities starting before the plan was actually finalised.

Behind some of these encouraging signs, however, is a clear perception of *weaknesses* related to the present follow-up strategy that RBU is trying to develop. One key unresolved issue is the speed at which follow-up activities are best maintained and planning should occur, and how this is influenced by local perceptions of real benefits.

On the one hand, experiences from Akoboi strongly suggest that local people are losing patience with the process after 6 months. Despite consistent and continuous clear messages from RBU that it will not provide any material inputs to communities, expectations about this persist. How long will people's patience last with the many follow-up meetings without any perception of benefits entering the community? How will this affect participation, and child-centred development, in the long term? Who will have the time and patience to work through the long planning process?

On the other hand, the Kyakatebe experience was both too ambitious and too quick, where an elaborate community plan was ready within 4 months. In the implementation, it is now clear that many issues remain unaddressed, particularly those concerns that were unique to one social group, notably the younger women. The plan was not a shared plan.

It is important to strike a balance between a slow but steady pace of analysis and planning, with tangible benefits early on. Whether or not it will be possible to generalise this sufficiently to develop a standard recommended time-line of follow-up activities is as yet unclear. However, the uniqueness of each community and type of link with partner organisations suggests that this is highly unlikely. A second weak area is the contradiction between low staff numbers and high local demands. With CAPOs overstretched and several groups in each community expecting support in planning and implementation, it will be difficult to ensure smooth follow-up unless claims can be made on other NGO or government staff. If this becomes possible, then the difficulty remains of how to schedule the follow-up with extension staff from different departments who all pursue separate work schedules. The overall question is one of how RBU can make better links between the issues raised through PRA-based analysis and other operational CBOs, NGOs, and government agencies to ensure effective implementation of local plans.

A third weak area concerns the existing lack of clarity about RBU's organisational position on providing material input in the follow-up. The CAPOs still feel unclear about what RBU is able and willing to provide and feel that the uncompromising 'no material input for implementing plans' policy might need rethinking. More clarity is needed from the Kampala office in this issue, especially now that an exception has been made to provide some inputs to Akoboi.

Related practical problems include:
- how to schedule follow-up activities, given that community members are busy and cannot maintain high levels of attendance at unrealistically frequent meetings;

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- whether or not to provide logistical support for follow-up, particularly transportation for CAPOs and extension staff, allowances for extension staff, reference materials on PRA for extension staff, and if so, how to do this.

A conceptual problem was also identified about the value of community plans for other levels of planning. Although the potential value of the issues raised in PRA based fieldwork for the SPAC process is clear, it is less clear how the findings and plans from one community can inform the SPAC. It is not feasible to conduct PRA processes in all the 40,000 or so villages in Uganda. How can PRA outcomes feed better into more macro-levels of planning, notably the SPAC process?

More emphasis and specific efforts are needed to ensure that the poorest parts of the community, in particular children in especially difficult circumstances, benefit in some way from RBU's involvement.

Despite these difficulties, there are certain *opportunities* that merit more attention. These are discussed in Section 6.

5.2 Extension Workers' Perspectives

To understand how the follow-up is perceived and influenced by extension workers, two meetings were held with the five extension workers who are engaged in activities in Akoboi. These are the agricultural extension officer, Child-to-Child worker, Community Development Assistant (CDA), water and sanitation village mobiliser, and school headmaster and LC3 mobiliser. Of these officers, only the CDA had participated in the entire PRA field training in November. However, all had been involved in the PRA orientation workshop that took place in Akoboi in December, 1994[15].

Besides clarifying RBU's plans and role in the follow-up, the meeting aimed to understand what extension activities had taken place since the last meeting with the CAPOs, what constraints are faced, and what impact the training has had on the extension workers. Recommendations to improve the collaboration with the extension workers can be found in section 6.4.

Since the end of February, no extension activities have taken place other than in agriculture. The agricultural extension worker, who had never visited the community before the PRA orientation course, is now very active. He has helped establish a cassava cuttings project in Akoboi, 6.5 hectares of mosaic virus-free cuttings. These cuttings, while not all destined for use in Akoboi, are viewed by the local community as a very positive outcome of the PRA work. The village water and sanitation mobiliser, a member of Akoboi community, is continuing to provide advice on digging latrines and general cleanliness.

The lack of further extension efforts is caused by several factors, notably the lack of incentives (ie financial assistance) from both the government and RBU. The extension workers want daily rates

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[15]No discussions were held with extension workers in Kyakatebe, Masaka District, due to lack of time.

and support for transportation, which they have been paying themselves. The CDA has access to a motorbike but others have to walk or cycle to Akoboi.

They would also welcome more information about RBU as they are unsure about the way it works and its organisational mandate. They are often asked questions in the field about RBU which they cannot answer. The extension workers are also finding it difficult to combine the intensive follow-up with other commitments, such as political meetings that they must attend.

The extension workers identified that the turn-up from the community at the extension activities that took place before February was sometimes poor, for which they offered three explanations. First, the CAPOs have not been seen much in Akoboi, feeding local fears that no more discussions would happen. The CAPOs are seen as figures of relative `authority', and their presence as a type of `process adviser' is felt to be important. Furthermore, this process means breaking the old culture of receiving direct assistance from external people like the extension workers. Thirdly, building understanding for this process takes time and patience is difficult. A general sense of fatigue with the process seems to have set in.

Nevertheless, despite these constraints, the extension workers have personally valued the PRA training (see Figure 2). The perceived benefits range from general issues, such as more positive relations with the community, to more specific issues, like more local involvement in mass education.

Figure 2 Extension workers analysis of the impact of the PRA orientation in Akoboi
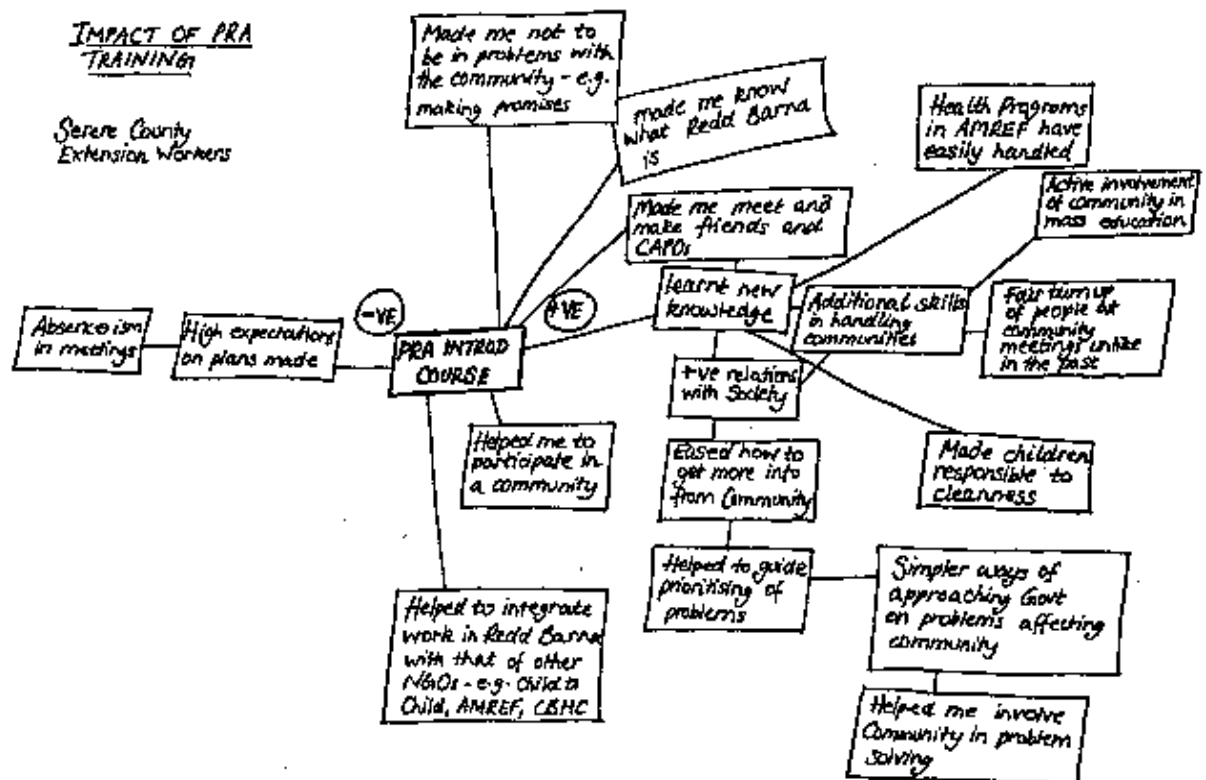
In terms of local benefits, they can see that the school and home environments have improved, and children are generally cleaner. A burial group has been established, although no one had further details about this. The cassava cuttings project (with a mosaic-virus free variety) has taken off well, and the community members make avid use of the agricultural officer's presence. The health officer has worked with men, raising awareness among men about sexually transmitted diseases and the use of condoms.

5.3 Community Perspectives

To understand how different community groups feel about the work that has taken place after the PRA training, a series of meetings were held in both Kyakatebe and Akoboi. After a brief summary of the meetings in Kyakatebe, this section focuses on Akoboi. The discussions explored the extent of participation by each group in the process, the impacts, and problems with the process. Table 13 summarises the perceptions of impacts of different groups in Akoboi (younger women, older women, children, younger men, older and men). This analysis has laid the basis for the recommendations in section 6.5.

• A Summary of Impacts in Kyakatebe

RBU held five meetings in Kyakatebe: with the younger women, older men, older women, non-school going children, and school-going children. All the discussions focused on learning about the collaboration between RBU and community members, and seeking ways to improve on this for work in other communities and in Kyakatebe itself.

The different groups mentioned a wide range of impacts. The older men listed better protected water sources, increased food production, more active health workers, renovating and extending the schools, and training on education and financial management. The older women added to this agricultural training, and income-generation activities. Hygiene and sanitation education that made children much cleaner and has led many to boil water more and has reduced fevers, while levels of immunization have also increased. The youth working on the school have learnt a skill that they can sell and earned money, which means that the community in general values them more.

However, it is clear that the participation of the poorest families in the planning process and implementation is virtually nil. This became clear following an assessment of their participation. Also, both the young women's group and the young men's group have stopped functioning, with both groups expressing that they do not 'fit in' with process. The involvement of children has been limited to a small group of non-school going young men, while the older men have been active mainly in the planning and not so much in the implementation. The older women/married mother's group has been by far the most actively involved.

But there were also clear ideas about how to improve the work so that participatory planning could proceed better. The older men felt that RBU's introduction into the community had led to considerable confusion, and that clarifying this would motivate local people to be more involved. *"When we first met, RBU said: I have brought nothing."* But, they continued, it was never clear

what "nothing" meant and now they see that RBU had brought advice and knowledge. This confusion was one of the factors that led to a decrease in the level of participation. Another issue is that some people in Kyakatebe remain with expectations of 'handouts'. This was summarised clearly by one man as follows: *"We don't want to discourage you but people are really only interested if they can gain from it financially."* Again, clarifying the intentions and role of RBU, and discussing the notion of 'partnership' further could pave the way for a smoother, more inclusive process.

The older men felt that drawing the marginalised groups into the process more would require more active house-to-house communication by RBU to explain the purpose of scheduled meetings and planning processes. Local communication channels apparently do not link all the different sub-sections of the community, in particular excluding the groups that RBU wishes to work with most. Drawing younger men and women into the process could be stimulated by arranging meetings between these groups and their older counterparts, although inter-generational conflicts must be addressed with care.

When asked about the relative value of developing a CAP versus a GAP (group action plan), the men favoured the CAP, as funding would be easier. However, the women felt that a GAP would work better as it is much easier to implement something with fewer different opinions. They say that making and implementing one large plan keeps failing. Nevertheless, the women agreed that some collective activities could join all groups.

• Akoboi's Village Management Committee Perspectives

After the PRA training and initial analysis ended in November 1994, the residents of Akoboi quickly realised that the necessary meetings were time-consuming and would cause problems, especially with the planting season looming. To make planning more efficient, they elected a group of representatives to carry the planning process forward. The formation of the Village Management Committee[16], the VMC, is one of the impacts of the PRA work. Since then, with the support of the CAPOs, the VMC has analysed further the problems in Akoboi and looked at possible solutions. They have identified the priority problem by talking with the sub-groups that they represent, visiting houses, and discussing with both individuals and groups.

The discussion with the VMC revealed two key problems: continued anticipation of financial support and lack of clarity about the planning process itself.

The VMC clearly expressed high expectations about material support from RBU: *"As had already been stated that in April we will get 'results', we have come for 'results'"*, *"What is RBU going to do about what we as VMC and community are discussing?"* The persistence of these expectations is remarkable, considering RBU's continual emphasis on its own non-operational role from the onset of its work in Akoboi. As elsewhere in Uganda, and indeed throughout the world, there is a

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[16] The VMC consists of 28 representatives: 4 from each of the 5 sub groups (children, younger women, younger men, older women, older men) and another 2 from each of the 4 'cells' of Akoboi. For meetings to be valid, the VMC decided on a quorum of 20.

strong local perception of development as depending on handouts. Time is needed to transform this perceived dependency on external agents into a stronger sense of community-based development that is supported by, rather than carried out by, external agencies. In the meeting, subsequent talk about partnership in development, and shared roles and responsibilities helped move perceptions towards a community-carried development process. But further efforts around this issue are necessary.

The second problem was summarised succinctly by a VMC member as follows: *"we are not clear about the roots and branches of what we have been doing"*. Despite having pursued in-depth analysis of their local problems, planning as a concept and a skill is still insufficiently clear for the community members of Akoboi. The VMC feels unsure about where this analysis is heading and wants RBU to provide conceptual and practical guidance about how to formulate a plan.

Table 13 PRA-related Benefits in Akoboi (as identified by different social groups)

	CH[1]	YW[1]	OW[1]	YM[1]	OM[1]
more unity in the village	X	X		X	X
more sharing of ideas	X	X	X		X
agreement on community problems	X				X
influenced cropping pattern decisions	X			X	
connection of village with extension workers	X			X	X
access to improved cassava variety	X	X	X		X
learnt how to manage (time) home affairs better			X		
more conscious of when and what to plant			X		
learnt about latrines and keeping homes clean			X		
more health education taking place (re HIV/AIDS)				X	
intensification of immunization programmes				X	
stronger football team				X	
less hesitant to speak with visitors				X	
now also non-Anglican in Youth Association				X	
know better who to contact to help solve our problems					X

1 CH : children; YW : young women; OW: older women; YM: younger men; OM: older men

• Children of Akoboi

The small group of children that met to discuss the follow-up in Akoboi had all participated in some or all of the PRA sessions in November 1994. However, they have not attended any sessions since then. The only children who have been involved in further stages of the work were those elected to the VMC. However, the children at the meeting were aware of follow-up activities (see Table 13) and, in the discussion, they confirmed the priorities that they had identified in November.

There is a serious problem with the participation of children, particularly of girls, in the follow-up. They are only notionally involved as VMC members and do not appear to be representative of children in Akoboi. Two of the children's VMC representatives come from the same family, of which the mother is also in the VMC. One of the "children's" representatives is 24 years old, and therefore not even a child. When asked why they don't attend meetings, the children answered that *"children don't value this kind of work (meetings)"*. However, more opinions should be sought to explain the lack of children's involvement in the PRA follow-up.

One further observation about the follow-up process is that older girls do not participate in the children's group. This is probably because many are mothers, and although technically children, `fit' better in the group of younger women in terms of social status and relevance of issues.

• Younger Women of Akoboi

The younger women had difficulty to discuss progress with community planning. The small group was restless about being away from their domestic tasks and were busy with their young babies. These two factors, in fact, have influenced women's participation throughout the follow-up meetings and explain the constraints under which they live. A further explanation for their limited participation is the influence that the CAPOs' gender has had on the women's willingness to meet and analyze their problems. Both of the CAPOs are men, which could affect the potential for an open discussion. Nevertheless the young women were able to identify several impacts (see Table 13).

The young women's limited involvement in the follow-up could mean that their particular perspective and issues might be side-stepped in the planning process. For example, they identified that their key interests to pursue as a sub-group were income generation opportunities (tailoring and selling foodstuffs) and relief from domestic tasks (notably grinding). The challenge for RBU is to seek ways to work better with the younger women, perhaps by arranging a few meetings with a female CAPO working in a neighbouring District to reschedule meetings to suit women's schedules and preferred meeting locations better.

• Older Women of Akoboi

The older women listed several advantages that they feel have resulted from the PRA process (analysis and planning) (see Table 13). Other women are now involved in the community level

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discussion who did not participate before. Women are more open now and take a stronger stand in VMC meetings. They no longer face negative reactions from men, such as booing.

The older women provided several reasons for the limited participation of women in follow-up. Some women do not feel their attendance is necessary as they have entrusted other older women to act on their behalf. For others, differences in income levels mean that they feel they lack suitable clothing to attend meetings. For some, this also means they lack a hoe and can not join the others in agricultural activities, occasions when issues are discussed. Still others fail to see tangible benefits from the process and some are discouraged because they see new people trying to join in, as benefits become more evident. The older women also stressed the importance of a demonstrable impact as an incentive for participation.

The women are keen to continue working in their group as women, if RBU is willing to help them. They want to pursue meeting in groups to address some of their problems and pass any issues and ideas to RBU for possible support.

• **Younger Men and Older Men of Akoboi**

The younger men have been very active in the follow-up process. Both the Chair and the Secretary of the VMC are from the younger men's group. The young men did not identify any difficulties with the process, focusing instead on many perceived positive impacts. These are not elaborated on further here (see Table 13).

The older men have, like the younger men, participated extensively in the follow-up. However, in the meeting they expressed some fears about the process and in particular about this interim assessment meeting. First, they are worried about whether RBU is going to withdraw or not after assessing the progress through these discussions. Secondly, they are concerned about having accused, or in some way, betrayed the CAPOs about the lack of follow-up meetings organised by the CAPOs.

The older men are aware that this is not yet the end of RBU's follow-up and that plans need to be budgeted. They are keen that the CAPOs stay involved in the next steps of the process, which involves defining a time frame and negotiating responsibilities. Assuming that both sides fulfil the agreed responsibilities, they think it is possible to finalise the plans before the harvest.

5.4 Summary of Follow-up

For RBU, these discussions plus the final community meeting in Akoboi and meetings in Kyakatebe, have highlighted the need to adapt how to deal with follow-up after PRA training. There are both conceptual problems and practical issues to resolve.

Conceptual problems relate in particular to the following observations.

1. The *formulated* Community Action Plan is of limited value (with the document in Kyakatebe is virtually not used). It appears that *the process of formulation* is key, and many people seem to maintain actively their specific versions of the CAP. If the process is key, then is RBU investing enough time and energy in ensuring high levels of participation and active learning and analysis during this process?

2. The PRA-based work has lacked specific objectives (other than 'community priority problems'), leading to unrealistic plans that aim to encompass everyone and everything. This makes it difficult for RBU to justify continued involvement with a community unless children's issues are "re"-introduced in the plans. If plans are to be manageable, should RBU decide to *only* focus PRA-based work on community-level child-focused activities, on vulnerable groups, and on enhancing planning capacities? This would mean ignoring all other groups in the community and issues that might arise in the analysis.

3. Despite attempts to draw in vulnerable groups, they remain marginalised (either from the outset or during the process) in the training, the analysis, and the follow-up work. If these groups are to be reached, does RBU need to invest more time in finding and mobilising such individuals and households as part of the community analysis, or should it choose for a more focused CAP formulation process only with them?

4. Too little attention is paid to ensuring sustained planning and implementation of activities. The first CAP is wrongly seen as the end point. Establishing monitoring systems, at the beginning of the process and based on people's own indicators, could encourage repeated cycles of planning. Monitoring their own progress in implementing their own plans would enable community members to assess whether or not they are ready to start with another CAP. Should RBU, therefore, aim for a CAP that explicitly aims to deal with only one issue at a time?

5. It was, at times, difficult to encourage community members to reflect on the PRA-based planning process, particularly in Kyakatebe. Discussions tended to focus on what had taken place and less so on how this had come about. In Kyakatebe, insufficient attention was spent on the planning process itself, probably contributing towards the present difficulty to reflect on this. If RBU wishes to encourage local planning skills and attitudes, then *analysis of the planning process* is important and it should spend more time encouraging community members to reflect on what they have learnt and why, rather than what they have done.

Practical problems relate in particular to the following:

1. Community members think the follow-up meetings are boring and unclear. If meetings are to be worthwhile and motivating, then RBU should develop a clear schedule with the community, clarifying the purpose and content of each meeting, and should seek more dynamic facilitation styles.

2. Implementing all of the main priorities of the CAP simultaneously is confusing. A phased implementation of the CAP could be pursued by developing the issues matrix more as a planning tool, and tackling priorities one by one. This is linked to point 4 above, of sustaining a local planning capacity and interest (see Annex 2 for an example of the issues matrix).

3. Well-being ranking is potentially a powerful way to overcome the problems of ignoring the marginalised. Yet its use in the fieldwork is not optimal and it is misunderstood by some members of the community. RBU needs to define the purpose and timing of its use more clearly.

4. Much confusion exists about RBU's intentions and role in the community-based planning work. The pre-PRA preparation phase seems too short. More time must be spent clarifying organisational policies and objectives and mobilising those groups that RBU aims to work with most, ie children, younger women, and the poor (see Part II).

6 NEXT STEPS

The learning process to date has helped to identify key areas where decisions must be taken, practice needs to be adapted, and new initiatives are required to strengthen RBU's approach to participatory planning. This section discusses next steps in relation to training, follow-up in the communities and with partner organisations, and support for the CAPOs.

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6. 1 A Training Strategy

A training strategy is a plan of action, supported by an organisational policy, that stipulates who is trained in what and for which reason. Any training strategy for RBU will need to make a realistic assessment of scheduling short training events and long-term commitment to follow-up that each entails. The following elements will need further elaboration.

- *Why is training important for achieving RBU's organisational objectives?*
    - Formulation of organisational vision and priorities

- *Who should be trained?*
    - Testing and finalising criteria and conditions for partners (organisations and individual participants) to ensure that partners work on areas relevant to RBU's mandate
    - Ways to ensure balanced participation in training (gender)
    - District level workshops in child-focused planning
    - Develop strategy to train local facilitators

- *Where?*
    - Define where different types of training take place: criteria selection for community for field-level training, for selection of certain districts, sub-counties, etc in Uganda

- *When?*
    - Develop a coordinated centralised schedule of training events so that the Kampala office can provide the necessary logistical support and be as cost-effective as possible

- *How?*
    - Develop key guidelines for CAPOs to help them in the pre-planning phase
    - Assess need for and skills of facilitators (choice and preparation of them)
    - Ensure that agreements (formal and signed) have been negotiated and completed
    - Pursue joint funding options where possible

- *What?*
    - Identification (prioritizing quantity, frequency, and length) of different types of workshops on MLE, BCS, PRA and planning
    - Identification of gaps in existing training (see Table 14)
    - Clear focus on the value of all training, especially field-based PRA training, for child-centred/based community development, and transparency about this to all potential partner organisations and agencies.

Table 14 Recommendations for training modules

For a successful follow-up strategy, RBU should consider including the following issues as part of its training strategy:

- training for CAPOs on *analysis*, as analytical capacities are essential and could be improved considerably (see Annex 3). This means encouraging CAPOs to develop the habit of asking why, ie why they are organising a certain meeting or why something is or is not happening in a particular planning process, etc;

- training on *facilitating planning with communities*, an essential skill about which the CAPOs and extension staff are unsure and for which LFA seems inappropriate. This means training on the concept of planning (why, what, how), the phases of articulating a plan, and monitoring implementation of the plan to encourage a more autonomous planning capacity. Part of this would need to address how to plan an effective and feasible *schedule of follow-up meetings*, as each new community will require its own timetable;

- training on *community-based monitoring*, involvement in setting plan, agenda, indicators, etc.

The 'issues matrix' could be used to great effect to fill these gaps (see Annex 2). The issues matrix has been used mainly as a descriptive list with little analysis and is under-utilised as a tool for analysis and planning. However, to enable analysis of the issues list, RBU must first clarify further its objectives for community level work and develop a basic set of guiding questions.

To develop a good training strategy, RBU could learn much from knowing how training requests reach the CAPOs and the Kampala office. This indicates where training demand exists and could be useful to target particular information channels to generate more requests.

RBU's training strategy will need to reflect the field reality of unique situations in each District by developing a training menu with which it can respond flexibly to training needs as they arise. Also, as RBU is still very much evolving as an organisation, a range of training strategies could be identified. This would allow a more realistic assessment of the likely achievements after year 1, year 2, year 3, etc for different options.

6.2 Wise Selection of Potential Partners

Over the past six months, Redd Barna Uganda has learnt much about working with other organisations, particularly when it comes to training in PRA and the follow-up involved. Problems have arisen that could have been avoided and now need solutions. Some of these problems are due to selection of inappropriate partner organisations, committing RBU to collaboration with partners that do not fit into RBU's mandate or that cannot fulfil its side of the partnership.

An initial list of criteria and conditions for selection of partner organisations and agencies was identified by a small group of CAPOs and RBU senior management (Table 15). The *criteria* should be used to make an initial selection of possible partners, be it for a short period, or a longer series of joint activities. The 'minimum' criteria are prerequisites, while the 'preferable' criteria can be used for further guidance. Those organisations or agencies with whom RBU would not be able to work can be identified easily. Once the request for collaboration has been approved by the Kampala office (see below), a formal agreement will need to be signed between RBU and the new partner, which will include the *conditions* of collaboration. Using criteria and conditions is the only way that RBU can ensure a basic level of quality assurance in the collaborative work[17].

Several decisions were made by RBU's management team about the use of these criteria.

1.   These criteria and conditions will come into immediate effect and should be used by all CAPOs in their initial contacts with potential partners. These should be used to make clear to those seeking collaboration what RBU is and is not able to respond to.

2.   These criteria and conditions are considered part of a procedure for formal approval of all partnerships, either short-term or long-term. This procedure needs to be worked out in more detail. In the meantime, all requests for training must be approved by RBU's Training Coordinator and Director of Programme Development so as to avoid potentially difficult partnerships.

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[17] Besides these organisational criteria, conditions for individual participants for specific workshops are also needed. For example, trainees should ensure full attendance of the workshop; participate in all activities; show interest in the entire process; put new skills into practice and give feedback to supervisors. Certificates of attendance will be awarded to participants who complete training in accordance with the conditions.

3.   However, it is recognised that there must be a trial period to see if these criteria and conditions are relevant and specific enough. These initial criteria and conditions will be reviewed and, if necessary, adapted at the end of September 1995. Additional ideas for refining the criteria and conditions could be sought from other Redd Barna country programmes and other Ugandan training organisations.

4.   To ensure proper understanding and use of the selection criteria and conditions, the next CAPO meeting will include a short session on this, for which short case studies are to be organised by the Training Coordinator and the Director of Programme Development.

Table 15 Selection Criteria and Conditions for Partner Agencies and Organisations

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Minimum Criteria

The organisations/agencies should:
- Be involved in child-centred activities in organisations or government agencies.
- Preferably be registered or, at least, recognised by the District Administration (in a letter).
- Be willing to abide by the conditions (see below).
- Be operational in communities.

Preferable Criteria

If possible, the potential partner:
- Should have basic organisational procedures and financial records in place.
- Should be a community-based organisation, especially those with a women and/or child focus.
- Should have a shared vision with RBU (empowerment of community to handle its own problems).
- Have limited opportunities for external/international funding and support (to be prioritised above those that have more support).
- Should have a potentially large positive impact.

Minimum Conditions for Partner Organisations and Agencies

- They should have enough available field staff/volunteers to ensure that any necessary follow-up is pursued.
- They should be willing to have workers/members trained.
- They should be willing, and preferably have the capacity, to co-facilitate both training and follow-up: viz transport and funds.
- They should display a cooperative spirit, sensitive conduct, and a flexible approach to all aspects of the collaboration.
- Active and clear steps should be taken by the partner organisation or agency to seek a gender-balanced participation in the collaboration.
- Where the collaboration involves training, participants shall be selected in accordance with Conditions for Trainees (to be developed).

6.3   CAPO Support

The CAPOs face a difficult task. They work with very few resources, pushing issues that are not priorities of the government staff they liaise with, introduce unfamiliar approaches, and operate at

different levels simultaneously. They are shaping their jobs each day, within a new country programme that is itself slowly clarifying its policies, priorities, and procedures. Dealing with new issues with an open mandate to innovate, seizing or creating new opportunities, requires creativity and continual analysis to gain new insights, self-confidence and flexibility and high levels of motivation. For many CAPOs, it is their first job.

To succeed in this open-ended process the CAPOs need guidance, support, and supervision. The bimonthly meetings in Kampala are a good beginning and steps are already under way to ensure that the CAPOs receive supervision in the Districts but more is needed. The following suggestions are offered to RBU senior management to strengthen the CAPOs work: (1) improve conceptual understanding and skill building; (2) documentation; and (3) staff incentives.

• Support to Strengthen Conceptual Understanding and Build Skills

Plan a reflection week during which (some of) the following is discussed in detail:
1. key elements of RBU vision to guide all work;
2. checklist of basic questions to guide PRA fieldwork;
3. progress indicators for different areas of work;
4. use of criteria for selection of partner organisations/agencies in detail, using one or two case studies;
5. conditions of collaboration and their use in formulating a formal agreement;
6. contradictions and dilemmas of dealing simultaneously with top down and bottom up planning;
7. the role of analysis in different aspects of their work.

Efforts are needed to assess existing gaps in skills amongst the CAPOs and to fill these (see 6.1 and Table 14). It is strongly recommended that all CAPOs receive more guidance in, and possibly training on, the following:
- facilitation skills;
- conflict recognition and management;
- why and how to analyze (both field-level information and planning processes they are engaged in);
- basic planning skills, which are more appropriate for work with communities than LFA appears to be at this stage.

However, great care is needed to avoid 'overtraining' CAPOs. Any training must be directly relevant to the tasks that the CAPOs are faced with immediately.

• Documentation

The CAPOs need documentation to support their work. They also play a key role in providing documentation from which RBU as a whole can learn. All CAPOs should, ideally, receive a copy of:
- the Akoboi report, or at least photocopies of the introductory and final chapters;

- Training of Trainer's Notes 1 and 2;
- this report;
- initial guidelines for follow-up strategy (section 7);
- initial guidelines for planning PRA work (section 4.1);
- initial guidelines on criteria and conditions for selecting partner organisations (section 6.2).

Efforts are under way to clarify the most efficient and relevant type of documentation by the CAPOs. For those engaged in community level PRA work, a more appropriate document than the bulky and descriptive Kyakatebe and Akoboi reports are needed (Guijt et al, 1994; Kisadha and Bitikerezo, 1995).

To encourage continual learning about processes of change at the community level, detailed notes are required. A possible format for each meeting that is part of the PRA follow-up is suggested in Table 16. Photocopies of this pro-forma can be taken to each meeting and filled in immediately. Copies should be sent to the Kampala office. This type of 'process documentation' will be an invaluable source of information to learn about institutionalising participatory planning.

Any key aspects of documentation must be translated. At the very least, the issues matrix developed by each community should be translated and more copies made to generate interest and encourage further analysis within the community. The issues matrix is a useful summary of local issues that might feed into SPAC and DPAC planning levels.

If formal reports are written about community-based work, a formal ceremony to hand over reports would create an opportunity to link the District with villagers, by inviting the DES. It might also increase the likelihood that the report will be used actively. If written documents are not used actively, RBU should seriously consider whether it is worthwhile to invest time and energy in such documentation.

Table 16 Possible Format to Document Follow-up Meetings in PRA Process

Date and length of meeting	Number and type of participants	Purpose of meeting	Problems, solutions, questions	Costs incurred	Action required (who, what, why)
...	...	...	...	...	...

- **Encouragement**

The CAPOs need encouragement to persist in their difficult task, for which RBU senior management must provide direction without being prescriptive. Senior management is keen to avoid encouragement through excess remuneration or other incentives that could stimulate a 'commercial' attitude which is inconsistent with RBU's organisational philosophies and out of

proportion with what other NGOs offer. Yet RBU senior management is very receptive to any innovative ideas that could strengthen the CAPOs' work.

There are several ways to achieve this. First, working targets can be set more specifically, per area of work (ie training, networking, child advocacy, etc). At the moment the CAPOs have no specific goals to guide their efforts. Concrete indicators and standards could serve to motivate them as progress towards overall objectives becomes visible.

Second, competitions could be created for the different areas of their work[18]. Encouraging a range of collegiate competitions could serve to set certain standards of work and to encourage CAPOs to strive to meet these standards. These could be remunerated with appealing and relevant prizes, such as a book allowance or opportunities for training abroad, or a study trip to other agencies working with PRA-based planning elsewhere in Uganda.

This approach could only work however, if competitions are recurrent or frequent enough to have tangible benefits soon, if competitions are set for different areas of work, and if local variations can be addressed. Each District will have more or less progress and each CAPO will be more or less skilled in different areas of work. Competitions should give opportunities to accommodate such differences. Examples of possible competitions are:
- the best documented DPAC (one-off);
- most progress under especially difficult circumstances (annual);
- the best implemented Community Action Plan (annual);
- most number of people trained in, for example, MLE or BCS (annual);
- the best developed work plan amongst the CAPOs (quarterly);
- the best vision for CAPO's role in PRA based community planning (one-off);
- the most innovative 5 year vision for CAPO job development (one-off).

Thirdly, CAPOs could be encouraged to develop visions for their own jobs (see competition examples above). At this stage it is likely that the CAPOs jobs will change from the uniform job description and activities. There is likely to be a phasing of tasks, with shifting emphasis depending on national concerns, local circumstances, and organisational priorities. Another likely development is the specialisation of CAPOs, for example, a training of trainers team, PRA trainers, MLE facilitators, DPAC specialists, etc. Three CAPOs have already moved to take on supervisory tasks that are now necessary. Engaging CAPOs in an exercise along these lines would make them realise the potential that exists for developing their jobs beyond what it is today. It would also force them to a level of self-analysis that is currently missing.

Through such mechanisms, CAPOs could gain the self-confidence that is needed for them to undertake innovative work and to respond creatively to the dynamic contexts in which they work.

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[18] This idea was suggested by Andreas Fuglesang and has already been used for various purposes in RBU and other Redd Barna offices.

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6.4 Support to Extension Workers

To understand better how to work with extension workers in the post-PRA stages, a second meeting was arranged with the extension workers active in Akoboi. Discussions focused on where the collaboration should head and on the notion of partnership. This helped to clarify everyone's understanding of the division of roles and responsibilities, and in particular of RBU's role.

The extension workers feel that a "happy, developing community", as they put it, requires smooth collaboration between government departments (agriculture, education, health, and the political system), local and national NGOs (RBU, Child-to-Child, AMREF, WATSAN, WHO, etc), and local community members.

The extension workers expressed that in this collaboration, NGOs such as RBU should have the following tasks:

1.   To fund extension staff to supervise privately operated projects coming from the NGO;
2.   To train extension staff/volunteer workers to fit the interests of their NGO programmes;
3.   To improve the working conditions of their support staff, eg Redd Barna and Child-to-Child by providing them with some means of transport (bike, motorcycle) and some incentives, such as a lunch allowance.

The extension workers feel that their contribution involves: their commitment to their work, assisting in implementing and coordinating government and NGO programmes. They want government agencies to ensure proper and timely remuneration to enable them to do this, a request that is clearly easier said than done.

RBU knows that it is unable to fund extension staff on a large or long-term scale, which throws it headlong into the dilemmas of non-operationality. By diverting government staff away from their normal extension activities to further RBU's objectives, it directly undermines its principle of supporting existing government structures. Yet remuneration or incentives in some economic form of extension staff seem necessary if local change is to happen. Extension workers are not sufficiently convinced by the rhetoric of `participatory planning' to engage on a voluntary basis. They need to feed themselves and their families.

Therefore, RBU senior management agreed that it would negotiate at the District level for the allocation of a certain number of days per month, for example three days, that extension workers would devote to Akoboi. Sub-contracting government workers is inappropriate as a long term strategy and cannot be on a permanent basis. However, it does open up opportunities for child advocacy work with the extension workers, which could have a greater impact in terms of RBU's organisational objectives. Also, investing in extension staff in this manner, does mean that human resources in the Districts are being built.

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Other issues remain unresolved, such as whether to pay for transportation for the extension workers. Two further questions that RBU management needs to decide on are:

1. how extension workers can contribute to documenting the community planning processes. Is it feasible (technically and financially) to ask them to document along similar lines as the CAPOs (see Table 16), or should the CAPOs meet them regularly to carry out documentation based on verbal updates?

2. how to incorporate the expertise of extension workers into the CAP planning process. At the moment, RBU feels it is important to bring extension workers into the CAP process before issues are prioritised as they can help to assess the feasibility of tackling certain issues. After a priority community issue has been chosen, the extension workers can then identify how they can contribute to the plan.

At the end of the meeting, the extension workers described several extension activities they could undertake, that would directly benefit the situation of children in Akoboi (Table 17).

To enable (some of) these plans to take place, the following points of action were identified:

*   RBU to negotiate the principle of time allocation for Akoboi with Department heads;
*   extension workers to work out a plan with the VMC and CAPOs, after the CAP is finalised to find their niche in Akoboi's development;
    the CAPOs need to assess what training the extension workers expressed an interest in, and need to discuss with the VMC if Akoboi can provide any incentives for extension workers to work there;
*   the VMC should try to find a way to monitor the extension workers' activities, in relation to the realisation of the CAP;
*   RBU Kampala office to develop an overall organisational policy regarding incentives for government extension workers, and to assess to what extent it can include training of them in the training strategy.

These discussions revealed several issues that must be incorporated in further work with participatory planning. From the onset of collaboration, RBU should be clear about what it is able to contribute towards the extension workers' activities, rather than telling them afterwards. RBU should also try to clarify what incentives are already in place by speaking with the Heads of departments, the DES and local NGOs. This situation will presumably be different for each District. Finally, RBU and the extension workers should take care not to jeopardise the work in other communities by focusing on the PRA community, and to only plan a realistic number of activities based on local availability of community members.

Table 17 Possible Child-centred Extension Activities in Akoboi (identified by extension workers)

Community Development Officer   Health education for 6 -12 months, in schools for 4 days a month and in homes.   Requirements: tins, jerrycans, paper/books, pickaxes/spades, hoes
Agricultural Extension Worker   1. Horticulture with young farmers' association (pupils P5 - P7) for 3 - 9 months   Requirements: oxen, chain, and plough only (as vegetable seeds are openly available on the market and land can be allocated by the community)   2. Beekeeping (which the women had mentioned during the initial PRA exercise) for out-of-school children of P5 -P7 with work spread over 9 -12 months   Requirements: beehives and attractants; traditional beehives can be built   3. Cassava multiplication scheme (is ongoing) requires 3 days of attention per week
Child-to-Child   1. Continued mass education about health with schoolchildren or non-school going children, using: drama, songs, poster, writing stories (all with health messages), and demonstration activities (about personal hygiene and community health; clean water sources, compound, and roads)   2. Train teachers for 2 days on MLE and CC approach, twice a week for the first 6 months   Requirements: stationery, printing costs, training costs and transport for monitoring
Mobiliser for Water and Sanitation   1. Teach children how to pump the borehole and to keep it clean   2. Cleanliness in homes by continued visits to discuss compound cleaning, rubbish pits, how to use the latrines   Requirements (ideally): incentive for mobiliser (such as lunch) and repair costs on the bicycle. Work is currently on a voluntary basis with rewards coming for each concrete latrine slab installed.

6.5 Support to Kyakatebe, Akoboi, and Iganga

Although the PRA field training and follow-up is unique in each of the three communities, similar problems are being faced in Kyakatebe and Akoboi which require concerted action. The next steps in the three communities relate to five objectives that are increasingly central to RBU's organisational policies and practices:

1. enhance local planning capacities;
2. improve situation of children;
3. work with the worst off;
4. work with the children;
5. emphasise group activities.

• Support must be provided to enhance local planning capacities.

To improve local planning skills, the CAPOs and the local community must understand why this may have a long-term local value (for accessing/sharing/concentrating resources and skills, etc), and who should have this skill (the sub-groups, VMC, key local individuals). Building local planning capacity will mean discussing what a plan is with whoever is (chosen to be) involved, and to identify the building blocks of a plan. Assessing the feasibility of planned activities would be an important element in this, for which local criteria are needed. Building this type of assessment into a planning process will provide opportunities to reinforce the need to emphasise development that is community based, rather than externally carried.

• Concrete improvements for the situation of children must be realised.

Positive change in terms of children's situation is already noticeable in Kyakatebe. However more could be achieved in this area, especially if the CAP would have focused specifically on child-centred development and included fewer wide-ranging activities. Further support in this area could be provided by RBU in working with group plans (see next point below) which are child-centred.

In Akoboi, the CAP has not yet been finalised and will only deal with one community-level activity. Two areas of support are needed in Akoboi. First, RBU must provide support to finalising the plan for the community priority. It should be supported by all local groups. A decision is needed from RBU Kampala about the final level of input for the implementation stage. Secondly, RBU should provide support to extension workers to realise those plans which have a child-centred impact.

In Iganga, many opportunities remain in the follow-up analysis to focus planning around activities that could improve the situation of children. To do this, the CAPOs will need to explain in more detail RBU's organisational objective of supporting child-centred development.

• Working with the worst off must be improved.

Better inclusion of the worst off in RBU's work can be realised through these steps:

- discuss with the community groups, LC, VMC, why that group is important for everyone;
- develop full social maps for the area, on which to identify who is or is not involved in discussions, and who is or is not part of the VMC (for Akoboi);
- invite those who have not been involved to a meeting by visiting each house and explain the process to date;
- ask if they have felt any impact of the PRA-linked work;
- conduct a (condensed) problems analysis with them: eg seasonal calendars, daily routines, and a transect or map, focusing on children's issues;
- work with them to identify their development vision, and to assess its basic elements and feasibility;

- identify what they feel is the best approach: to integrate with others in the community or work in a separate group.

• **Working with children directly must improve.**

RBU has not found it easy to work with children. The following suggestions to improve this were identified through discussions with different groups in Akoboi and Kyakatebe:

- provide snacks, as children are not used to long meetings;
- encourage their involvement by working more with games;
- mobilise them informally and not via community meetings. Link with religious groups (mosque/church) and Sunday school for younger children. Also use the education officials and the school to encourage children to participate more in the PRA process;
- meet at more appropriate times as children can be busy with domestic work, eg in Akoboi on Sunday morning, children at 8.30 and the girls after Sunday service;
- child advocacy is needed prior to PRA to encourage more acceptance of children's participation in the process;
- develop analytical games with children, and seek more tips on working with children from other agencies working on this in Uganda;
- provide all CAPOs with ideas on how to work with children;
- raise awareness of the Secretary of Children about his/her responsibilities towards children.

• **More emphasis on group-level planning, instead of concentrating only on the CAP.**

RBU did not pursue a conscious process of group-level planning as part of the follow-up of the PRA training in either Kyakatebe nor Akoboi. If the CAPOs could support the groups, perhaps including groups of the worst off, this could allow for more concrete, child-relevant activities to be realised which could not be dealt with at a community level anyway, such as family planning for young women. To realise such group plans, RBU must decide who it feels best placed to work with, and how much CAPO time can be allocated to this activity. It will also need to develop guidelines for structuring these plans, just as it is doing with the CAP, and find ways to integrate both levels of planning.

Local perceptions of the support that RBU should provide to them can be summarised as follows:

- try to provide required resources that cannot be mobilised locally;
- keep visiting them to check on what is going on in the village;
- keep on helping them in future after this plan, for continuity of plans;
- try to link them to other NGOs and agencies which can provide what RBU cannot.

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6.6 Thinking Ahead of Phasing Out

• Resistance Indicators

RBU recognises that it might well prove difficult to work constructively with some communities. It must be able to make a judicious and informed decision about how best to use its limited human and other resources. Some indicators were identified that would help to recognise situations where serious reconsideration of involvement in a particular community would be justified, and withdrawal might be necessary. These are:

- when the LC, or CGR, or a significant part of the community asks RBU to discontinue its involvement;
- repeated failure to attend *jointly agreed* meetings;
- lack of clear proof of new child-centred community activities;
- debilitating intra-communal conflicts that prohibit constructive collaboration, notably where work with vulnerable families is made impossible;
- long-term local insecurity (risk of serious physical violence).

Failure of partners to fulfil their side of the collaboration would also justify considering ending the collaboration. All these indicators should be made clear to the community, and perhaps re-negotiated, in the pre-PRA preparation phase, as transparency at all levels remains of utmost importance. However, the use of the indicators is only justified if RBU fulfils fully its commitments to the collaboration. To this end a rigorous procedure should be formulated whereby RBU's efforts can be assessed. These indicators should never be used as a 'lazy' option by RBU to opt out of collaboration with a community with whom work does not proceed as smoothly as might be desired.

If none of the 'resistance' indicators arise within six months of starting its involvement, RBU aims to commit itself to a minimum of one year's involvement with a particular community, as a follow-up to the initial PRA immersion.

• Phasing Out

RBU should also reconsider its involvement with a community if work has had a significant *positive* impact, for which some indicators were identified. However, it is difficult to find indicators to describe the subtle type of participatory development that RBU is striving to support, one of increased self-reliance and greater access to development options. This initial list of indicators is incomplete and must be refined. Suggested initial indicators are:

- when the LC, or C? ... or a significant part of the community tells RBU that they are able and wish to contin... ... their own;
- when the partne: ... ...sation(s)/agencies have sufficient capacity and motivation to pursue the follow-up i ... ... dently;
- when local and/or RBU's mutually agreed objectives and indicators are met

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- successful initiation of activities that have significantly benefited children.

Again, these indicators should be made clear to the community before any work starts, and their use is only justified if RBU fulfils its side of the bargain fully.

7 KEY CHALLENGES FOR FOLLOW-UP STRATEGY

7.1 Key Defining Factors

The key defining factors for Redd Barna's follow-up strategy are clear, although final answers remain elusive. RBU is dealing with:

- the dilemmas of being non-operational: how to be supportive in a creative way that can inspire and stimulate the different individuals and groups involved, while bearing in mind its ultimate objective of avoiding an unsustainable support system?

- the wish to operate at four levels (national, District, sub-county, community): how to work at these levels simultaneously and link the processes to achieve a coherent and mutually supportive child-centred development?

- the conviction of working with the more marginalised and vulnerable groups in society: how to deal with those for whom participatory development may appear to be an impossible time investment?

- the mandate to work with children's issues: how to integrate children and their priorities into community-level and group-level plans?

- the need to work from an understanding of intra-communal difference: how to involve everyone to identify a unifying catalytic issue?

- the surety that sustainable change means developing local planning capacity at all levels from community to district: how to instil a `facilitating' role in all fieldwork and build local confidence and skills to break the prevalent handout mentality?

- the knowledge that benefits lie in both the participation process and the physical product: how to encourage community-level patience and motivation to pursue the planning process to its more concrete conclusion?

- the need for continual learning through action: how to ensure sufficient and timely reflection by the CAPOs and partners while being active in the Districts?

The follow-up strategy must be based on these core elements and address these questions. This should lead to a smoother planning process, one which depends less on RBU's presence in the field than experiences to date, and in which marginal groups are benefiting, children's issues are being addressed, and autonomous planning capacities strengthened.

Redd Barna Uganda knows that participatory planning is a slow process. Moving slowly, however, can mean reaching far, or so the Luganda expression goes. The steps that RBU has taken so far have highlighted what good practice can be pursued, and what gaps need to be filled. It has also raised questions that must be resolved if the rest of the journey is to move in the intended direction.

7.2 Continuing Good Practice and Filling the Gaps

From the experiences in Akoboi, Kyakatebe, and Iganga, it is clear that follow-up after a PRA-based `immersion' will be more effective and more appropriate if it continues to:

- work with operational governmental agencies, CBOs and/or NGOs;

- include extension workers responsible for the chosen community in all stages, including the initial pre-PRA preparation;

- involve local people in training workshops with more emphasis on training them as facilitators of follow-up;

- use the issues matrix to clarify intra-communal difference, help prioritize and plan sequence of group and community plans;

- pursue the time-consuming but essential consensus-building process of follow-up analysis and avoid the temptation to develop plans quickly (see Figure 3 for an example from the Akoboi planning process);

- work, where possible, with at least five key groups in each community: younger women, younger men, children, older women, and older men, but do not maintain these divisions rigidly if communities have other ways of organising themselves.

Improvements to Redd Barna's work also means correcting unsatisfactory practice and filling gaps. In further community-level planning processes (see Figure 3), CAPOs should strive to:

- invest more time, creativity, and effort to work with marginal groups;

- document the process, as this is the only way that RBU can learn from past mistakes;

- to develop and/or translate key material on PRA and planning for local people's use;

- develop the suggested Group Action Plans alongside the CAP;

- to speed up the work on making an inventory of district-level CBOs and NGOs to serve as a database for communities wishing to implement their action plans;

- refine the timing of steps to emphasise the analysis of key issues with community groups

Figure 3 Steps to Develop Local Plans

STAGES of ANALYSIS,
SHARING and
PRIORITISING
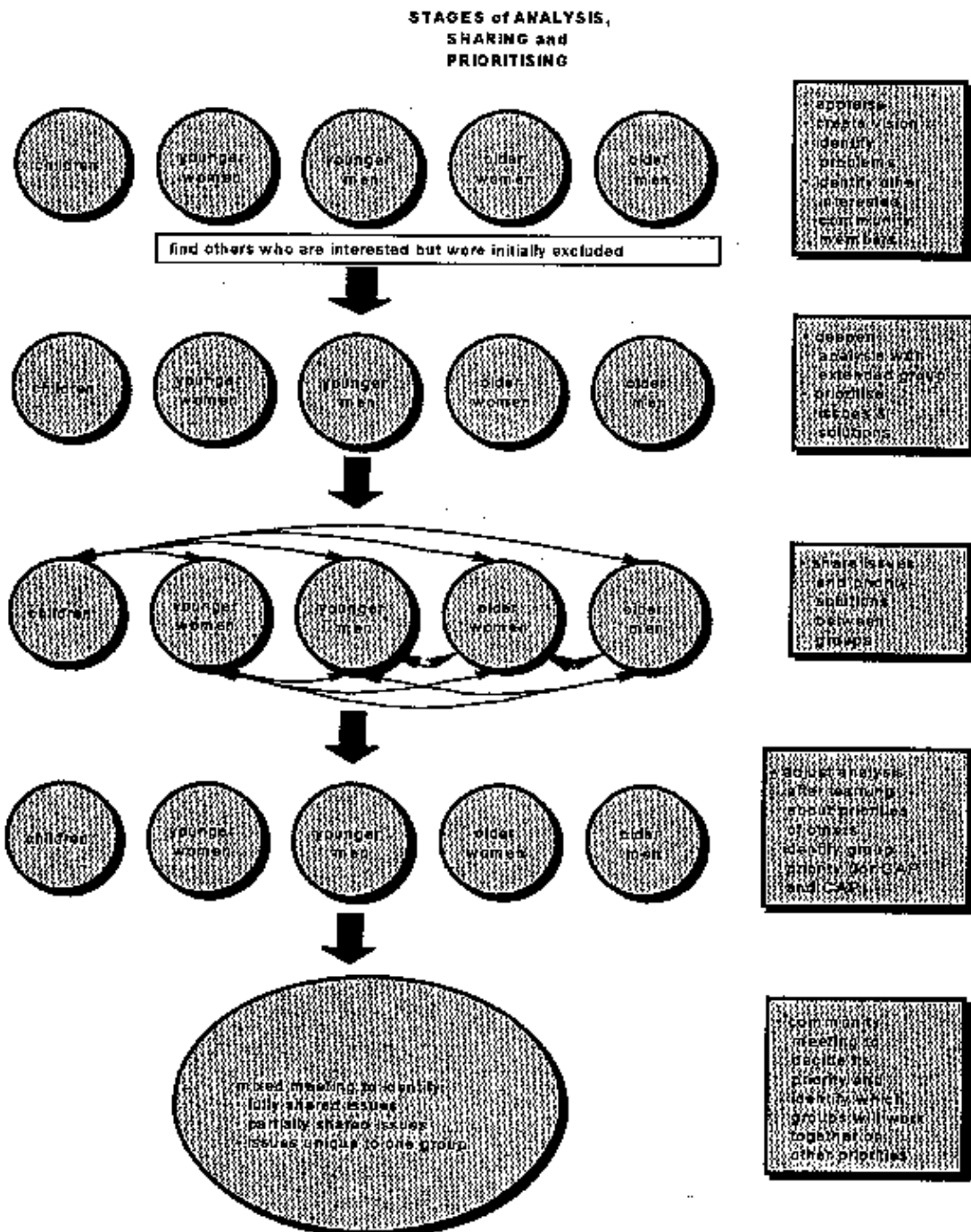
7.3 A Two-pronged Strategy

RBU realises that working with younger women (notably unmarried mothers), school-going children (via school teachers, parents and the PTA), non-school-going children (the older directly, the younger via care-givers), and the worse-off families is both essential and time-consuming. Working with such vulnerable social groups means identifying and motivating them, using methods such as social mapping and house-to-house visits. Analysis of local vision for development, constraints, and solutions would follow, and in the implementation some form of operationality would probably be indispensable.

Being able to provide certain material incentives, or access to them, is particularly important when working with destitute people, as 'participation' does not fill stomachs. Some households have no economic manoeuvring space to engage in a lengthy process of dialogue, planning and implementation. They can not be expected to pull themselves up by their bootstraps if they have no boots.

In this light, the question is one of how to ensure that the worse-off become and remain involved. To achieve this, RBU essentially has two options: it can start participatory planning with the entire community or with only a focused group. Both have implications for follow-up activities.

Scenario One sees RBU involving 'everyone' in the process, ie not excluding anyone from the community. However, the Akoboi and Kyakatebe experiences show (and there are sadly many examples of this worldwide) that the more vulnerable and worse-off families are either left out at the onset or pushed out over time. While a CAP might ostensibly be formulated, it is then unlikely to represent the priority needs of the entire community. This would at least mean that RBU makes an earnest effort in follow-up work to identify and work with these individuals and families, *as well as* the better-off.

Scenario Two means that RBU works only with focused groups of the worse-off. However this strategy raises two concerns.

First, a CAP, as the word says, is carried out by a (critical) mass of community members. These activities potentially benefit everyone in the community, eg a school, a health clinic, central water pumps, etc. The more marginal groups in a community are extremely unlikely to be able to muster sufficient resources and influence to generate interest in a CAP from the rest of the community. This means that working only with the worst off might well preclude community-level activities.

The second concern arises because Scenario Two would still rely on some contact with others in the community. RBU would need some time to identify who the worst off are, and this would inevitably mean asking others, working through the local leaders, etc. The dilemma of working via, but not with, the better-off could create resentment, with the related risk of further social isolation of the worse-off in the community.

At this stage, a two-pronged follow-up strategy, starting with an overall community-level analysis, seems most appropriate if both community-level activities and group needs are to be addressed.

One prong of that strategy would be to invest time in ensuring that a community-level initiative is formulated and implemented as a CAP. This would mean encouraging the work of groups of people who might not be priority groups for RBU. The second prong of the strategy means that RBU could concentrate most of its time and energy on the focus groups, guiding them through a deep analysis of their situation, planning for change, and supporting the implementation. This two-pronged strategy would allow community-level activities to be pursued, such as health, schooling, water, while helping specifically with, for example, income-generation activities for the worst-off.

7.4 Suggested Field Strategy to Guide Follow-up

The experiences in Kyakatebe, Akoboi, and to some extent Iganga, seem to suggest that RBU's follow-up strategy will involve an intricate 'dance', through different phases, with changing roles for the people and groups involved. The structure of a PRA-based analysis and follow-up process would consist of three distinct stages (see Table 18)[19]:

      1. ensuring a solid basis (pre-PRA);
      2. initial immersion (start with PRA);
      3. deepening analysis and planning.

Table 18 Summary of Stages in PRA and Follow-up[20]

1. lay the basis for community work, by identifying and discussing with the worse-off and key mobilisers
2. develop community vision and identify problems (use issues matrix to compile findings)
3. prioritise issues per group
4. share prioritised issues matrix between groups
5. rethink priorities in each group and chose one for community level and one for group interest
6. share top priorities between groups again and reach a final decision on the catalytic community issue
7. planning process starts, at community level, and at group level
8. after implementation, return to issues matrix to review analysis and priorities, and to develop next plan

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[19] See Part II for a more detailed and adapted version of these stages. In particular, stage three of deepening analysis and planning has been broken into three distinct phases.

[20] See Part II for changes to these steps as of September 1996.

Ensuring a Solid Basis could take 2 to 3 months. This stage is essential in order to find out, in general terms, who plays different roles in the community, especially the key mobilisers. It is also important for clarifying the objectives of the collaboration with different groups of local people, ie increasing local planning capacity and dealing with vulnerable groups and children.

This pre-PRA phase should include some child advocacy work in the community to help create stronger local awareness of RBU's mandate, to lay the basis for the PRA analysis, and make follow-up more effective and easier. It could also include exchange visits with communities where PRA-based work has already taken place, and the presentation of slides and videos of past experiences. In this phase special efforts would be made to identify the most vulnerable groups and assessing, with them, the best way to involve them in the second and third phases.

Initial immersion would last one to two weeks in the community. This would involve the field-level PRA training and initial analysis with the 5 or more sub-groups. Work would focus around developing a range of local child-centred development *visions*, rather than identifying general community problems.

RBU's focus on a child-centredness analysis and planning must be totally transparent from the beginning, to all the people involved. Reintroducing it after analysis has started confuses and discourages the community members involved.

Deepening and planning[21] is the initial phase of intense follow-up meetings to further the analysis, engage in collective problem-solving, and develop initial plans. Plans would be made per group, on group-specific issues and priorities. Simultaneously, at the community level, shared issues would be analyzed further and one community-level priority issue identified to be planned for and implemented. For successful planning and implementation, analysis should aim to identify *catalytic* issues, within each group and at the community level. A catalytic issue is one about which a critical mass of people can reach consensus to support and collectively implement.

In these stages, it is only natural that different groups will take, or be given, more or less responsibility at different moments (Table 19). In Akoboi and Kyakatebe, RBU has been the coordinating agency. However, it is aiming to establish partnerships with organisations and agencies that will take on this lead role. Whoever has the lead role in this process becomes the key facilitating organisation and will need to take responsibility for the following tasks:

1.   Ensure written documentation goes to key people and organisations;
2.   Organise District level presentations of final outcomes (by /with community members);
3   Invite appropriate people for different key moments or stages in the process;
4.   Draw in Secretary for Children from very first contact;
5.   Seek innovative and appropriate ways to motivate extension workers.

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[21] See Part II for changes to these steps as of September 1996.

Table 19 Roles of Different Groups in Community-level Participatory Planning

REDD BARNA
- facilitating initially
- handing over where possible to other facilitators
- actively seek local potential facilitators
- write summary
- actively seek appropriate NGOs/CBOs
- continued "supervision" through CAPOs
- consciously choose sub-county
- assess existing follow-up options

DISTRICT OFFICIALS
- be informed
- invite to participate
- encouraged to engage in supervision of own extension staff
- invite to District presentation by community of immediate output
- acknowledge support in documents
- read summary

RCs/CHIEFS
- see as for *District Officials* above
- keep copy of all documents
- encourage the Secretary of Children to take active role

NGOs/CBOs
- train local facilitators where appropriate
- facilitate implementation of solutions
- take on lead role in PRA
- Redd Barna to make this selection with care

EXTENSION STAFF
- participants in training
- active in implementation of "solutions"
- are major actors in follow-up implementation and planning

ELDERS
- mobilisation for meetings
- contact early on for their support

7.5 Concluding Reflections

Several questions lie at the heart of defining the next steps in this experimental process. They particularly concern RBU's organisational vision and require answers in the short term if obstacles in the process of institutionalising participatory planning are to be avoided.

• To CAP, to GAP, or both?

A CAP has two main problems, the notion of 'whose priorities' are represented and that of scale. A CAP in theory embraces the idea's and priorities of all community members. If we assume that everyone has had a say in the analysis, a tenuous assumption at best, then still a plan is still more

likely to express the consensus on the least contentious issue rather than any particular group's priorities. One way to resolve this issue is by working in parallel on a GAP with the focus groups that RBU aims to reach. This option has been discussed above.

The second problem is one of the number of activities incorporated in a CAP. The more comprehensive a CAP becomes, the more difficult will be the process of analysis, planning and implementation. This is problematic when the central objective is *learning* about planning. The CAP in Kyakatebe is an example of a more comprehensive plan, with many different activities planned to happen at the same time. The CAP in Akoboi is more modest, reflecting a Community Action *Priority* rather than Plan. Starting small, with one defined activity, is a safer way to learn about planning, is more likely to succeed, can generate a more concrete sense of achievement, and is more likely to stimulate subsequent planning than an ambitious plan which falls short of everyone's expectations.

• The Role of CAPOs at the community level

The time invested in these experiences in participatory planning is high. Considering the impact at a national level, is this level of investment justifiable? If it is not (and this question can only be answered by a thorough economic analysis with RBU), then RBU must reconsider the overall role of CAPOs operating at a community level. If RBU concludes that CAPOs must operate at the community level in some way, then what exactly should they focus their time and energy on? There are several options: coordinating data collection for the SPAC processes in the communities, training staff from operational agencies in participatory planning, guiding others in the follow-up after a PRA-based analysis, or more hands-on involvement with the community as is the case in the three experiences to date. The choice might well differ from District to District, and from CAPO to CAPO. But it is RBU's responsibility to clarify its position on how CAPOs should engage at the community level.

• The Role of PRA in RBU

RBU initially set out to enable community perspectives to inform SPAC and DPAC processes and to generate realistic local action plans. The intention was to use PRA, which would also generate local action plans. However, the link between communities and higher levels of planning is problematic. A sincere local analysis and planning process is intensive and places heavy demands on the CAPOs' time. In the short-term, only a limited number of community processes can be initiated in each district. Until all communities have followed a local planning process, and if such plans are linked to SPAC and DPAC processes, the information from one community will have to be considered representative of others. This practice is highly unreliable and could lead to grossly inaccurate and inappropriate plans at higher planning levels.

On the other hand it is clearly important that experiences and planning results achieved at community level are systematically presented and propagated at the Sub-county and District levels. While not necessarily representative for all communities, these experiences do provide an input that is sorely missing at higher administrative levels. Still, more thought is needed on this process of extrapolating context-specific needs to a more aggregate level.

Assuming that these questions are answered and solutions found, then other factors can still threaten the success of RBU's work, factors over which it has little to no control. The lack of control over the agencies on which it relies as a non-operational organisation remains a problem. All RBU can do is to accept the consequences of this choice and to guide the process where possible. Several suggestions about its guiding role have been mentioned in this report. Another 'given', at least for the foreseeable future, is the chronic under-funding and inadequate support of extension workers from their departments. Again, this has important implications for RBU as a non-operational organisation while largely outside its control. Thirdly, local political leaders will continue to influence participatory processes, where participation, or local democracy, is both an objective and a means.

Successful follow-up can also be threatened by the potential lack of commitment on the part of the community. Past development strategies have created a strong dependency mentality amongst many community members throughout Uganda, as indeed many other parts of the world. Reversing this means generating confidence within the community about its potential to address local problems. This will take time and persistent efforts on the part of RBU.

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ANNEX 1 CONFLICT AND ITS RESOLUTION

WHAT CAUSES DISPUTES? AN OVERVIEW

What is a Conflict or a Dispute?

Conflict is a form of competitive behavior between people or groups. It occurs when two or more people compete over perceived or actual incompatible goals or limited resources (Boulding, 1982). In order to manage or resolve conflict, it is necessary to identify its causes. This chapter examines several of the diverse sources of conflict and begins the discussion on how disputes can be resolved.

What Causes a Conflict or a Dispute?

The Circle of Conflict (Figure 1) outlines some of the major sources of conflict, regardless of level (interpersonal, intra- or inter-organizational, communal, or societal) or setting. The Circle identifies five central causes of conflict:

* Problems with the people's relationships

CIRCLE OF CONFLICT

Figure 1

UNNECESSARY CONFLICT

RELATIONSHIP CONFLICTS
• Strong emotions
• Misperceptions or stereotypes
• Poor or miscommunication
• Negative, repetitive behavior

DATA CONFLICTS
• Lack of information
• Misinformation
• Different views on what is relevant
• Different interpretations of data
• Different assessment procedures

VALUE CONFLICTS
• Day to day values
• Terminal values
• Self definition values

STRUCTURAL CONFLICTS
• How a situation is set up
• Role definitions
• Time constraints
• Geographic/physical relationships
• Unequal power/authority
• Unequal control of resources

INTEREST CONFLICTS
• Substantive
• Procedural
• Psychological

GENUINE CONFLICT

- Problems with data

- Perceived or actual incompatible interests

- Structural forces

- Perceived or actual competing values

Relationship Conflicts occur because of the presence of strong negative emotions, misperceptions or stereotypes, poor communication or repetitive negative behaviors. These problems often result in what has been called unrealistic (Coser, 1956) or unnecessary (Moore, 1986) conflict in that it may occur even when objective conditions for a dispute, such as limited resources or mutually exclusive goals, are not present. Relationship problems often fuel disputes and lead to an unnecessary escalatory spiral of destructive conflict.

Data Conflicts occur when people lack information necessary to make wise decisions, are misinformed, disagree over what data are relevant, interpret information differently or have competing assessment procedures. Some data conflicts may be unnecessary, such as those caused by poor communication between the people in conflict. Other data conflicts may be genuine in that the information and/or procedures used by the people to collect or assess data are not compatible.

Interest Conflicts are caused by competition over perceived or actual incompatible needs. Conflicts of interest result when one party believes that in order to satisfy his or her needs, those of an opponent must be sacrificed. Interest-based conflicts occur over substantive issues (money, physical resources, time), procedural issues (the way the dispute is to be resolved), or psychological issues (perceptions of trust, fairness, desire for participation, respect). For an interest-based dispute to be resolved, all parties must have a significant number of their interests addressed and/or met in each of these three areas.

The Satisfaction Triangle below illustrates the interdependence of these three kinds of needs (Figure 2). The Triangle, or a settlement, is not complete unless there is satisfaction on each of the three sides. A satisfactory substantive settlement, without procedural and psychological satisfaction, may be inadequate to induce a final agreement.

Conflicts often result when a disputant adopts a position, a specific solution to a problem, and equates that preferred option with his or her interests. Generally interests can be satisfied in a variety of ways (Fisher and Ury, 1983). Inability to separate interests from positions often results in a deadlock or escalatory win/lose conflict behavior.

SATISFACTION TRIANGLE

Figure 2

SUBSTANTIVE
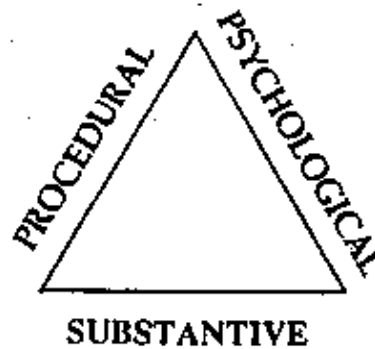
Structural Conflicts are caused by patterns of human relationships. These patterns are often shaped by forces external to the people in dispute. Limited physical resources or authority, geographic constraints (distance or proximity), time (too little or too much), organizational structures, and so forth, often promote structural conflict.

Value Conflicts are caused by perceived or actual incompatible belief systems. Values are beliefs that people use to give meaning to their lives. Values explain what is good or bad, right or wrong, just or unjust. Differing values need not cause conflict. People can live together with quite different value systems. Value disputes arise only when people attempt to force one set of values on others or lay claims to exclusive value systems which do not allow for divergent beliefs.

The Circle of Conflict and Conflict Mapping

The Circle of Conflict is a useful analytical tool for examining disputes and uncovering the causes of conflict behavior. By examining a conflict and evaluating it according to the five categories--relationship, data, interest, structure, and value--it is possible to determine the primary causes of the dispute and to assess whether the cause is a genuine incompatibility of interests or an unnecessary perceptual or relationship problem between the parties. These insights can be of assistance in designing a resolution strategy that will have a higher probability of success than an approach which is exclusively trial and error (Moore, 1986).

ANNEX 2 THE ISSUES MATRIX TO EXPLORE INTRA-COMMUNAL DIFFERENCE

Understanding intra-communal difference requires a close look at which issues matter for which group of people in each community. The issues matrix is one tool that can help in this process. Its use is based on the assumption that field teams work with distinct groups in the community. In the example provided here, the field teams worked with younger women, older women, older men, younger men, and children. Other context-specific types of social difference may be more appropriate, although gender and age are important in any society. Below are descriptions of two uses of the issues matrix: in a training setting and in a community setting.

• The Issues Matrix in Training

The first step involves collecting all the concerns raised by the different groups in all field-based discussions. Using the notes from each team, the issues are written on a flip chart (see example below). Once the issues are listed, each team indicates in the boxes whether they people with whom they discussed had voiced those concerns. This provokes lively discussions, as different interpretations of the discussions by team members become apparent. It highlights the importance of : a) cross-checking information with others, and (b) teamwork in general.

After producing the list, a plenary discussion follows on intra-communal differences. The discussion focuses on four areas of analysis:

> 1. the concerns that all the different social groups seem to *share*, which are grouped at the top of the table;
>
> 2. the issues which are *partly shared*, by one, two, three or four groups;
>
> 3. the issues about which *opinions clearly differ*, and even where conflicts between certain social groups in the community seem to exist;
>
> 4. the issues which seem to be linked by cause and effect, such as the level of school fees and the drop-out rate.

In the example given below, the issues are reordered in descending order of shared concern, ie those issues raised by all groups are at the top, then those raised by four of five groups, etc. Separate lists can be made for those issues identified under points 3 and 4 above.

A number of issues will arise that are only of concern to particular groups. At this stage, the importance of intra-communal differences become more clear. It is interesting to discuss, perhaps, if there is a high level of correlation of concerns, such as between young women and children in the example given here, and why this might be the case.

In a training setting, the issues matrix can be used to think of the next steps in analysis. The facilitator can ask the trainees to identify what *might* be the top priorities for the group of people they have focused on, based on the discussions they have had. They can then reflect on how these

priorities might be connected to other social groups in Kyakatebe, what it means for solutions, and to what extent the priority areas are child-centred (or whatever issue the trainees are focusing on).

By asking the teams to reflect on the connections between the priorities of different social groups, they start to understand better how to deal with possible intra-communal differences when implementing solutions for a particular problem. For example, if lack of access to information about family planning would be dealt with as a priority area for the young women, it is likely that men also need to be involved in some way.

• The Issues Matrix in Community Planning

The issues matrix has also been used to deepen analysis at the community level and to identify the issue on which to start working collectively. In this process, the first steps are similar to those used in training.

First, the issues arising from the PRA-based discussions are listed together and clustered in terms of how many groups share the same concerns. This step has, in its use to date, been carried out by a field worker but could be done by anyone involved in the PRA work.

This list is then used as the basis for further discussions in each sub-group. First, each group reviews its concerns, (see Figure 3 in section 7.2 above). By comparing their issues with those identified by other groups, new concerns may be identified and others deleted. The facilitator can also ask each group to analyze why different groups might have specific concerns, such as why young women want family planning. This can lead to a better understanding about the specific position of others in the community. While perhaps not a guarantee for complete consensus, this can create space to tolerate the needs of others and allowing intra-communal difference to exist. At this stage, each group can prioritise their issues.

The revised issues matrix can be used in subsequent discussions to identify those issues that can and perhaps must be tackled at a community level, ie in a Community Action Plan, and those that are best addressed in a Group Action Plan.

Example of an Issues matrix (Kyakatebe, Masaka District, Uganda) (Guijt et al., 1995)

Issues	C	YW	YM	OW	OM
lack of clean water (poor sources)	X	X	X	X	X
inadequate facilities at school	X	X	X	X	X
lack of school fees	X	X	X	X	X
orphans	X	X	X	X	X
large families	X	X	X	X	X
high school fees	X		X	X	X

high level of school drop-outs	X	X	X	X	
lack of inputs for inc-gen. activities	X	X	X		X
lack of training in skills	X	X	X	X	
inadequate health facilities		X	X	X	X
lack of market for farm products/hand tools	X	X	X	X	
HIV/AIDS		X	X	X	X
poor living conditions		X	X	X	X
land shortage/fragmentation	X	X	X		X
lack of fuel wood		X	X	X	
environmental degradation		X	X		X
unqualified teachers	X	X		X	
situation of aged and handicapped		X	X	X	
lack of organisation (Group formation)		X	X	X	
worry about change in the community			X	X	X
situation of single mothers	X	X			
punishment at school	X	X			
child labour	X	X			
high rate of teenage pregnancies		X		X	
theft among boys			X	X	
inadequate accommodation for teachers		X			X
transportation (school truck, ?)	X		?		X
issue of taxation					X
security/safety			X		
poor pay and inadequate food supply of teachers	X				
drunken teachers	X				
inadequate family planning		X			
religious conflicts		X			
wild behaviour of youth				X	

ANNEX 3   TRAINING OF TRAINERS FOLLOW-UP

The main objective of the one day follow-up was to deepen training issues with those who had attended the training of PRA trainers workshop in November 1994. The RBU trainers also wanted to: understand the skills they have, new skills, discuss the follow-up process, and demystify the word 'analysis'. The follow-up process is discussed in more detail in the bulk of this report. This section focuses on adult learning and the process of analysis.

1. LEARNING AND CHANGE

This Training of Trainers (TOT) session included a more in-depth look at the process of adult learning. The reflections presented below are based on a series of discussions and practical exercises that RBU trainers held under guidance from the author of this report.

What is Learning?

Learning is the process of getting to know new ideas, acquiring skills, appreciating new skills, internalising new skills/values/ideas, and above all, *making use* of new skills/values/ideas.

Learning and Change

The test of effective training is what people have learnt that they now apply. Change *might* result from learning but only if it is seen to be beneficial to the person who is considering to change. A person moves from learning to change via stimuli, or pressure. Pressure is not necessarily exerted via a person. It can be a change itself, such as a crisis situation, that forces a learning process and further change. The step from learning to change can be limited by fear of the unknown and by habit.

Kurt Lewin (1947)[22] describes learning as a process of *unfreezing, moving,* and *refreezing*. If training is to have an impact, then the trainees' normal views and actions will need to be challenged, or *unfrozen*. A trainer can encourage them to move to a new position by allowing them to try new thoughts or behaviour. If the participants feel that these are an improvement, then they will 'refreeze' until challenged again.

Learning can lead to changes in: knowledge (ideas or information), skills (manual or cognitive), and/or attitudes or values. All three aspects of learning are important in the methodologies that the CAPOs are working with, notably MLE, LFA, and PRA. Identifying the desired knowledge, skills, and attitudes can be a valuable tool to help plan a training session. Ideally, training sessions should

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[22] Kurt Lewin. 1947.

be planned to address all three aspects so they can reinforce each other. For example, after training on MLE, teachers should be able to:

1. demonstrate new *knowledge* by explaining the `yes' and `no' cycles, and list the `five criteria';

2. use new *skills*, such as demonstrating mediation, care-giving by practising the five criteria, be creative by using local materials, observe children, talk with and respond to them, demonstrate patience, assess if learning has taken place in a child, and listen;

3. show new *attitudes*, such as demonstrating patience by listening, repeating, taking time, etc; show love by touching, getting closer, paying attention, hugging and keeping eye contact; show respect for children by encouraging and appreciating their ideas.

The Experiential Learning Cycle and Possible Applications

Learning to achieve change is based on what is known as the experiential learning cycle (Kolb, 1984)[23]. This theory explains learning as a four stage process: direct experiences, reflecting on the experience, generalising lessons from the reflections, and identifying new applications of the lessons learnt. Annex 1 explains the cycle in more detail.

After practising the experiential learning cycle by designing a role play and reflecting on this, the group identified how they anticipate using this in their future work. It will help them:

> to plan training sessions for trainees and to help evaluate the sessions by looking at all the distinct stages;

> to monitor time during training workshops and adjust the programme to ensure all four phases are included in each session;

> to plan follow-up training after analysing if any of the four stages was dealt with insufficiently and needs more attention;

> to encourage active learning with extension workers;

> to structure sessions at the sub-county level;

> to structure the district work of the CAPOs and the 2 day CAPO meetings, to encourage a change in working practice in the Districts;

> to structure possible exchange visits between CAPOs to optimise the learning experience.

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[23] Kolb, D. 1984.

2. DEMYSTIFYING ANALYSIS

What is "Analysis"?

There is much emphasis on the importance of analysis in PRA, yet there is little clarity about what it involves. To help identify how analysis could be encouraged and reinforce important learning processes, one session with the RBU trainers focused on analysis. They defined analysis as follows: a critical look to deepen, clarify, structure information (ideas, facts, impressions) understand interconnections and examine cause-effect links, identify core elements, *in order to arrive at conclusions that can lead to action/solutions to a given problem.* If related to the Experiential Learning Cycle, it can be said that analysis takes place in stages 2 and 3, the reflection and generalising steps.

Why Bother with "Analysis"?

Analysis is valuable for many reasons:
+   to access new information;
+   to facilitate appropriate action;
+   to avoid superficial basis for action;
+   to build a clear picture of a situation/event/process;
+   to help interpret why things happen and are the way they are;
+   to reach consensus;
+   to encourage participation by opening peoples' eyes;
+   to limit biases ;
+   to crosscheck existing information;
+   to iron out contradictions in the information.

How to Analyze

It is important to reflect on *when* analysis takes place, *what* is analyzed at each moment, and *who* is involved at each moment of analysis. Analysis takes place before any fieldwork starts, at many moments during fieldwork, and afterwards in the follow-up (see Table A). Who does the analysis is a mix of trainers, trainees, community members, and others. What is analyzed differs from one moment to another and differs per group. Aspects that might be analysed in a PRA process include: people's behaviour, the local issues, the priority and relevance of different issues, and the gaps in skills/knowledge/level of participation by local people.

To improve the quality of analysis, it is also worthwhile to identify if there are other moments (besides those mentioned in Table A) during which analysis *should* take place, if there are other people or groups that *should* be involved and if other issues *should* be analyzed to better fulfil the objectives set out. For example, for deeper participation to take place, community members should be involved in the identification of objectives for the PRA work early on in the work together, as this is an early moment of initial analysis. Yet in most cases, objectives are set by outsiders to the

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community. Table A highlights a series of activities that support and encourage analysis during a
PRA training process.

In terms of the Experiential Learning Cycle, analysis takes place particularly in stages 2 and 3 of
reflecting and generalising on experiences. Analysis is necessary, takes time, and must be planned
for in training. If time is limited, ensuring sufficient time is spent on stages 2 and 3 will ensure that
analysis has been, at least, attempted.

Table A Activities that Encourage Analysis in PRA Training

Before PRA fieldwork starts   • clarification of objectives by community asking questions, forcing a critical look   • developing an objective and checklist
During PRA fieldwork   *trainers*   • assessing group dynamics   *trainees*   examining the (non)participation of worse off and its causes   • writing and reviewing of notes   • performance in initial fieldwork sessions   • daily review of how methods link to issues, and appropriate sequence   • identifying gaps in skills   • deepen issues during sessions with community   • review and change checklist and programme   • develop and understand issues matrix   *community members*   • reflect on lessons learnt from discussions   • deepen key issues during discussions with PRA "team"   • preparation for community meeting, forcing summary of all work   • develop and understand issues matrix
After initial PRA fieldwork   • extension workers reflect on and identify the relevance of PRA for their further use   • formulation of follow-up process: why, whom, when, where, what, how   • collective report writing
After longer time post-fieldwork   • general assessment of impact of PRA training and follow-up by Project Officers   • use of issues matrix to prioritise and plan action

development. PRA fieldwork cannot deal with everyone and all issues, and some priorities will be helpful.

The analytical framework could include the following:
> 1. clear objectives - why do the fieldwork;
> 2. basic questions to guide fieldwork;
> 3. detailed checklist to complement fieldwork;
> 4. analytical framework to use to analyze relevance of issues matrix (shared, partly shared, unique issues - but then what next?).

3. EVALUATING TRAINING

Evaluation of training was on the agenda but was not discussed. Suffice it to say here that it requires the evaluation of:
- inputs to the workshop
- process (programme, group dynamics, etc);
- immediate output (knowledge, skills, values);
- longer term impact.

To develop a good evaluation process, several questions need to be answered:
- who is to evaluate?
- what is to be evaluated?
- when is the evaluation to take place (immediately and/or much later)?
- how is the evaluation going to be carried out (questionnaires, discussions, visual methods, etc)?

Handouts on the Experiential Learning Cycle (from CEDPA, 1995)

```
                            1. Direct experience
4. Application                                    2. Reflecting on Experience


                            3. Generalization
                            about Experience
```
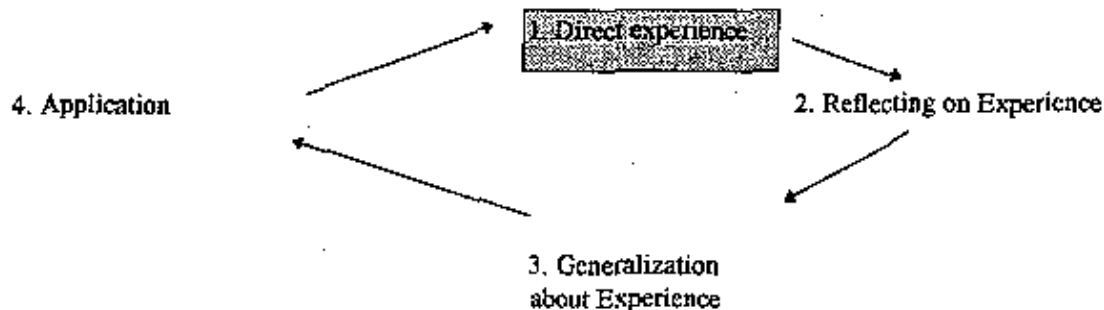
What happens in Phase 1: The Experience
    The learner uncovers new information that requires a response on his or her part

Activities to Use
        Group problem solving   Skills practice
   Case study   Games
        Role plays   Group tasks
        Field visits

Trainer's Role
The trainer's primary role in phase 1 is that of a structurer. She or he must present the objectives of the activity, clarify norms, rules and time limits. For lectures the trainer must present information in a way that is meaningful to participants. Effective ways of stimulating interest include referring to visual aids and asking questions that make the presentations more active.

For small group activities, the trainer needs to be very clear about the task. It is helpful to have the task including discussion questions, written on a flipchart or a handout so that participants can refer to it during the group work. In addition, small groups function better when the group members assign roles of a secretary, a discussion leader, a time-keeper, and a reporter. Although most of the processing goes on during the next phase, the trainer can ask some questions to each small group now in order to facilitate the group's progress. These might include the following:

- Are there any questions about the task?
- Is there anything else you need to know?
- How's everything going?
- Have you thought about...?
- Could you be more specific?
- Can you say more about that?
- Can you think of another alternative?
- Are you ready to record your work on a flipchart? How much more time do you need?

1. Direct experience

2. Reflecting on Experience

4. Application

3. Generalization
about Experience
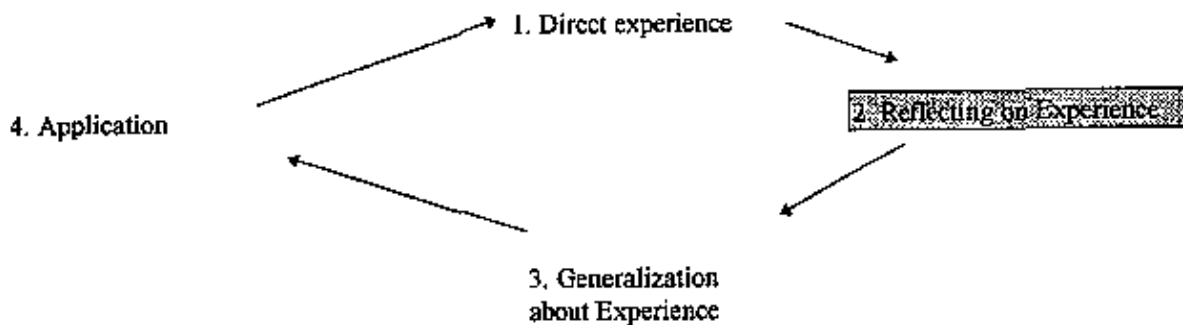
What Happens in Phase 2: Reflecting on the Experience
During this phase, the learners sort out the information developed in phase 1. They will use this information to develop key "learnings" about the subject matter in the next phase, but first they need to analyze the experience.

Activities to Use
Small group discussion
Large group discussion
Participant presentations
Reporting from small groups

Trainer's Role
The trainer's role during phase 2 of the learning cycle is to help the learner reflect on what happened during phase 1. This means the learner must focus her or his attention on what the experience meant, and the trainer should be sure that important aspects of the experience are not ignored.

An effective way to help the learner reflect is to ask questions about what happened and how the learner reacted. Phase 2 is when learners share their ideas and reactions with each other. These are examples of the kind of questions the trainer might ask:

- What happened?
- How did you feel when..?
- Did anyone feel differently?
- What did you notice about...?
- How do you feel about the experience?
- Did anyone else feel the same way about that?
- Do you agree/disagree with what they are saying? Why??
- Does anyone else have something to add...?
- Does this surprise you?
- Do you realize that...?
- Why didn't you...?

Notice that the trainer uses open-ended questions in order to stimulate discussion about the experience.
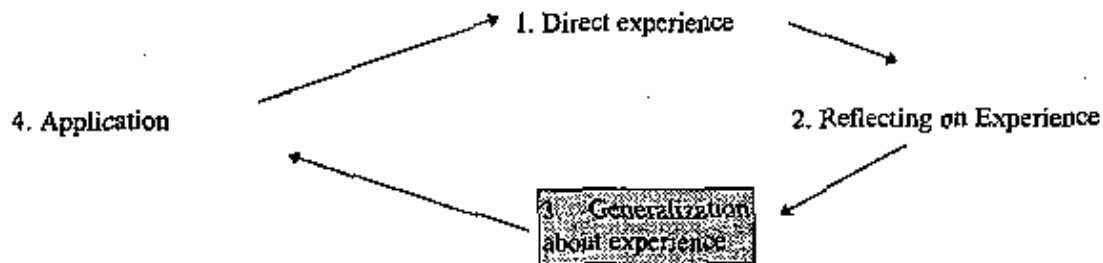
What Happens in Phase 3: Generalising about the Experience

In this phase, the learners need to interpret what was discussed during phase 2 in order to determine what lessons can be learned. This means that the learner needs to look at the information and decide what it all means to her or him; in other words, the learner draws principles or lessons learned from the experience and the discussion of it.

Activities to Use

      Synthesis discussion in large group Demonstration
   Lectures Reading assignments

Trainer's Role

The trainer's role in phase 3 is most like the conventional role of the educator—that of a guide to the learner. More than in any other phase, the trainer needs to be knowledgeable about the subject matter and have credibility in the eyes of the learner as a good information source. This does not mean, however, that the trainer needs to provide all the answers during this phase. In fact, the learner will probably internalize the learning better if the group members have to find the answers for themselves.

As a guide, the trainer helps the learner focus on the implications of what happened during the experience and the reflection phases so that the learner can acknowledge having learned something new. There are two basic approaches to doing this: the trainer can provide the summary for the learners (as in a lecture or reading assignment) or the trainer can ask probing questions that enable the learners to reach their own conclusions (as in a consensus-seeking discussion). The latter approach requires strong facilitating skills as well as knowledge about the subject itself.

Some useful questions the trainer might ask include the following:

- What did you learn from this?
- What does all of this mean to you?
- Is there an operating principle here?
- How does all that we're talking about fit together?
- Have you gained any new insights about...?
- what are some of the major themes we've seen here?
- Are there any lessons to be learned?
- What do you associate with this?

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                              1. Direct experience
        4. Application                              2. Reflecting on Experience


                              3. Generalization
                              about Experience
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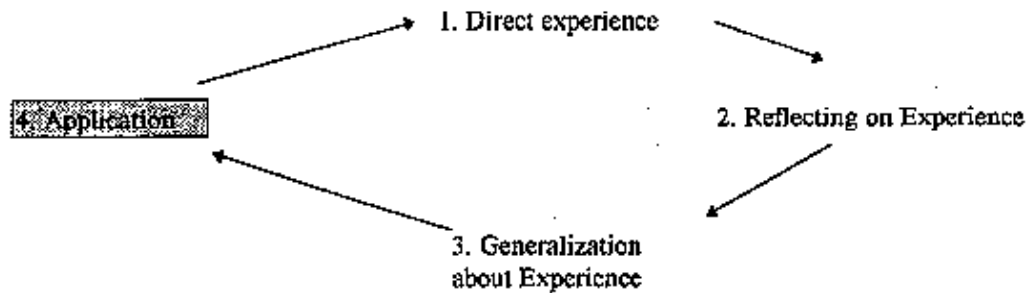
What Happens in Phase 4: Application

In order for the learner to feel that the session has had some significance, she or he must relate the new learning to her or his own life situation. During phase 4, the learner makes the connection between the training setting and the real world--the two are rarely the same. This link can be strengthened through practice and through planning for application after training.

Activities to Use

Practicing new skills
Action planning
Field visits
   Discussion

Trainer's Role

The trainer's primary role in phase 4 is that of a coach to the learner. As the learner tries doing things on her or his own' the trainer can provide advice and encourage the learner to try to improve new skills. The key question one should ask here is, "How should I do this differently next time?"

Some questions the trainer can ask include:

- What have you enjoyed most about this?
- What do you find most difficult?
- How can you apply this in your situation at home?
- Can you imagine yourself doing this in two weeks?
- What do you look forward to doing most after training?
- What do you think will be most difficult when you use this?
- If you were to do this in your own project, how would you do it differently?
- How could this exercise have been more meaningful to you?
- Do you anticipate any resistance when you return?
- What can you do to overcome resistance from others?
- Are there areas you would like to practice more?
- What are some of the questions you still have?
- How could you do this better?

PART II

PARTICIPATORY PLANNING IN REDD BARNA UGANDA: REFLECTIONS AND GUIDELINES

Written by Irene Guijt
International Institute of Environment and Development, UK

Based on the experiences of:
Simon Okalebo, Richard Ochen, and Stephen Ojangole in Kumi and Soroti Districts; Geoffrey
Mugisha, Grace Mukasa and Joanita Sewagudde in Iganga District,
Benon Webare in Masaka District.

Tony Kisadha, Violet Mugisha and Vera van der Grift Wanyoto of Redd Barna Uganda, and
Peter Tukee of Youth with a Mission and Grace Akwango of Red Barnet also participated in
some of these discussions.

June 1996

CONTENTS

THE APPROACH OF REDD BARNA UGANDA
TO PARTICIPATORY PLANNING:
REFLECTIONS AND GUIDELINES

1   INTRODUCTION

In 1994, Redd Barna Uganda (RBU) and the Sustainable Agriculture Programme of IIED started working to institutionalise participatory planning for child-centred community development. This was to fit with two other organisational principles:
- non-operational and, thus, working in partnership with local NGOs/CBOs or via existing government bureaucracies with a focus on building capacity ;
- intra-communal analysis, in particular emphasising children's and women's participation in community-based planning.

There are many experiences with participatory learning and planning approaches, notably Participatory Rural Appraisal, from many parts of the world. However, many organisations using these approaches are operational and few have focused on developing a sound approach to working with gender and age differences. Institutionalising participatory planning has meant adapting existing work, by trial and error, to suit the mandate, vision and organisational principles of Redd Barna. It has meant developing new procedures of staff support, documentation and monitoring, and clarifying further the role of partnerships.

The process of institutionalising participatory planning has been slow and steady. It is now bearing fruit, with several rich experiences from four Districts. In all communities, large changes have taken place, with tangible changes in school attendance, income levels, agricultural yields, incidence of diseases appearing. Alongside this, less tangible yet essential changes have taken place, notably recognition by communities of the value of collective action and of using their internal resources and skills.

RBU's PRA experiences have been kept intentionally low key and small scale in this exploratory phase. This has allowed it to learn from practice before putting in place clear guidelines to scale up the work. An analysis of the seven experiences to date have helped identify several different models of PRA in RBU, determined largely by varying levels of involvement in community follow-up. The joint analysis also forms the basis of the guidelines below, which describes the PRA process in five distinct phases: preparation, field immersion, analysis of intra-communal difference, planning of Community and Group Action Plans, and implementation/m.   itoring and evaluation.

This paper presents an overview of the le   ing process to date. These guidelines aim to help other RBU staff[24] undertaking PRA proc   ses to structure their efforts and avoid some of the mistakes made in earlier experiences. The ideas here, particularly the guidelines, will also help RBU's potential partners when making a decision about undertaking PRA. Embarking on

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[24] RBU staff can be Community Coordinators or Project Officers in the Masaka Programme, or a CAPO.

PRA is no light decision and involves much more than attending a two week training workshop. It means commitment to a long process of social analysis and transformation, with communities groups seeking common interests and negotiating intra-communal differences. Finally, this document is also intended to provide insights to other organisations that are keen to develop further their work with participatory development approaches. As RBU continues with PRA in other areas of Uganda, new ideas and further refinements will be added to this document.

2   REFLECTING ON PRA

2.1   A Short History of PRA in RBU

RBU's first experience with PRA took place in March 1994 in the community of Kyakatebe in Masaka District, with a two week field-based training by IIED. It was the first exposure for its fledgling staff, the Child Advocacy Programme Officers (CAPO), who were being prepared for District level work. Within a few months, a Community Action Plan was finalised and community activities started. Changes after six months included women's income generation groups, improved agricultural plots, and home improvement. Two years later, two schools have been built employing and training local unemployed youth.

However, the follow-up did not benefit everyone and was not sustained. The interests of children, other than the school, and younger women were not addressed further. There were no local groups to continue with further community action and group efforts. The CAP process had been too quick, social consensus had not been built, and marginalised groups largely left out.

The second experience took place in the community of Akoboi, in Soroti. IIED trained a small group of promising CAPOs as PRA trainers. They put their new skills into practice by training a new group of CAPOs. The field-based training included training of extension staff, by villagers involved in the initial fieldwork, and much follow-up. The focus on developing a Community Action Plan (CAP) meant a slower process but has led to the establishment of AKOCODA, a registered community-based organisation (CBO). It has started with the building of a school, and is seeking external funding to complement local resources. Work is now under way to initiate Group Action Plans (GAPs), with smaller groups in the community.

A third key experience of PRA started in March 1995, with CAPOs holding their own PRA workshop without IIED support and working through a local partner. In one year, the changes in the three villages where the fieldwork took place have been impressive. Many homes are cleaner, diseases have been reduced, school attendance has increased from 60 to 360, gender relations have improved with some men returning to their abandoned families, incomes have risen due to improved agriculture and income generation activities. Extension workers are in hot demand and job satisfaction has increased. A local PRA festival has been planned to celebrate the big improvements, all achieved with local efforts and resources. But it has proven difficult for the Village Management Committee, that was established to deal with community-

wide interests, to develop a CAP. The partner organisation is small and needs to build its facilitation capacity considerably if the changes are to be sustained.

Two other experiences with PRA training and follow-up took place in India and Okoona, both in Soroti District. RBU conducted the training but preparations and follow-up were entirely the responsibility of the partner organisations. In India, the impact has been negligible. The collaborating NGO decided to focus on another community. In Okoona, work on the follow-up is just starting, with RBU providing much advice.

Recently, yet another type of partnership-based PRA process was started in Kumi District. Both RBU and the partner organisation share responsibility for the follow-up, with the partner organisation slowly taking over the full follow-up. Finally, in Masaka District, where RBU is still operational, two more communities were involved in PRA work. Bweyo and Namagoma are different experiences again as there is much direct staff involvement in the follow up, alongside government extension workers.

In each of these experiences, new possibilities have been tried out: longer community negotiation and analysis, more focus on using the issues matrix to resolve intra-communal difference, more involvement of extension workers, more responsibility to partners, more focus on a CAP versus more on GAPs, etc. At each stage, lessons from prior work have been incorporated and new challenges faced. The present state of RBU's learning working approach is described below.

2.2 Partnerships and Models of PRA Processes

These experiences have led RBU to identify several possible models of carrying out a PRA process (see below). These models vary mainly in the extent of direct contact that RBU has with the communities themselves in the follow-up stage, after the initial fieldwork immersion (see section on *Five Phases* below). This has depended on the nature of the partnership with the partner organisation(s).

Model 1. Direct involvement and key role in follow-up (eg Kyakatebe and Akoboi)

RBU District staff are directly involved in the follow up meetings with the children's, younger women, older women, younger men and older men's groups. They facilitate the analysis and the planning process. RBU wants to move away from this model in the light of its partnership vision. However, all staff should be have some direct experience and therefore variations on this model will always be needed. The benefits of this process are that RBU builds staff capacities and knowledge about community-level conditions (ie keeps staff in touch with community realities), controls the quality of the work, and avoids difficult negotiations with partner organisations.

Risks of failure[25] occur when the heavy time commitment needed is not possible due to other equally important tasks of RBU staff. Model 1 only works well if RBU staff have the time to engage in the intensive process of follow-up. It is impossible for RBU to sustain given the limited number of District staff and their many other tasks. A large-scale impact with this approach is not possible.

Model 2. Partnership in preparation and follow-up (eg Bulende, Oseera)

This is the most preferred model, certainly where it concerns a first collaboration with a relatively unknown partner. In this model, RBU staff consciously strive to build the capacity of partners (and not necessarily of communities although villagers may also be trainees), for most of whom PRA would be an entirely new philosophy and skill. The benefits of this model are: building local capacities in participatory planning, cost-effective use of RBU time, and therefore a potentially larger scale and sustained impact.

Risks occur if the partner is not a viable organisation and ceases to exist, if misunderstandings arise and the PRA process is distorted to fit a partner's mandate, and if children's issues are not high on the agenda of the partner. Model 2 only works if the partner organisation understands the lengthy time commitment that a PRA process involves, has the staff to do the intensive follow-up, and is a viable organisation financially. RBU must take time to understand the potential partner before rushing into a collaboration. This will require more than only extensive discussions. Ideally, other less complex collaboration should be undertaken first. PRA is so sensitive and difficult that it is should not be the first collaboration with a new partner but a second or even third step.

Model 3. Adviser, with only very indirect involvement in follow-up (eg India village for Healthnet, and Okoona for YWAM)

This model sees RBU staff simply advising the partner in some of the preparations, conducting the training, and advising the follow up work but not engaging in any direct community discussions other than for review purposes. The benefits of this model include: making optimal use of RBU time and encouraging partners' autonomous learning processes, while allowing RBU to encourage the partner to maintain a focus on childrens' issues and those of marginalised groups.

Risks occur when RBU does not know the partner well and its organisational principles turn out to be incompatible with PRA principles. This is particularly likely if donors are pushing the partner to spend money before the community is ready to plan and implement its part of the plan. This is also likely if an organisation has its own agenda, eg politically or religiously motivated, which could influence community priorities and jeopardies successful implementation. Model 3 only works if the partner organisation is viable, committed to PRA principles, and has staff capacity.

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[25] A successful PRA outcome for RBU occurs when community and group plans are implemented, which bring direct benefits for children, and planning of community development continues after the first success.

It is clear that the role of partners is both crucial and difficult, an issue that RBU is trying to deal with better. Redd Barna Uganda wants to avoid establishing a large bureaucracy with field staff who implement development activities. Its vision of partnership focuses on supporting local organisations, be they CBOs, NGOs or governmental agencies, to implement the work. Successful collaboration with participatory planning depends on effective communication with partner organisations, and taking the time to create an understanding of PRA before undertaking the training and fieldwork.

However, there are two dilemmas with Redd BarnaUganda's partnership model. One is the need for RBU to build and upgrade the capacities of its own staff before they can engage in organisational development of others. RBU will need to keep recruiting, as existing staff might move to other jobs and as it wishes to expand operations to other Districts. These staff will need to build PRA skills and understand the principles of local planning and negotiating intra-communal difference *thoroughly*. This *must* include hands on experience with the follow-up, as this is the most complex and essential phase, in one or more communities as this is the most complex phase. How otherwise can they be expected to guide future partner organisations through the difficulties of the follow-up process?

A second dilemma occurs with the absence of strong partners. Many local NGOs and CBOs are fragile institutions, with many good intentions and much energy but limited staff, limited fund-raising capacity, and limited skills. Handing over too much responsibility too early in the partnership, particularly where it concerns a long and complex PRA process, would do neither side much good and could jeopardise the process.

Model 1 must be pursued at least once for each CAPO to build his/her own capacity. Model 2 seems viable, with RBU district-based staff accompanying several experiences simultaneously, but the choice of partner is crucial. This will mean less of a workload for CAPOs and much less direct involvement in village follow-up. Partner organisations should be willing and able to do almost all the follow-up. Model 3 should ideally only be undertaken if RBU knows the partner well, for example if a Model 2 PRA process has already been followed successfully.

An estimate of the capacity of CAPOs in terms of handling PRA is: one Model 1 community at the same time plus about 2 or 3 Model 2 processes. With more experienced partners, RBU can have a more limited role and thus play an advisory role for a larger number of PRA processes. RBU should be cautious about undertaking a second training with a partner organisation that has not shown an interest in or capacity to coordinate the follow-up successfully.

2.3 The Role of Motivational Factors

The PRA process is lengthy and complex. It involves many meetings, taking time away from the day-to-day survival tasks. Motivational factors must be considered for each phase, be it for community members, extension workers, partner organisation staff, or RBU staff themselves. Although motivation often does not lie in terms of money, tangible benefits must be realised early on to sustain the interest of everyone involved and to reach an optimal learning process.

Phase 3 in particular must be looked at creatively, when the initial 'magic' of PRA wears thin, groups start analysing and negotiating, and participation tends to drop.

A few ideas to motivate communities are suggested here but these will require more careful thought before being implemented.

- *Preparation Phase*
Community/partner organisation motivation can be stimulated by showing slides and videos about other PRA work, especially the impacts. It might be possible to invite community members from other PRA communities to new communities. Partner organisations might be encouraged by a firm commitment from RBU to support in the follow up phases, be it with extra training, funding of proposals, or advice.

- *Fieldwork Immersion*
The fieldwork is often very exciting and motivating of itself. Each of the community groups remains with its own diagrams and a copy of any documentation that might result from the work. The second community meeting when groups present their initial analysis, is often an important occasion with children and younger women presenting for the first time to the adults.

- *Analysis of Intra-communal Difference*
This is the most extended and intangible phase. Certificates can be handed out at the end of the analysis, just before the planning itself. These could be certificates stating that the community member has participated actively in the analysis of intra-communal difference and that he/she has identified a range of possible solutions to overcome local problems. These could be handed out at a graduation ceremony, which would be public recognition of the efforts of those involved. Participants will be motivated if some of the solutions can already be implemented, such as improved extension services. Monitoring progress regularly, simply by asking what the value of each meeting has been, will enable community members and partner organisations to reflect on the less tangible, yet essential changes, such as unity, better understanding of issues, more active participation in meetings, more respect by the men of women's issues, etc. It is at this time that visits to other communities where PRA has taken place could be particularly beneficial (although there are few such communities in Uganda).

- *Planning of CAP/GAP*
The plan itself is often a big motivational factor. If some guarantee of support funding could be given by the partner organisation, this will provide much encouragement to pursue the plan to the end. A local skills and resources inventory can also raise morale, as this helps a community realise that much is available locally. If residential training workshops on planning and M&E are to be held, as proposed, then this can stimulate the Village Management Committee and community groups to do the groundwork well. Copies of the CAP or GAPs to all those who were involved might be considered as a type of 'certificate' of planning capacity.

- *Implementation and M&E*

Seeing a plan materialise, such as a school or improved wells, is a big reward for hard work. Monitoring progress will enable community members and partner organisations to reflect on the less tangible, yet essential changes, such as unity, better understanding of issues, etc. Working on a next plan at this stage will keep the momentum going. Visits by outsiders, such as higher government officials or other communities, are a source of pride for community members who can show their own achievements.

3   FIVE STAGES OF PARTICIPATORY RURAL APPRAISAL AND PLANNING

A commonly held view of PRA is that it only requires some training and community planning 'just happens' as if by magic. But RBU is serious about PRA. It understands that a short PRA field-based training is only a small element in a longer and complex process of social learning and negotiation. Therefore,it distinguishes five equally essential phases, with each focusing on building specific capacities of partner organisations and on sensitising key groups and individuals. Thus an element of training precedes and follows the initial PRA field immersion. However, the role of CAPOs, extension workers, and partner organisation staff will vary depending on the partnership model that is being pursued. In Model 2, CAPOs will initiate many of the necessary activities. With more experienced partners Model 3 will be possible, allowing many tasks to be handed over.

Stage 1 Preparation is a key phase. It requires careful selection of partners, of the community or communities for the fieldwork process, and of trainees who will follow up the work. Many types of negotiations will be required, with the partner, with government agencies at various levels, and with the community. If child sensitisation is not emphasised in this stage, then child-centred follow up will be difficult.

Stage 2 Field Immersion is what many other organisations would describe as 'PRA training' as this stage involves the use of the well-known PRA tools. However, the preparation and follow-up stages are equally essential for a successful PRA outcome, and each of these involves some type of training with/of partners and communities. Therefore, RBU does not refer to it as 'the PRA training moment' but as the field immersion stage when the community analysis occurs as part of a training exercise. This stage involves the final logistical preparations, fine-tuning the training programme, conducting the classroom-based orientation (for those who are new to PRA), undertaking the first fieldwork or community immersion, and documenting the community analysis.

Stage 3 Analysis of Intra-communal Difference is the focus of the immediate follow-up stage, which aims to create understanding of and tolerance towards intra-communal difference. This is a long slow process of group-based analysis of the initial PRA fieldwork outcomes, identification of shared concerns and group-specific concerns, and the prioritisation of possible solutions.

Stage 4 Planning of CAP/GAP is the actual planning of the selected priority areas. This also involves the final decision about the priority for the community action plan, and those for the group action plans. There is much negotiation about group responsibilities, and the sources of funding and other necessary inputs. It is also the stage when groups are likely to be formalised, with clear objectives and activities.

Stage 5 Implementation and M&E is the stage of carrying out the CAP and GAPs. The activities are monitored as part of learning process and group building. Community-based groups are linked to external formal structures, such as government agencies and operational NGOs/CBOs. New plans are also pursued to sustain the process of community development.

The five stages do not necessarily follow each other sequentially. In particular, some implementation is likely to happen during the third stage of deepening the analysis of key issues. Community members might be motivated to tackle a relatively simple issue on their own, such as home improvement in the case of Bulende and Kyakatebe, while pursuing more complex issues in groups.

Each stage is described as six sets of recommendations in relation to: the length of time, role of RBU staff, role of partner organisation, role of extension workers, role of community, and how to encourage participation of women, children and men.

3.1   Stage 1: Preparation

The first stage lays the foundation of success or failure. It requires careful selection of partners, of the community or communities for the fieldwork process, and of trainees who will follow up the work. Trainees need to be chosen strategically, as many will be expected to be involved in the follow up which requires time and skills. Trainees can be other RBU staff, extension workers, partner organisation staff, and community members. Other trainees, particularly sub-county and District level staff, may be chosen to raise awareness about participatory planning and to smooth the way for follow-up.

Many types of negotiations and sensitisation sessions will be required, with the partner, with government agencies at various levels, and with the community. Sensitisation of the elders, the LC, and the wider community about PRA is important. Key topics to discuss openly are the long time horizon of the process, its focus on local learning and use of local resources, the motivational factors at each stage, and the need for children's and women's involvement. At this stage, as many women as possible should be met to increase their interest and participation in the PRA fieldwork. If child sensitisation is not emphasised in this stage, then child-centred follow up will be difficult. Where possible, try to include or build on prior child advocacy work or training, eg MLE in schools. A partnership agreement will be essential before moving to the next stage.

Length

Preparation can take between one month and three months. CAPOs have experienced delays due to relative inexperience, difficult negotiations with partners, and RBU's lack of clarity about what it would fund of the PRA process. If RBU is working with a new partner organisation, extra time will be needed for its orientation. The choice of village with which to work can take a long time if partner organisation use different selection criteria than RBU. If training of trainers is needed, this will require more time. Preparing a budget for the PRA work will take one week.

Role of RBU

The role of RBU staff can range from being a trainee (new staff member) to organising all logistics and sensitising all key people. RBU head office must be clear about the level of support that District staff can count on for each new PRA process. Irrespective of the model, RBU staff will probably keep responsibility to ensure that children's participation is sought. Model 1 tasks include: identifying village, organise all logistics, negotiation and seek permission with the community about the PRA process, sensitising LC/elders/community members about PRA. Model 2 tasks would involve: identifying partner, discuss criteria for village/trainees with partner, help sensitise elders/LC/community, help identify training venue and organise logistics, seek involvement of and train extension staff (perhaps with a short orientation for District officials).

In the Masaka Programme, Project Officers would be expected to: organise logistics, meet with Community Coordinators to discuss participants, identify and invite participants, link with District Official to seek permission for extension worker participation, and make the final decision about training venue. Community Coordinators would be: meeting community members, visiting communities, linking with extension workers before and after invitation, sensitising community members, identifying possible training venue, and maintaining contacts with invited participants in the community.

Role of Partner Organisation

If a partner organisation has PRA experience, then it can take over almost all activities that RBU would otherwise do. Partner organisations new to PRA can play a key role in the choice of the community, logistics, choosing trainees, mobilisation of community, seeking approval at District level, sending out invitations, etc. RBU aims for partners to co-fund any preparations, however minimally. Problems have occurred in this stage with partners wishing to use PRA for their own objectives, and misinforming the community. Therefore, they should preferably only be involved in community-level sensitisation about PRA, if they are thoroughly familiar with its principles and objectives. This will avoid raising expectations and will ensure more commitment to the follow up. A partnership agreement must be signed in this stage. Children's participation in all stages of the work should continue to be a condition of any partnership agreement.

Role of Extension Workers

Extension workers have played only a minimal role in PRA work to date. In Iganga, they helped choose the village, gave technical support to the CBO, and helped to explain the different roles of RBU and the partner organisation to the community. If they are already trained in PRA, they may: visit communities, link with extension workers before and after invitation, sensitise community members, help with logistics, and maintaining contacts with invited participants in the community.

Role of Community

The community is mobilised at this stage. Ideally, several would be involved in any prior PRA orientation that might take place. However, in Bulende, the attempt to train community members was not very successful. During the fieldwork, they acted more as community members and forgot to facilitate the discussion of others. Trainees should be selected with care and their role should be discussed thoroughly, particularly that of the follow-up stage. Those who are known to be effective community mobilisers might be most appropriate. The other alternative is to cast the net wide and train many, so that several might prove effective in the follow-up. Training many community members would have the extra benefit that you can use others you might have trained in PRA work elsewhere later on. In future exercises, RBU should also explore the possibility of inviting community members with PRA experience to help sensitise the new community. Efforts should be made to start with the selection of trainees from amongst the community. The sensitisation stage might require careful consideration as some villages have been reluctant to work with outsiders due to past deceptions and abuse.

Community Participation

Too little attention has been spent on involving women and children in this stage. Efforts have mainly focused on the LC and elders. In Oseera, the use of films and slide show helped draw a large crowd, and the opportunity was used to explain the planned PRA process. As it has proven difficult to introduce a children's perspective in the PRA work, and children quickly drop out of the process of the actual PRA analysis and follow-up, more efforts can be made to precede PRA with other sensitisation efforts (eg engaging in child advocacy work with LC and some local MLE work). To draw in children early on, a competition might be organised to bring school- and non-school-going children together and use the opportunity to discuss the planned PRA work with them. This might also be carried out in the school context but innovative ways would need to be sought to reach non-school going children. Active steps must also be taken to include women more in this stage to enhance their participation later on. In particular, child care issues will need to be discussed so that women with younger children and children can participate equally in the field immersion period.

3.2 Stage 2: Initial Immersion

For many organisation, PRA starts and stops with this stage. It involves final logistical preparations, finetuning of the training programme, the classroom based orientation (for those who are new to PRA), the first fieldwork or community immersion, and the documentation of the community analysis. In this stage, facilitators are trained. (NB This is different from training of trainers, which would require more time and focus on other skills.) Analysis during the fieldwork must be as child-oriented as possible. To avoid problems at a later stage, inclusion of a wide group of community members at this stage is important.

Length

In all cases, the week before the training will be needed for many last-minute arrangements and logistics. RBU recommends that the training and initial immersion in the field should not be less than 10 days with the trainees. If time is shorter, some methods are likely to drop from the fieldwork, analysis may be poor and follow-up planning will be weak. If facilitators are already trained in PRA, then a one day planning session prior to the 5 day fieldwork would be sufficient. In some cases, it might be possible to review and document the fieldwork each evening to shorten the total time but this is asking much of the trainees and might limit the learning effect. Otherwise, the suggested breakdown would be: 3-4 days in classroom, 4-5 days in fieldwork, then another 2 days in classroom.

The last stage of analysing, documenting, and planning follow-up is difficult and the trainees disperse quickly. Also it is difficult to fix dates immediately for follow-up with the community. They will usually need to meet without the presence of outsiders to consider their own plans. It is therefore recommended to try to leave a 1 to 2 week gap after the fieldwork and then meet with all the trainees again to finish the documentation and plan the follow-up in more detail. However, the trainers (RBU staff and/or partner organisation) should meet up immediately after the fieldwork for one day to wind up, review the process, and plan the 2 day documentation/follow-up discussion.

Role of RBU Staff

Training, or co-training, is one of RBU's key roles in this stage, unless they are new staff and are still trainees themselves. Other tasks will include: final planning, develop training notes/handouts, facilitation during village meetings, coordination between village and trainees/ Head Office and village work, and organising logistics. Group work in the field and evening review sessions might need to be coordinated by RBU staff if the partner is unfamiliar with PRA. But no matter how experienced the partner, RBU will need to be flexible enough to deal with unexpected problems and step in to help out. The Training and Resource Centre of RBU can support in this stage but it must be properly planned with sufficient advance warning.

RBU staff will need to ensure that fieldwork emphasises child-related issues. They will also need to ensure that the issues matrix (see Annex 2, Part I above) is used actively by the trainees during the fieldwork.

RBU staff should be prepared for final negotiation with the partner organisation about the agreement, and with extension staff about allowances. As much as possible, hand over logistics to the partner organisation but then be clear about what support you will need to lead a successful training. Transport must be guaranteed for trainees from training place to village and back. However, transport can be limited by sleeping in the village during the fieldwork. Prepare certificates of attendance for the trainees. Laptop computers should be available via the Training and Resource Centre to help quick documentation of the fieldwork and process notes (see *Documenting the PRA Process*, draft RBU report).

For the Masaka programme, Project Officers will be expected to: contribute to training, assist with transport, organise logistics and coordination of venue/food, transport, assist with payment of allowances, develop training materials, and help trainees with some fieldwork. Community Coordinators will be expected to: train, develop materials, coordinate the venue, transport, liaise with the community, and also guide trainees in their fieldwork.

Where trainees are not RBU staff, think of their well-being. Allowances will need to be ensured and handled well. Residential training near the homes of trainees, eg in the community, is not recommended as people tend to disappear. Try to use a system of peer review[26] during the initial fieldwork as this will help trainees learn how to reflect critically on themselves.

Role of Partner Organisation

Staff of a partner organisation with no PRA experience has a role as trainees. An experienced partner organisation will be involved in co-training and in the final planning. They will help mobilise the community, negotiate with CAPOs and extension staff, and facilitate review meetings. They will co-fund the fieldwork and help with transportation. Senior management of the partner organisation should be encouraged to attend some part of the workshop. This can be limited to one day in classroom, one field day, and final community meeting. Exposing senior staff to PRA, however briefly, can build enough understanding to generate essential support in the follow up work. If working with partners with a strong identity who might wish to assert this (eg a strong political or religious message), then efforts must be made in the classroom preparations to agree a common response in all community contact. Use the 'What would you do if...?' exercise to establish a clear team contract on this issue.

Role of Extension Workers

Government employees, mainly extension workers operating at the sub-county level, have attended PRA workshops as trainees. If they manage to understand the importance of listening to the local community, they have proven to be valuable facilitators, also in the follow up. Not including them in this stage will make follow up more difficult. If the conditions for them are

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[26] Each evening, each trainee reflects on his/her strengths and mistakes during the work each day, and receives compliments and constructive criticism from other trainees. Although initially difficult, it encourages trainees to think critically about themselves and to learn from others.

comfortable (eg receiving an allowance ahead of time), they are generally keen to have some training and are interested in PRA.

But if they have already been trained in PRA, they may be able to fulfil other tasks (see *Role of Partner Organisation* above). Working with extension workers fits in well with RBU's wish to build capacity of government structures. For Heads of Departments (HoDs) to support the extension workers attendance of the workshop and involvement in the follow up, RBU should encourage the invited extension workers to communicate with their HoDs. Those who can be invited are: a gender-oriented facilitator, Agriculture, Health, CBSO (community-based service organisation), Veterinary, Forestry, Education (centre headmaster, inspector of schools). As the situation of departments varies from county to county, each situation will need a separate assessment of who to invite. If they are there, Village Child Rights Trainers who are at sub-county should be invited.

Role of Community

Community members will be active in the discussions and analysis. They help mobilise others in the community to attend discussions and often provide some entertainment (eg a soccer match against the trainees!). They may be involved in some of the logistics, especially if meals are eaten in the community. They may be trainees. If women are trainees and part of the course is residential outside the community, confirm that they have any permission that might be required. Increasing the number of community women in the training group gives them more confidence and may make it easier for husbands to allow them to leave. Always try to invite the LC1 secretary for children to be a trainee, as he/she will be vital to ensure children's participation in the follow-up.

Community Participation

At the first community meeting, the five stage process needs to be explained clearly so that people will not expect all results at the end of the first week! Any motivational factors (certificates, training, plans, etc) must be made clear.

Although community interest is generally quite high throughout this stage, the participation of women is the first to drop. If meals are prepared in the community, then the women's participation in discussions will be affected further. Some discussions can be held while women are cooking, especially if the cooking task is shared with the trainees and creates some free time. Discuss with the women what an appropriate time would be to meet them, eg in the afternoons after preparing lunch. Ensure that group meetings are not all clustered around the home where lunch will be eaten.

Working with children needs special skills, such as knowledge on how to get children's attention and maintain their participation and interest. There are often very many children and their capacity to analyse varies greatly due to age differences. When dividing the trainees into sub-groups, allocate more facilitators to the children's group than other groups. Try to include someone who has worked with children before in the children's group.

RBU staff should get the opportunity to discuss Kirsten Sandborg's work (on working with children using PRA methods) in detail. RBU should consider working only with a certain age group in the initial immersion, for example all children over 8. However, it will be difficult to prevent other children from attending. Perhaps a child-minder might be needed to play with the very young, although an outsider is not accepted easily by the children or the mothers. If there are more facilitators, then it might be possible to deal with different age-groups. However, the person caring for the very young will miss out on the fieldwork experience. If there is more time for the fieldwork, then it might be possible to alternate meetings between the younger women and the children's group. Try to organise PRA in holidays so it will be easier to find a local girl or woman for child-minding. It will also make it easier to involve school-going children.

To make participation easier for everyone involved, try not to hold a training workshop in a large village. Limit it to about 100-150 households. Use an LC1 (sub-parish = village) with one unit. To create rapport more quickly and limit complex logistical arrangements, try to sleep in the community during the fieldwork part. The ideal number of facilitators (at least 2) for each group, other than for the children's group (see above).

The selection of the site for the discussions influences the participation of a wider group of people. The very old cannot participate if it is too far away. If meetings are in one hbourheood, then those from other neighbourhoods might not feel as comfortable working there.

Social mapping and well-being ranking are essential at this stage to ensure that those who have not been attending can be invited to joint the process at a later stage. It is also essential as a basis for monitoring the involvement of the worse off in the community.

3.3   Stage 3: Analysis of Intra-communal Difference

The third stage is quite unique to Redd Barna Uganda. It is the stage about which the least has been written in the PRA literature, yet is essential for any organisation sincere about dealing with intra-communal differences. Often it is simply described as `the CAP is then negotiated and written up'. However, RBU has placed much emphasis on this stage because of its keen interest in recognising the importance of negotiating intra-communal differences. It has developed the use of the 'issues matrix' as the key tool for analysis and creating better understanding between different groups in the community about   different perceptions of priority concerns. Box 1 shows the suggested steps in the process.

Stage 3 is a complex stage with few tangible benefits. This is a long process of group-based analysis of the results of the initial PRA fieldwork, identification of community-level concerns and group-specific concerns, and the prioritisation of possible solutions. Discussion focuses on possible solutions, particularly those using local resources and local skills. Some extension activities often start in this stage. This is also a training stage: training in the analysis of intra-communal differences and similarities that is essential for successful planning in the next stage.

Participation is likely to drop so motivational factors are essential for community members, extension workers, and the partner organisation. Working with children has been particularly problematic, especially for those not attending school.

Length

In past experiences, this stage has taken between 2 to 6 months. Ideally, it should take no longer than about 4 months, with 6 months as a maximum. This stage might now be easier as the steps have been clarified (see below). A small gap might be needed between the end of the fieldwork immersion and the start of the follow-up for RBU staff to clear their minds from the intensive experience and deal with other tasks. This will not be a problem if follow-up is pursued by the partner. Lots of patience and time is needed to probe, encourage, and explain. If more people are involved in the follow up (eg one per group), then this period could be shorter. A good balance must be struck with a shorter time to show tangible results and keep people motivated with the need to deepen the analysis and reach consensus about priority concerns and solutions.

STEPS IN ANALYSIS OF INTRA-COMMUNAL DIFFERENCE

1. Start with output of Field Immersion Stage: the group lists of issues and the issues matrix and explain this stage in a community meeting.

2. Distribute issues matrix and separate list per group of issues to all those who show up for the meetings.

3. Develop a clear definition of what an issue is (which will avoid the tendency to make them too general, eg 'water', which makes solution identification difficult). Clarify the overall process and objectives of this stage.

4. Discuss the group issue list: clarify ambiguous issues, specify vague ones. Develop a common understanding of group issues. Delete (repetitive and unimportant) issues, especially those invented by facilitators and trainees and inadvertently added!

5. Identify who else could or should join in the group using the social map and house-house visits. Ask each group how it thinks others can become more interested and join.

6. With the issues matrix, add/delete/refine issues in eachgroup.

7. Deepen the analysis by discussing each issue in terms of its causes and effects for others in the community. Cluster issues into themes (eg health, agriculture, water, education, income generation, environment). New issues will probably arise and some will disappear. Start with the identification of possible solutions for each issue but leave a detailed discussion on this for Step 12 below. You will first need to have a final

list of issues, otherwise the group might waste time seeking solutions to issues that might disappear or become less important.

8. Rank or prioritize issues per theme, perhaps using pair-wise ranking.

9. Share the draft list of thematic priority problems between the different groups. This step is essential to increase understanding in the community about why different people have different needs and that they are equally important. Ideally, each issue of each group should be discussed, using questions such as: Do you think this is a valid concern? Why/why not? What can you as another sub-group do to help resolve it?

10. Revision of the priority list by each group, again perhaps with pair-wise ranking.

11. Reassessment of the clustered and prioritised issues.

12. Detailed identification of possible solutions for final list of issues. This will require a kind of feasibility assessment of possible solutions. Matrix ranking of possible solutions per problem area can be effective. The group will need to generate its own criteria.

13. Distinguish solutions in terms of what can only be carried out as a CAP and what can be carried out by groups as GAPs (which might be mixed groups such as younger and older women together, or younger men and women together). This will require a discussion of the selection criteria, ie a discussion on why a certain solution might only be possible if carried out by all community members and why a certain solution might be possible if carried by a smaller group.

14. Prioritization of CAP and GAP activities per group, and each group to decide if it wants to focus initially on CAP, GAP or both.

15. Sharing of CAP and GAP priorities and decision of whether efforts to focus on CAP, GAP or both in a community meeting. No final decision about CAP/GAP yet.

16. Optional: Graduation ceremony with certificates for community/facilitators.

Role of RBU Staff

In a Model 1 situation, RBU staff encourage meetings to take place, link the sub groups to extension workers and perhaps train them further, and negotiate with HoDs about the involvement of extension workers. In a Model 2 situation, the partner organisation should ideally be involved in much of the follow-up, with RBU staff monitoring attendance and the depth of analysis. If partners and extension workers are involved, as is hopefully the case, then many negotiations will still be required in relation to motivational factors, eg allowances for set number of days, transport, etc.

In the Masaka programme, Community Coordinators will be the key facilitators at meetings, with Project Officers providing support during some meetings as necessary, and to pursue permission for extension workers and Partner organisation involvement. Above all, RBU staff must be patient. It should expect an increased demand from the partner organisation to provide guidance in the complex analysis process.

RBU head office must decide on and approve of the motivational factors to be used for community members, partner organisation and extension workers. RBU staff should support each other, with those more experienced in PRA to be assigned, in a type of mentor system, to those who are starting. Joint problem-solving will do much to keep RBU staff motivated. Where possible, the same colleagues should be involved in training and follow up support. RBU staff should have some indication of RBU's likely financial contribution to any CAP or GAP (via the partner organisation) but care should be taken in discussing this with the community before plans are firmed up as it is likely to influence the analysis.

Role of Partner Organisation

The role of a partner organisation clearly depends on the model. In an experienced partnership model, they will be responsible for facilitating the community meetings, mobilising community members to attend meetings, organising meetings for extension workers, negotiating with and motivating extension workers, and documenting progress. In a Model 1 process, their role will be very limited.

If partners have not understood the value and objective of this stage, then many problems can arise which can take the whole process back to square one. Copies of these guidelines on PRAP can be used in negotiations with the partner organisation so they can understand it is a long process and are committing themselves to lots of work. Motivational factors will be needed, and could include training on social analysis (particularly on gender analysis), on documentation of the process, and/or on children's participation in analysis and planning.

Role of Extension Workers

Extension workers can help mobilise the community, facilitate meetings, undertake extension activities already, and help document the process. Each extension worker can be given the responsibility for a specific group. They should understand that they are also being trained

during this stage in intra-communal analysis and prioritization of problems and solutions. Their role in this stage must be clear in negotiations and in the invitation they receive. As retrenchment of extension workers is common, it is likely that some form of PRA orientation workshop will be necessary for new extension workers.

Motivation of extension workers is vital if they are going to pursue the follow-up with interest and commitment. To date, motivation has been provided by RBU in the form of allowances for 3 days per month (USh 3,000 transport and USh 5, 000 lunch per visit). RBU will need to be clear about the length of time that such allowances will continue, and should be clear about its organisational vision of working towards a sustainable, and, therefore, unsubsidised process. A mixed process is another possibility, with RBU providing incentives for extension workers for first 3 months, and then handing this responsibility to the partner plus village management committee for 3 months (although RBU will still provide the funds). After 6 months the value of extension workers would be evaluated by the community. This could lead to an agreement with the VMC (or local CBO if it is established) to continue providing support to the community to develop specific competencies, in return for some kind of allowance by the community.

Working with retired government officials who live in communities is another possibility to pursue as they are very experienced. However, they are likely to be out of touch with government policy and might be seen by extension worker as competition. If they are to be involved, then RBU should not employ them directly but the partner organisation or, ideally, the community itself through a Village Management Committee (VMC). In any situation where retired government official might be used, the nature of the involvement and the type (cash or kind) and level of incentives must be discussed with all those concerned: the partner organisation, existing extension worker, retired official, and a VMC if it exists.

Role of Community

Mobilisation of community members is essential, and should be carried out as much as possible through local structures and known community mobilisers. Community members participate actively in the analysis. If a short orientation workshop is held for officials, community members can be involved as co-facilitators. If explanation of this process is unclear, the community can be very demanding with high expectations about RBU's eventual contribution. Explaining the five stage process again will help clarify the value of this stage.

Community Participation

In past experiences numbers have dropped greatly during this stage. This has been due to lack of clarity of RBU staff on how to proceed with the follow-up, on lack of transport, on lack of motivational factors for community members, on difficulties with partners, etc. In particular, younger women's and children's involvement has reduced to virtually nil. In one community younger men dropped off completely.

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Working with children is a particular challenge that all organisations are struggling with. School-going children can be involved in the analysis and planning process through schools. This will require considerable sensitisation work with the teachers. But working through schools and via adult-dominated groups will still limit the power of children to decide their own priorities and express their opinions. RBU must discuss if all children of all ages should be involved in the planning process. It might be more effective to work with children of 8 or 9 upwards, and engage younger children in small supporting research activities. For example, they might be able to do a community level inventory of local skills and resources to support the planning process. Another forum will be needed to involve non school-going children. Perhaps each school-going child can be asked to find a non-school-going partner and attend discussions together.

RBU, the partner organisation, and extension workers will need to move physically in the community more, to meet smaller groups of people not involved in Stage 2. The social maps made in Stage 2 will make this relatively easy. During this stage, it will be important to explain the planning process itself. Encouraging some implementation of simple ideas, eg the home improvement work in Bulende, can help to motivate groups to continue meeting to resolve the more complex concerns.

Motivational factors must be pursued creatively, such as prizes for ``the clearest analysis', the handing out of certificates to regular participants in a `graduation' ceremony, or regular reflections on the value of this type of analysis.

Suggested Format for Output of Steps 9 and 11 (draft and final priority lists)

Themes	YW Issues	YM Issues	Ch. Issues	OW Issues	OM Issues
Health					
Education					
Water					
Agriculture					
Incomes					

Suggested Format for Output of Step 13 (one per group)

Themes	Possible Activities (eg of YW)	CAP	GAP (if shared, with whom)
Health	home improvement		X (with older women)
	health unit	X	
Education	income generation to pay school fees		X
	improve school building	X	
	etc		
Water			
Agriculture			
Incomes			

Suggested Outputs of Steps 14/15

Themes	Priorities of Activities Requiring CAP Action				
	YW	Children	YM	OW	OM
Health					
Education					
Water					
Agriculture					
Incomes					

Themes	Young Women's GAP Priority Activities (one for each sub-group)
Health	
Education	
Water	
Agriculture	
Incomes	

3.4   Stage 4: Planning of GAP and CAP

The output of this stage is the final plans ready for implementation, and the intended system of M&E. This involves making the final decision about the community action plan priority, and those for the group action plans. Training in planning and M&E takes place. There is much negotiation about group responsibilities, funding sources, and who is to provide what type and amount of inputs.

It is also the stage when groups such as the Village Management Committee, are likely to be formalised, with clear objectives and activities. A major challenge that remains unresolved is how to combine a CAP plan with GAP plans. To date, PRA processes have tended to focus on one or the other but not both simultaneously. Yet motivation might be higher if both are tackled at the same time. A Village Management Committee (VMC), with sub-group representatives, could focus on the CAP, with groups pursuing their own GAPs.

Length

The length has varied enormously from one day to about 4 to 5 months. In one community, it was impossible to assess how long it took as plans were not documented but remained in people's minds, and implementation happened concurrently. Ideally, this stage should be less than one month. It can be compressed into a two stage planning workshop with community members (VMC/group representatives), extension workers/partner organisation staff. This has been tried very successfully.

Week 1:	Preparation of draft work plan in residential workshop, including training in plan development and M&E.
Weeks 2-3:	Return to community, Heads of Department, partner organisation to negotiate the conditions of the draft plans and seek adjustments and agreement.
Week 4:	Return to residential workshop to finalise plans.

Role of RBU Staff

RBU roles have varied greatly in this stage, including facilitating community meetings, the planning itself, linking to funding at the sub-county level, building consensus within community about the activities, resolved conflicts about responsibilities and community contribution. When working with a partner organisation, RBU will always keep the role of advising on funding sources and information, and ensuring child-orientation of plans and M&E. RBU will probably co-fund the residential workshops. If working with a new partner and/or one without planning/M&E skills, RBU will be responsible for training. Later on, RBU will only be a co-facilitator and may be able to stage out this support completely.

Role of Partner Organisation

As RBU's partnership approach is recent and PRA experiences are new, partner organisations have not yet been involved in Stage 4. If they need skill building, they may attend the

residential training workshop. If they have planning and M&E skills, they can be co-trainers. They will need to clarify their role in the monitoring of the community work and their contribution to the implementation of the CAP/GAPs. It is anticipated that they will co-fund the workshop, invite the trainees, and help mobilise community negotiations in the interim stage. Eventually, as the partnership strengthens and skills are built, they will take over all roles of RBU (see above).

Role of Extension Workers

To date, extension workers have been involved only marginally, giving advice on government policies to help shape the plans and mobilising the community for meetings. In future, it is expected that they will continue with advice on government policies and mobilisation of the community during the negotiation stage. If they need skill building, they may attend the residential training workshop. If they have planning and M&E skills, they can be co-trainers. They will need to clarify their own role in the monitoring of the community work, negotiate with government services on their contribution to the implementation of the CAP/GAPs, and clarify possible sources of government input.

Role of Community

Participation in planning meetings has been the main task of the community. Some have negotiated with possible external funders and sensitised community members and outsiders about objectives of this stage. They have formed the VMC and consulted with the LC1, besides developing the actual plans.

With the changes in Stage 3 and the residential workshop idea, this role will change slightly. As final decisions about the CAP and GAP will still be needed, criteria will need to be agreed for selecting the priority CAP. The community itself will need to decide how many CAPs it can manage simultaneously. This might be in sub-committee or working groups of a VMC. Therefore it is not possible to define what the final format of a CAP will look like. This also holds for GAPs. All other roles as mentioned above will remain, with the addition of clarifying the intended M&E system.

The secretary for children should be invited to the planning workshop to work with and advocate for children's ideas. The VMC will need to mobilise marginalised groups and encourage sub-groups to participate actively in the planning and negotiation. Meetings will need to be recorded, as with the actual plan. Local resources and skills will need to be assessed by the community.

Community Participation

Participation has varied quite a lot, with women and older men generally quite active. Younger women have never participated in this stage, as with children. It will be essential to find ways to increase the participation of children and younger women. Children will probably need to be approached in school-going and non-school-going groups separately.

RBU will need to clarify with which age groups it thinks community planning is feasible. Children's representatives can be invited to attend the planning workshop, with the secretary for children's affairs as their 'team leader'. The headmaster and school teachers will need to be involved to discuss what schools can do to involve children in planning community development. It would be good to explore how this stage could be linked to Child-to-Child approaches.

3.5   Stage 5: Implementation, Monitoring and Evaluation

This is the stage of carrying out the CAP and GAPs. The activities are monitored as part of learning process and group building. Community-based groups are linked to external formal structures, such as government agencies and operational NGOs. New plans are also pursued to sustain the community development process. The outputs of Stage 3 can be used as the basis for selecting and planning new plans.

Length

This depends entirely on the activity and on the nature of the partnership. In a strong partnership, then phasing out of support to the community process and to the partner's work there, can be sooner. It also depends on which other formal structures the community and partner are linked to, and if these can take over some of the roles.

Role of RBU Staff

RBU's involvement in this stage depends on the partnership. If this is solid and local structures (VMC, active groups, trained extension workers) are in place, RBU should be phasing out. RBU will continue to give advice to partners and extension workers. It will continue to provide information on child-related issues when requested. It will be involved in reviewing the process, particularly monitoring child-related benefits and the involvement of marginalised groups. RBU may fund the implementation of some activities but this will always be through the partner organisation. Funding may be for a specific community or for a type of activity (eg field worker allowances, schools). But funding can also be totally unrelated to the PRA processes. Training of partner organisation staff and extension workers who link with the communities can continue.

Role of Community

The community, particularly the VMC with the CAP, is key in the implementation. They manage the financial resources, mobilise others to fulfil their committed contribution, and monitor the work. They focus on developing next plans.

Role of Partner Organisation

The partner organisation will continue support but should also consider phasing out. It co-funds the implementation and can provide advice on implementation (depending on its area of expertise). They help monitor progress and adjust plans, as and when necessary. They identify resources (and resource gaps) and link the community to funding and information. They help mobilise the community for the implementation work, monitor progress and the impact of their own work. They document progress and report on their work their donors. They should be actively encouraging new plans and new group activities, and can help with the actual planning of new plans.

Role of Extension Workers

Extension workers will be active in implementation of the plans, especially the extension related activities. They provide information to community, especially to update them on government policies and to help adjust plans. They help identify resources (and gaps) and link the community to funding and information. They help mobilise the community for the implementation work, monitor progress and the impact of their own work. They document progress and report on their work to the partner organisation and their HoDs. They should be actively encouraging new plans and new group activities, and can help with the actual planning of new plans.

SUMMARY OF THE 5 STAGES OF
PARTICIPATORY RURAL APPRAISAL AND PLANNING

STAGE 1: PREPARATION

The overall length is 1 - 3 months.

Activities	Key Benefits and Outputs
Identify the partner (active use of selection criteria and conditions).	Partnership links
Open a PRAP logbook	
Identify the need for partnership and clarify objectives.	Knowledge about partnership benefits
Exchange of information between RBU and partner.	Sensitization of partner on participatory planning
Inform district officials about intent for partnership	
Exchange information between district based staff, supervision unit, RBU head office/partner management officials.	Sensitization of partner, community, district, district officials on children rights and women issues.
Sensitization seminars for the partner: Child Rights and Responsibilities, importance of women participation and marginalized groups.	Women and children more likely to be involved.
BCS for the partner	Communication skills imparted and partnership strengthened
MLE for the partner	Mediation skills imparted and partnership strengthened.
Review collaboration so far	
Negotiation with partner on type of agreement.	
Seek advice from supervision unit and head office on negotiations.	
Sign partnership agreement (partner and RBU, with district officials as witness).	Partnership agreement
Negotiation with partner on PRAP as a process: Clarify length, roles, motivation, resources, women and children participation.	PRAP Logbook
Write PRAP proposal to RBU and partner management (clarifying roles, facilitators, trainees and dates).	PRAP training proposal
Feed back from RBU/Partner Management.	
Identify community and negotiate on timing (selection criteria).	
Identify the vulnerable groups	
Orientation of community leaders (LC I, II & III)	
Sensitization of community on PRA (video/slide shows, child rights, women participation)	Women and children more likely to be involved
Selection/invitation of trainees and clarify their role in follow-up stages	

STAGE 2: INITIAL IMMERSION

Activities	Length	Key Benefits and Outputs
Fine-tuning of programme		PRAP training programme
Confirmation of logistics (transport venue, accommodation, meals, funds)	A week before the classroom training	
Receive/organize training materials/notes from TRC.		Helps with child-oriented community analysis
Pre-training meeting of all trainers		Basis for group work established in the community.
Orientation of community leaders, district officials, partner management, to PRA.	2 - 3 days	Trained group of community members, extension staff, partner organization staff in PRAP.
Giving Voice of Children	2 days	RBU staff training skills enhanced/strengthened
Classroom based orientation for trainees (PRA team)		Analytical skills of RBU staff strengthened
Documentation goes on concurrently		Report making skills of RBU staff, extension staff and partner organization staff strengthened.
- PRAP field exercises: * First community meeting (see guidelines) * Interest group analysis and discussions * Report making/diagramming/filling in the issues matrix/evening reviews. * Last community meeting (feed back from groups and football match between PRA team and community)	4 - 5 days	Issues matrix Issues list per sub-groups Analysed diagrams in the community/report Certificates for trainees
Trainees back to classroom (winding up)		Certificates of attendance
Follow-up planning meeting (after 2 weeks)	2 days	
RBU to ensure child focus in the discussions.		

STAGE 3: ANALYSIS OF INTRA-COMMUNAL DIFFERENCE

The overall length of this period is about 2 - 6 months

Note: This is a long and slow stage. It calls for much innovation by both RBU and partner to motivate the community. Training and certificates (or other motivational factors) are very important. Few tangible benefits are recognized.

Activities	Key Benefits and Outputs
Community meeting	Re-clarifying overall objectives and process involved
Sharing issues matrix/review of issues (which issue?, whose issue?, non-issue?)	Reviewed/acceptable issues matrix
Identification of non-participants (social map)	
Community strategies to involve non-participants	Non participants involvement
Deepening analysis into cause-effect relationship	Analysis skills enhanced
Clustering issues per theme/sector	
Running/prioritizing issues in themes/sectors	
Sharing and discussing priority issues from other sub-groups.	
Distinguish between CAP and GAP issues.	
Identification and prioritization of possible solutions (extension staff can assist a lot)	Possible solutions
Sharing of CAP and GAP priorities (community meeting).	Community consensus
Decision whether to focus on CAP or GAP	
Formation of VMC	VMC in place
Formation of groups	Groups in place
Implementation of some issues (simple and/or urgent)	Implementation
Community resources inventory making	
Training in group dynamics, conflict identification, management and resolution.	Community trained in group dynamics and how t resolve conflicts
Integration of child to child initiatives with the PRAP process.	Child participation
Issue certificates of participation	Certificates for the consistent participants

STAGE 4: PLANNING OF CAP AND GAP

The overall length of this stage is usually less than one month.

Activities	Length	Key benefits and outputs
Continuation with the implementation of simpler/urgent activities.		
prioritization of CAP		
Review of issues matrix/issues per sector		Implementation
Training in planning M & E	one week	
Making draft plans (CAP or GAPs)		Planning and MLE skill imparted
Sharing/negotiating draft plans amongst the community.	2 to 3 weeks	CAP and GAP documents
Finalizing CAP/GAP documents (printing	one week	
Official launching of CAP (distribution of document)		
Formalization of the roles and responsibilities of the VMC		

STAGE 5: IMPLEMENTATION, MONITORING AND EVALUATION

The overall length depends on the chosen activity, the plan, and the nature of the partnership

Activities	Key Benefits and Outputs
Linking the community to external agencies/funders support	External funding/support, independent of RBU
Community implementation of CAP/GAP	Implementation of CAP and GAP
Training in different areas (for the community, follow-up actors, partner staff)	M & E
Partner supports implementation	
PRA Festival	
RBU supports partner implementation	
Community visits other communities and teams	
Monitoring of the progress of activities made by a more independent and competent community and partner	
New plans	
PRA festival /review of the progress (one week)	
Exchange visit to other PRAP communities	
Evaluation of the whole process (all actors)	
Focus on new plans by community and partner.	
Phasing out of RBU (model 2)	
RBU takes on role of adviser to the partner.	
* Analyse appropriate interventions for each stage.	
* Ensure documentation of what happened/ failed to happen at each stage.	
* Ensure district officials involvement through district presentations of final outcomes.	

FIRST COMMUNITY MEETING
- Introduction of the 'PRA team'
- Overview of initial contacts/preparations for PRA
- Overview of RBU (background, activities and way of working).
- Overview of PRA as a process (the 5 stages). Mention: the tangible results expected
    - the less tangible results expected
    - certificates for different people/phases
    - future plans.
- Overview of the PRA immersion:
    - 5 interest groups (gender and age)
    - group discussions with PRA team
    - documentation process
    - last community meeting (feed back, dates, time and venue).
- Questions, clarifications and answers (from community members)
- Thanks to the community for accepting us to learn from/with them.

NOTE: Before going to the community, the above needs to be discussed by the PRAP team and a decision made on who will be the team leader, who will explain what, and include the above in the overall programme for the day.

LAST COMMUNITY MEETING
- Thanks to the community for participation
- Order of group presentations (usually we protect the children not to present first - gain confidence).
- Questions, clarifications, answers by sub-groups, representatives (from the rest of the community members).
- Follow-up procedures:
    - Next steps (explain/negotiate the immediate follow-up)
    - Dates of next meeting
    - Follow-up facilitators (note down their names)
    - Venue/time
    - Long term process (give an overview)