

CHAPTER 2

Appreciative Participatory Planning and Action and People's Motivation

In APPA, giving space and creating opportunities to influence the decision-making process in favour of local needs and aspirations will, in the long-term, result in a more balanced and equitable form of development.



SNV is grateful to The Mountain Institute for allowing the use and publication of the APPA tool.



APPA

- *is the foundation of sustainable community participation;*
- *plans, assesses, and implements activities for building local capacities, especially of marginal and disadvantaged groups; and*
- *looks for sustainable linkages between economic development and conservation.*

Introduction

Experience has shown that one of the greatest causes of failure in community development is a lack of follow-up and commitment by the community members. Thus, Appreciative Participatory Planning and Action (APPA) aims to build commitment by seeking to excite, motivate, and reward participants with immediate positive feedback and, with hope that they can achieve a better future by themselves.

In order to give communities the chance to have control over their own development process and be active in decisions that affect their livelihoods, development initiatives need to be decentralised. Critical to this people-centred approach is the idea that activities, programmes, and productions are scaled down to a level at which community members are able to access benefits from them.

APPA allows communities and groups to identify and emphasise their successes and strengths as a means to empower them, so that they can manage their own development and make use of valuable local knowledge and skills.

The APPA Cycle

Stages	Objectives
Discovery	Identifies successes
Dream	Images your future
Direction	Marks out the future
Design	Plans the future
Delivery	Sustains the action and reflects on achievements

The approach makes use of a 5-D cycle: Discovery, Dream, Direction, Design, and Delivery.

Capacity building during Social Mobilisation is further strengthened during APPA. These include promotion of group formation, the group's working capabilities, a leadership structure, functioning committees, etc. Communities gradually develop their 'claim-making powers' and start positive actions to attain their goals.

APPA can be used to assist participants and organisations to develop marketing objectives and strategies that are critical to a project's success. It can provide a planning and management framework.

TURNING TRIBUTES AND ASSETS INTO ATTRACTIONS

APPA reveals new or unrecognised assets, because it often happens that we can get complacent about our immediate surroundings or routine lives, and take for granted or not even see the good things we have. It can help communities, organisations, or businesses identify what assets they have that could be developed as marketable commodities. When assets such as traditional architecture or rich forests begin to take on an economic value as attractions to tourists, local people start to see the value of conserving them. For example, through APPA, plans are made to assess the feasibility of 'producing and marketing' pro-poor sustainable tourism activities such as guided village tours or forest walks, and an action plan is developed to generate local benefits from it.



APPRECIATIVE INQUIRY

APPA combines the appreciative inquiry framework with participatory learning and action (PLA) methods. Appreciative inquiry is an approach that is used for planning and managing development programmes and activities. It looks at lives and environments as opportunities and possibilities rather than as obstacles. This is not to say that 'problem solving' is an irrelevant process, but rather one that can be supplemented by other approaches producing new insights and results.

Underlying the process of appreciative inquiry is a set of assumptions that guide practitioners and participants.

Appreciative Inquiry Assumptions

- In every society, organisation, or group, there is something that works.
- What we focus on becomes reality.
- The language we use helps us to see the reality.

- People are more confident and comfortable facing the future (the unknown) when they carry forward parts of the past (the known).
- If we carry parts of the past forward, they should be the best parts about the past.
- The act of asking questions of an organisation or group influences the group in some way.
- It is important to value differences.

Each of these assumptions drives the process of appreciative inquiry. For example, as facilitators, we accept the assumption that 'the act of asking questions about an organisation or group influences the group in some way.' You have to therefore throw out the idea of yourself as a neutral observer and realise that your very presence affects the group in some way.

The key to appreciative inquiry is to remain focused on collective inquiry and action and the collective discovery and value of skills, resources, and capacities. Focus should be on the collective vision of what might be, what is possible, and how it can be achieved. For this, one has to continuously ask questions: What makes our working together possible? What allows us to function at our best? What possibilities await that will allow us to go beyond where we currently are? What allows and stimulates an organisation or community to release its creative capacity?

The use of provocative propositions is another important element in appreciative inquiry. A provocative proposition is a statement in the present tense that describes 'what might be' based on the knowledge about the best of 'what is'. It

is provocative to the extent that it stretches the realm of the status quo, challenges common assumptions or routines, and helps to suggest real possibilities that represent desired possibilities for the group or community.

Take for instance, the following statement: 'Maya is an abandoned wife. She needs a loan, education, and a profession.' The APPA approach instead says, 'Maya is a good cook and learns quickly. She can teach lodge operators to cook and will benefit from teacher training.' Here we see the shift in focus from 'doing more of what works' instead of 'doing less of something that does not work well.'

In order to visualise and summarise the appreciative inquiry approach, the problem-solving tree can be compared with a possibility tree. The cause-and-effect relationships that are identified in a possibility tree may contain the same results as in a problem-solving tree. However, the process of creating the possibility tree is more likely to get people excited about the future and the role they can play in realising that future.

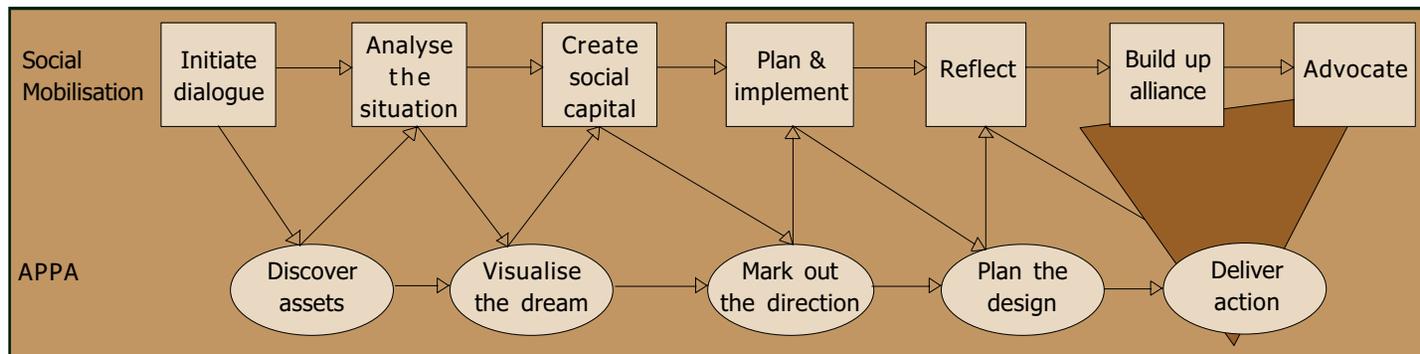
PARTICIPATORY LEARNING AND ACTION METHODS

Participatory learning and action methods generate information and empowers participants in a positive manner. Activities are based on the capacity, skills, and assets of participants and fully utilise their creativity and innovative powers.

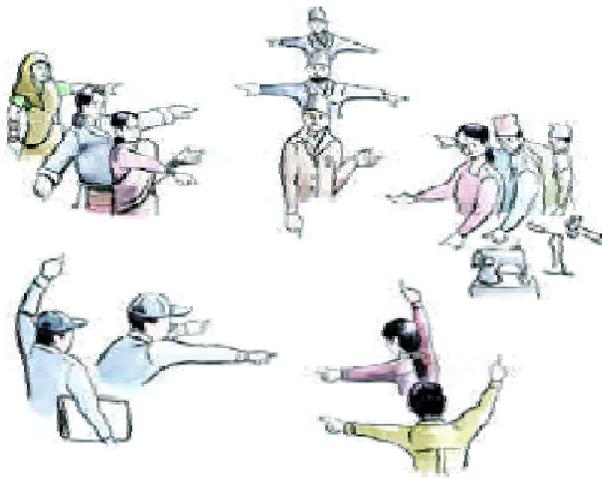
The aim of participatory strategies at the district, local, or community levels is to make people active participants in the development effort rather than passive recipients. More specifically, participation requires people to be in the choice, execution, and evaluation of any activity, project, or programme designed to raise living standards.

The selective use of PLA methodologies and activities is critical to the participatory process. PLA generates common understanding and shared learning among all those involved. PLA tools such as analysis group discussion and social mapping are used to generate information that is subsequently incorporated into the design and planning of projects.

Developing Claim-Making Powers (Advocacy and Policy-Making)



Note: most of the dynamics take place in the 'lobby triangle' between organised community groups, local governance institutes, and community-based organisations (CBOs)/non-government organisations (NGOs).



Discovery

- *appreciates the best aspects of a group's, community's, or organisation's existing situation;*
- *generates learning about current conditions, issues, trends, relationships, impacts, benefits, and market characteristics; and*
- *identifies and categorises success factors for use in feasibility analysis.*

The APPA Cycle

Stage I: Discovery

OVERVIEW

During stage I, participants identify their strengths and skills as individuals and recognise assets and opportunities in their community. They are given time to reflect on these issues as a group and bring together different perspectives for discussion in order to generate a complete and comprehensive list of the qualities the community feels proud of, but did not know existed.

Emphasis in this stage is on successes that can be strengthened, managed, and marketed to generate local benefits and that support the conservation of resources. The aim is to inspire self-pride and local initiatives, rather than nurturing dependence on outside resources.

One can do this by looking at the potential markets for a product, and introducing marketing into the initial data collection and pre-planning activities. Simple data collection of analysis techniques, which can be used throughout the entire process, must be taught.

METHODOLOGY

Step 1: *Conduct a sharing session.* Encourage each participant to share something which they are personally proud of with the rest of the group. People divide into pairs and tell one another in turns things that they are proud of, either in their personal or work-related life. Each pair shares their partner's newly discovered strengths with the rest of the group. This is a good icebreaker for introducing participants to each other.

Step 2: *Conduct a brainstorming session.* This can be done with the whole group, or better, in smaller groups. Brainstorm pro-poor sustainable development assets: make notes on a large poster to share with the rest of the group. Participants are encouraged to be creative and extensive when identifying assets. Some of the basic questions to ask when brainstorming assets are as follows.

- What do you value about yourself, your group, or community?
- What attributes would you like to share with others?
- What human resources does the community have that are good for development?

Participants share their views. Conclude the session by asking how this exercise affected their feelings about their community and its prospects for pro-poor sustainable development. You might detect some pride among the participants when they describe the good things they have discovered about themselves, their group, and community. This is the feeling that needs to be nurtured throughout the APPA cycle and Discovery seeks to fulfil this objective.



Step 3: *Use a participatory learning approach.* This exercise can be used to identify what type of information (not what information) is needed to plan for pro-poor sustainable development. 'Planning' can be introduced to participants by involving them in the following activities.

- Selecting something that the community members are familiar with, for example, planning for a festival gathering or a large group meal.
- Making the participants work in groups to discuss what information is needed to plan for such an event.
- Encouraging women to participate in brainstorming sessions, especially in plenary groups, as they may be overwhelmed by more dominant members of the group.
- Giving attention to culturally and socially disadvantaged groups.
- List the types of information needed to plan for development.
- Asking participants to discuss and select appropriate PLA tools for information gathering (this can be done through a plenary session or in smaller groups). Participants should consider the issue of time, space, and relationships in choosing the tool.



Step 4: Identify success factors. Like any new venture, planning for development requires an analysis of factors, conditions, and issues that affected or influenced a project to become a success. These 'success factors' start to emerge during Discovery as participants discuss and characterise the positive attributes that make the community a suitable one. At this stage, one begins to organise what has been learned about the community into categories/factors that are needed for success to understand better the community's real strengths (and shortfalls). Factors can be organised in a variety of ways, but should generally cover the following topics:

- market issues (for example, current and potential markets, trends, competition);
- environmental concerns (for example, the demand for natural resources and potential impacts on natural resources);
- economic and financial factors (for example, the availability of capital and profitability);
- social and institutional issues (for example, social acceptance of and institutional support for pro-poor sustainable development and a policy or regulatory framework); and

- skills or human resource concerns (for example, whether community members have the appropriate skills needed for pro-poor sustainable development).

Step 5: Categorise success factors. Assets and learning about impacts, benefits, and market characteristics can now be categorised into a format that relates to success factors. The purpose of this exercise is to summarise the information, identify issues to be addressed, and create an easy reference chart for later use in the planning cycle.

Participants can be asked to organise and write what they have learned so far into the relevant boxes. The PLA tool on page 51 illustrates several success factors necessary for feasibility analysis though it is not necessary to stick to these selected headings if others are more relevant.

From this, one begins to see the opportunities for sustainable development in association with existing markets and skills, and understand some of the issues and gaps. Some information may not be appropriate factors for success. There may be constraints; more information might be needed on an issue. If such a case arises, this can be presented in the PLA tool in a manner that identifies what is known and what needs to be learned for follow-up later.

Step 6: Reflect on how community members feel about the activities and outcomes. Ask the following questions in a brainstorming session with the whole group or use other

Discovering 'Good Things'

<p>Discovery is the collective identification and evaluation of the 'good things' about a community, such as pro-poor sustainable tourism assets. The following are assets and examples of pro-poor sustainable tourism.</p>	
Assets	Examples
Natural physicality, resources, and attributes	Mountains, forests, lakes, hot springs, holy sites, alpine landscapes, etc.
Historical information, cultural sites, and traditional practices	Local food, dress, ornaments, herbal medicines, local legends, and festivals
People's skill and knowledge and use of technology	Local knowledge on plants and animals, medicinal plants, the extraction of herbal oils, weaving, and carving
Existing tourist attractions or activities which are popular or well-known	Places both within the immediate and wider areas and having national or international recognition
Location, accessibility, and proximity to other tourism sites	Distance from city areas, road conditions, daily flight services, well-marked trails, telephone services, availability of porters and pack animals for treks, and build-up of potential regional assets
Opportunities for promoting small-scale tourism enterprises	Off-farm activities that generate income to support tourism services, training that develops skills and capacity building, creation of a cultural museum, etc.
Access to financial assistance or resources	Availability of credit facilities, potential joint investments, savings' and credit groups, etc.
Local institutions and their capabilities and alliances	Active NGOs that implement effective social mobilisation, a good networking, active mother groups, etc.



feedback mechanisms (for example, anonymous feedback through writing such as 'graffiti').

- How did it feel to recognise the group's or community's good things (emphasising the emotions or reactions the participants had) together as a group?
- How did the exercise of focusing on strengths (i.e., 'what makes them proud') affect their attitudes about the community, its people, its natural environment, and its institutions?
- How did they feel about participating in the learning exercise, doing the work themselves, and learning new skills?
- How might they use these skills in other ways?

Peoples' abilities to respond to such questions and to participate in a participatory learning approach may vary considerably in different cultural and socioeconomic contexts.

Use of Tools

By using mapping, trend lines, Venn diagrams, and feasibility analysis format, participants develop the framework and collect the information needed for the next steps in planning. This provides useful baseline data for monitoring and managing a project.

GUIDELINES

1. Understand the natural, cultural, and human resources; socioeconomic characteristics; and institutional alliances in the area.
2. Gain knowledge of past and present trends in development, impacts, and its relationship to other socioeconomic, environmental, and policy factors.
3. Identify natural resource uses and issues related to development, food security, and economic opportunities.
4. Document baseline information useful for planning, managing, and monitoring pro-poor sustainable development.
5. Develop a shared appreciation of the community's qualities, attributes, and assets.
6. Introduce the relationship between conservation of natural and cultural resources and local benefits for marginalised communities.
7. Initially identify and classify marketing, environmental, financial, and social factors and skills available or 'success factors'.
8. Initially assess community-level market issues and trends.
9. Improve community skills in participatory learning methods and improve understanding of the value of a participatory learning approach.
10. Nurture confidence and pride in the community and emphasise women's participation.

Feasibility Analysis Format

Success Factors Issues		Questions
Market	<ul style="list-style-type: none"> ▪ Market potential (whether there is demand or whether the product/service can be supplied over time) ▪ Competition (How much? From where? What is it?) ▪ Constraints in marketing the product or service ▪ Current marketing channels ▪ Potential strategic alliances and partnerships 	<ul style="list-style-type: none"> ▪ What is the level of demand? What changes in demand have there been over time? ▪ What is the level of supply? What changes in supply have there been over time? ▪ How has the product/service changed? ▪ Is the product/service new? ▪ Is the market to be expanded or created? ▪ What are the present constraints in marketing the product? ▪ What are the current marketing channels? ▪ What are the potential strategic alliances and partnerships?
Economic/ Financial	<ul style="list-style-type: none"> ▪ Contribution to the economic and social welfare of the community ▪ Profitability (contribution to incomes) ▪ Constraining factors ▪ Facilitating factors ▪ Return on investment 	<ul style="list-style-type: none"> ▪ Will the economic output serve adequately to distribute more income to more families? ▪ Is financial investment needed? How much? ▪ Are funding sources (loans and grants) available? ▪ What is the capacity for financial planning? ▪ Can you estimate the return on investment?
Administrative/ Managerial	<ul style="list-style-type: none"> ▪ External linkages and supporting organisations ▪ Internal organisations 	<ul style="list-style-type: none"> ▪ What are the supporting organisations and decision-making structures? ▪ Who will the actual implementing organisations be (community-based organisation (CBO), district-based NGO, Village or District Development Committee(DDC), or private entrepreneur)? ▪ What will the structure of the organisation be?
Social/Institutional/ Policy/ Legal	<ul style="list-style-type: none"> ▪ Policy support ▪ Regulations (example, fees and permits) ▪ Social acceptance ▪ Gender 	<ul style="list-style-type: none"> ▪ What are the legal requirements? ▪ Are there any potential conflicts? ▪ What are the gender implications of the activity?
Skills/Resources/ Technical	<ul style="list-style-type: none"> ▪ Skills available ▪ Technology and resources (type, availability, and necessity) 	<ul style="list-style-type: none"> ▪ What skills are needed? ▪ Who has these skills? ▪ Where can skills be improved? ▪ What resources are needed? How much? Check availability (for example, land, machinery, time, money, people)
Environmental	<ul style="list-style-type: none"> ▪ Availability of the resource ▪ Inputs needed (for example, energy) ▪ Nature of positive impacts 	<ul style="list-style-type: none"> ▪ What are the ranges and sources of impacts? ▪ Are any mitigation measures needed? ▪ What is the contribution to conservation?



Stage II: Dream

OVERVIEW

In stage II, participants collectively visualise how they would like to see their community develop in the future, benefit from a project, and how they, as a community, can achieve the Dream by building upon the strengths, skills, assets, and opportunities identified in Discovery. These qualities assist to create the best project possible, and the collective vision is a vital aspect of the APPA cycle.

For many rural communities, a vision of their community in 10 years is appropriate, whereas longer periods (20 to 30 years) may work for organisations or businesses attuned to long-term planning.

Dream

- *defines what the community sees as the desirable form and characteristics of pro-poor sustainable development in the future;*
- *records a visual image of how pro-poor sustainable development will be developed and managed in the future; and*
- *identifies potential dreams through consensus.*



METHODOLOGY

Step 1: *Introduce the practice of dreaming.*

- Review the 5-D cycle and the function of Dream.
- Explain the concept of Dream within the social and cultural context. To illustrate the concept of Dream, recount stories of how shared positive dreams can motivate a group to act and achieve results.

Step 2: *Start the dream.* To start the process, ask participants to close their eyes to help them focus on the Dream and the process of dreaming. Lead them through a guided inquiry into their dreams, telling them to visualise the Dream scenario. They should create a clear picture in their minds of the Dream and can be asked to draw a picture of it to share descriptions or details with others.

Use 'what if' questions to stimulate their imagination, for example:

- What if you were to go away from this area for five years, and when you returned, all pro-poor sustainable development assets were well managed and developed? How would it look?
- What are the local men and women doing?
- Do people have enough food to sustain themselves? What are they eating?

Encourage participants to be as descriptive and graphic as possible in order to portray specific pro-poor sustainable development qualities, activities, services, and skills.

Step 3: *Identify potential dreams through community consensus.* The process of creating the Dream requires consensus. This is neither achieved instantly, nor with any particular formula. Much depends on the level of the participants' awareness about the objectives of sustainable development, their general compatibility, degree of common values, and widespread participation.

When encouraged to dream vividly of their future community, participants often produce long lists of dreams. Some may be conditions such as healthy forests for sustainable fuel, some may describe the community's role and how it will be involved in pro-poor sustainable development, and others may represent community wishes such as schools, health posts, or electricity.

Step 4: *Reflect on the dream exercise.* At this point in stage II, consider inviting a larger representation of the community into the forum, so that they can cross-check and begin to build up ownership of the Discovery and Dream outputs. Participants may want to organise a community meeting and present what they have done so far for discussion, comments, and improvements. It is essential to hold a feedback session so that participants can reflect on the Dream exercise and reinforce the appreciative inquiry and participatory learning approaches.

GUIDELINES

1. As the Dream is the basis and inspiration for the plan, it is important that it is unambiguous, has widespread support, and is grounded in what currently works (strengths, skills, assets, and opportunities).
2. Positive imaging is a powerful tool frequently used to motivate improved productivity and commitment in organisational development and business management.
3. Be aware of the risk of individuals focusing too much on their personal aspirations and not on the group's goals. Activities should be done with clear objectives and explanations.

Use of Tools

The use of PLA tools is particularly helpful to develop and discuss the collective Dream. Brainstorming and cluster techniques provide helps to develop shared dream images. Future trend lines, mobility map, and Venn diagrams are useful to help participants discuss and represent the time, space, and functional (including gender) relationships between various aspects of the Dream. Pictures and maps are good at representing clear physical and visual aspects of the Dream, but they may need to be enhanced with words to describe non-physical components.

Stage III: Direction



OVERVIEW

Stage III involves a process of dialogue, consensus, and further inquiry. The focus is on prioritising pro-poor sustainable development and analysing information for the selection of viable activities or services.

Direction clarifies and clusters the dreams identified in stage II into potential activities that can be developed. This will help to eliminate pro-poor sustainable development activities and other community development needs that do not directly meet pro-poor sustainable development objectives.

In Direction, objectives of the programme and entrepreneur's window are two key assessment frameworks that help the process of elimination and prioritisation.

Direction

- assesses dreams against the objectives and eliminates ideas that do not meet these objectives;
- directs participants to the most viable ideas; and
- helps participants focus their energy, efforts, and resources on these viable ideas.

METHODOLOGY

Step 1: Clarify and cluster dreams. Dreams need to be clarified, clustered, and rephrased into pro-poor sustainable development activities, other conditions, and community development needs. Discuss whether the dream falls within the following categories:

- a pro-poor sustainable development activity;
- a condition necessary for pro-poor sustainable development (such as a healthy forest); or
- an unrelated or indirectly related feature of community development (such as schools or health posts). This category will most likely fall out in the elimination process of Direction.

Step 2: Define objectives. A useful way to discuss and prioritise the variety of potential pro-poor sustainable development activities or services is to first engage in a discussion about their contribution. Remember that these may vary from situation to situation. Be clear about the objectives and facilitate and guide the discussion around relationships between potential activities/services and objectives. In the case of pro-poor sustainable development, the following are possible objectives.

Poverty alleviation. Activities and services will contribute to alleviating poverty in marginalised communities, if they fulfil the following goals:

- * they target and ensure the inclusion of marginalised communities in pro-poor sustainable development enterprises; and
- * they ensure the equal and shared distribution of economic benefits of development to all the stakeholders.

Participation. Planning and management are based on the participation of community members who can mobilise local skills and resources through activities such as participatory learning and cost sharing.

Conservation. Activities and services can contribute to conservation of resources through a change in practices that reduces the threat upon natural resources. For example, establishing a kerosene depot that reduces the use of fuel-wood, or active conservation of a site which results in becoming a tourist attraction.

Economic development. Activities and services can contribute to local economic development through increased revenues and profit from existing and new services and products for economically weaker sections of the community.

Gender equality. Ensuring the active participation of women in pro-poor sustainable development enterprises and services.

Step 3: *Analyse information using a matrix table.*

Information can be analysed and organised by filling in a matrix table (page 56) that lists potential activities and services on one side and objectives along the top. The boxes in the matrix are filled with the following information:

- key points emerging out of the discussion and the strengths of each activity or service in terms of their contribution towards each objective;
- areas where the contribution toward the objectives is questionable and potentially negative; and

Techniques for Eliminating and Prioritising

- Apply a simple ranking system to the positive contributions of each activity to each objective (high = 3, medium = 2, low = 1) and pursue a discussion over whether a potential and likely negative contribution is reason enough to eliminate an activity (for example, conservation issues);
- consider requirements or stipulations imposed by funding agencies involved in pro-poor sustainable development at the site;
- use time as a parameter to decide how to prioritise activities and services — for example, estimate how long it would take to develop a programme and whether there would be funding available for the duration; and
- consider a critical feature such as national policy or regulations that would severely constrain the success of the activity or service.

- comments and observations such as whether more information is needed that would help communities and other stakeholders to decide whether to pursue the activity or not.

Step 4: Assess dreams against objectives. After completion of the matrix, discuss which activities need to be eliminated from the plan for sustainable development, because they do not meet the objectives. In some cases, the choices may

not be clear and, it may be necessary to collect more information to help make a decision.

There is no objective or quantitative way to eliminate activities and services at this point. A discussion about the contribution toward the objectives should; however, help clarify some issues. Additionally, if a long list of activities still exists, the task can be more manageable if the following tasks are carried out:

A Matrix of Pro-Poor Sustainable Tourism Objectives and Potential Activities/Services

Activity/Service	Poverty alleviation	Participation	Conservation	Economic development	Gender
<u>Opportunity</u> Multiple-use visitor centre to be established near the airport	<ul style="list-style-type: none"> ▪ Employment generated for local people ▪ Engagement of local guides ▪ Sale outlet for community tourism products 	<ul style="list-style-type: none"> ▪ Community management of the multiple-use visitor centre ▪ Local finances to support visitor centre 	<ul style="list-style-type: none"> ▪ Through visitor education, visitors are informed about how to minimise their impact and about responsible practices. 	<ul style="list-style-type: none"> ▪ More days are spent in the area. ▪ Visitors are given more information, thereby benefiting local people. 	<ul style="list-style-type: none"> ▪ Women are involved in many household chores and are enterprising.
<u>Constraint</u> General inexperience in operating a multiple-use visitor centre and therefore viability unknown	<ul style="list-style-type: none"> ▪ Need to learn more about the local skills and the capacity of local people to operate the multiple-use visitor centre ▪ What local people will do off season and the season during tourist arrivals 	<ul style="list-style-type: none"> ▪ How should the benefits be distributed? 	<ul style="list-style-type: none"> ▪ Local people operating the multiple-use visitor centre require skills and knowledge. 	<ul style="list-style-type: none"> ▪ Market interest is Unknown. 	<ul style="list-style-type: none"> ▪ Women are mostly illiterate and their level of interest is unknown. ▪ Women are busy and the time required to be involved in a multiple-use visitor centre could be a constraint.

- similar or related activities/services clustered into a group;
- or clustered roughly into time periods for planning purposes, for example, one year, three years, and 10 years.

Step 5: Select viable activities. The output of this exercise should be a list of possible pro-poor sustainable development activities and services that can potentially be implemented during a specified duration and that will be assessed further for their likelihood of success. The choice of activities is determined by the following aspects:

- their contribution to the specified objectives of pro-poor sustainable development;
- time and funding parameters that either eliminate activities or help participants prioritise and schedule activities over a longer duration; and
- an assessment of activities based on relevant national policy and regulations.

After eliminating activities that do not meet objectives and/or would be unsuccessful because of funding, policy, and time constraints, participants are now ready to take the next step. While examining the particular opportunities that are open to them, participants identify the risks associated with the options and consider strategies to overcome these risks. Please refer to the table on page 58.

Step 6: Assess options for products and markets using the entrepreneur's window. The entrepreneur's window provides a framework to identify options for new products and market developments. Participants work together to determine the opportunities that current activities and services satisfy and could satisfy in the future.



- Draw a box with four windows on a large piece of paper or on the ground. Give titles to each window.
- Discuss the following questions with the group (or work in small groups and aggregate the findings at the end).
 - * What products or services go in each window;
 - * the potential profits and risks associated with each option; and
 - * how these risks might be addressed, for example, timing and resources.
- If there are many products or services, divide participants into smaller groups and give each group different sets of products and services to work on.
- It is likely that participants will need to learn more about the risks associated with developing each option. Discussions are usually very rewarding and introduce the concept of risk, especially in the context of scarce and limited resources.
- At the end of the risk assessment, participants should consider the following issues:

- * whether certain products or services should be eliminated and why;
- * whether certain products or services need to be developed over a longer period than originally intended;
- * what needs to be learned further in order to develop the most viable products and plans; and
- * how they might learn more about the key issues that will help them to decide.

A common issue that emerges during this step is the need to conduct market research in order to identify the following aspects:

- * who will want to buy a community's products and services;
- * how many potential and real clients there are that a community can target; and

- * how much of the product needs to be available, while still addressing the issues discussed earlier.

After gaining a better understanding of the issues, you may want to go back and change the window if needed.

Step 7: Review the results of the entrepreneur's window with participants. For this, use the following exercise:

- * examine the contents of the window or windows of options;
- * review the strategies or ideas to reduce the level of risk; and
- * obtain a consensus regarding areas where participants need to learn and gain more knowledge.

The Entrepreneur's Window

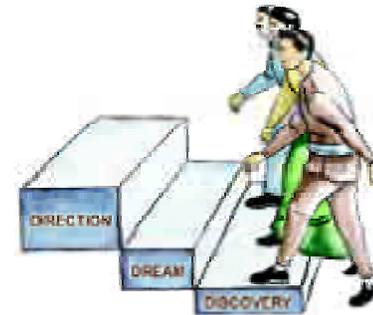
<p><u>Option 1: Existing product/existing market</u> This involves selling more of the existing product to the same market of consumers, i.e., getting more of the same type of customers such as independent travellers to go on an existing trekking route.</p>	<p><u>Option 2: Existing product/new market</u> This involves finding new markets or types of consumers for the existing product, i.e., in addition to the existing customers, finding new types of customers such as domestic visitors and groups to go on existing trekking routes.</p>
<p><u>Option 3: New product/existing market</u> This option seeks to find new products for existing customers, for example, new trekking options for independent travellers.</p>	<p><u>Option 4: New product/new market</u> The highest risk option, this seeks to develop new products for new customers. Often the highest risk is to develop a new product and find the market for it, for example, trekking in new areas.</p>

GUIDELINES

1. Review the list of Dreams developed by participants and discuss each Dream image so that everyone is clear about what exactly it is. Dream images that are similar are clustered to avoid duplication. Link those that are closely related. Be careful not to over-generalise; however, Dreams should be detailed and tangible.
2. Dreams should be clustered or rephrased so that they are clearly in one of the three categories mentioned in step 1. Discussions may arise to differentiate between activities and conditions. This is where facilitators must clarify the scope of the planning exercise.
3. During the selection of viable activities, it is useful to distinguish between enterprise and non-enterprise activities, because each set will probably need to be treated differently.
4. Refer to Chapter 3, stage III for profit and risk analysis.

Use of Tools

Matrix table, simple ranking system, and the entrepreneur's window



Stage IV: Design

OVERVIEW

Stage IV discusses the key factors that will form the framework for deciding and prioritising pro-poor sustainable development as a strategy for development. It refers to the success factors identified in Discovery, which are assessed again and again.

Design identifies areas that require further investigation. It suggests participatory learning and action tools (page 64) that help collect data to address key gaps in information. Based on the final assessment, facilitators and participants can work towards developing a strategy and formulating an action plan(s) as well as monitoring and evaluation plans.

Design

- builds up information areas through the assessment of success factors;
- uses the information to prepare a list of the most viable products and services; and
- results in an action plan or a series of action plans.



METHODOLOGY

Step 1: Categorise information areas. At this point, participants will have ideally identified potential topics and issues (issues/questions from the feasibility analysis format) that need more information. In most cases and for the purpose of a systematic approach to strategy development, information is again grouped into the major topics (refer to stage I, step 4):

- market issues (products and customers);
- conservation and environmental concerns;
- economic and financial factors;
- social, institutional, and policy factors; and
- skills and human resource concerns.

Additionally, facilitators may want to group activities together to make the process more manageable. If enterprise activities have been separated from unrelated non-enterprise activities, it will be useful to include the latter at this point and conduct an assessment of success factors for these activities. Much will depend on the role of the facilitator(s) and other aspects such as:

- funding;

- availability of time, and finding time when community members are free;
- building confidence by doing one or more small-scale activities immediately or soon after initial interaction among stakeholders; and
- the perceived importance of pro-poor sustainable development in the local economy.

Step 2: Assess success factors. In order to conduct the initial assessment, it will be necessary to gather information to help participants engage in informal discussions. Facilitators may want to break this step down into smaller steps.

Option 1

- Initiate preliminary discussion among community members to obtain perceptions and identify issues where further information is needed. An initial ranking (refer to guidelines) might be useful with an overall total and an identification of key gaps in information.
- Based on the above findings, gather more information and conduct further assessment of success factors that may lead to an action plan.

Option 2

- Discussion and ranking as in option 1, along with identifying key gaps in information.
- An action plan with some immediate activities that include ones that address information gaps and further learning necessary for stakeholders to develop services.

An initial assessment can be conducted using a format similar to the table on the next page that relates to sustainable

tourism and guidelines/questions as shown in the table on page 63. Questions overlap with the table on page 51 as a means to review and revise feasibility analysis. Make full use of assets already identified from Discovery; this will help build confidence among participants.

Step 3: *Collect more information on success factors.* The tools identified in the table on page 64 will assist facilitators and participants to choose appropriate tools to gather more detailed information.

Step 4: *Develop a strategy for development.* A strategy is a description of the opportunities and constraints associated with the idea and addresses how the constraints can be overcome. In practice, this strategy is a summary of the previous activities in Design and serves to review and emphasise the learning and decision-making so far.

Step 5: *Formulate an action plan.* The action plan will guide activities for the duration specified and is designed to be informative and easy-to-follow. It builds upon previous steps and important elements include:

Assessment of Success Factors

Issues	Market	Conservation	Financial	Social	Skills & resources
Assets	<ul style="list-style-type: none"> ▪ Growing numbers of domestic visitors 	<ul style="list-style-type: none"> ▪ Alpine meadows, bird life, forests 	<ul style="list-style-type: none"> ▪ Local credit groups and nearby bank 	<ul style="list-style-type: none"> ▪ Strong community spirit, local ethnic dance group 	<ul style="list-style-type: none"> ▪ Ex-hunters with wildlife knowledge
Information	<ul style="list-style-type: none"> ▪ 60% of visitors are in groups and 40% are FITs. ▪ Group visitors spend US\$ 3 to 5/day and FITs spend US\$ 10 to 15/day. 	<ul style="list-style-type: none"> ▪ Lodges use 40 kg fuelwood daily and homes use 15 kg/daily. 	<ul style="list-style-type: none"> ▪ Three lodges have increased profits over the past three years. 	<ul style="list-style-type: none"> ▪ Lodge operators are organised in a committee. 	<ul style="list-style-type: none"> ▪ More than 40 bird species sighted in one day with binoculars.
Potential success factors	<ul style="list-style-type: none"> ▪ Groups may be easier to attract and manage. 	<ul style="list-style-type: none"> ▪ Perhaps lodges can afford to convert to alternative fuel. 	<ul style="list-style-type: none"> ▪ Potential group package tours to boost group expenditures on site 	<ul style="list-style-type: none"> ▪ Lodges are interested in setting minimum prices. 	<ul style="list-style-type: none"> ▪ Ex-hunters speak English and have binoculars.



- active participation by community members and other stakeholders if possible; and
- basic questions of Who? How? By when? Where? What?

Depending on the nature of objectives and products, the action plan will vary according to the site, stage of development, and, often, the participants.

Facilitators may want to consider generating a series of small plans among interest groups that are consolidated into a larger group. This can increase active participation in planning and management as well as cover more activities.

- Reach an agreement about the action plan format. This should be prepared before the session starts.
- Guide the participants through the action plan format (refer to page 66) to familiarise them with the process. Remember to make use of the six helpers (Why? What? When? How? Who? Where?) to complete planning the action systematically.
- Demonstrate the process once and then hand over the pens to let the local people take over. Keep in mind the findings and outputs of the previous steps.
- When the action plan format is completed, discuss it among all the participants — there may be issues where opinions differ.

- Leave the plan with the participants or display it in a place where everybody has access to it or can view it.

Step 6: *Develop detailed monitoring and evaluation plans.*

Action plans contain recorded success indicators, but it may be necessary to develop monitoring and evaluation plans and prepare sample formats for them. These plans generate more information about conservation and economic impacts and have the following purposes:

- to provide a rationale for participation; and
- outline key elements in the design of participatory monitoring and evaluating systems.

Participatory learning is a critical element in monitoring and evaluation, and participatory monitoring and evaluation contributes to the following factors:

- creates ownership, responsibility when collecting information, and confidence;
- provides timely, reliable, and valid information that may not be as statistically exact as formal methods, but accuracy can be improved through cross-checking;
- builds consensus, especially when participants work together as a team;
- builds skills and confidence among participants to make decisions; and
- uses local knowledge that may result in greater efficiency and learning.

The outcomes of participatory monitoring and evaluation initiate the 5-D cycle again, as participants are encouraged to rediscover the factors that lead to success and those that can be improved.

Assessment of Success Factors (with regards to marketing local products)

- Market issues

Market potential (is there a demand and can it be supplied now and over time?) and competition (What? Where? How much?): what is the known level of demand and supply? How have these been changing over the past 10 to 20 years? What has changed in the product? What is the strategy regarding the mix of product and market? How does the product, activity, or service build upon known and valued assets? How strong is the competition?

- Conservation and environmental issues

Availability of the resource and energy (over time and area) and nature of positive impacts: what are the range and source of potential impacts (over time)? What is the geographical extent of any impacts? What is the contribution of the product or activity to conservation? Do any mitigating measures need to be taken? Where? When? How? How does the proposed product, activity, or service build upon existing assets and values?

- Economy and financial

Profitability (contribution to incomes), facilitating, and constraining factors: is financial investment needed? How much? From where? How does one obtain credit or loans? What is the community able to contribute? Is there sufficient collateral for obtaining loans? What is the general record of loan management among individuals and the community? What is the capacity for financial planning in the community? What is the general trend in profits in existing enterprises? How does the product, service, or activity build upon existing assets and values?

- Social, institutional, policy, and legal issues

Distribution of benefits (direct and indirect), social acceptance of activity, supporting organisations, and structures: how policies (regulations, taxes, fees, and land tenure) will affect the development of the activity. Are there institutions and organisations that would support product development and management and how (resource management and arrangements, indigenous credit groups, or administrative units)? Are there any key conflicts that might affect the product? What are the key issues regarding social acceptance of the activity? Who will be the primary participants and beneficiaries? What will the marginalised community groups gain from the activity? How does the activity build upon existing strengths and assets?

- Skills and human resource issues

Skills present and available (amount, where, and type) and technology and resources (type, availability, necessity): what skills are needed for product development and management? Who has these skills? Where can the skills be improved (for example, training centres or schools)? What institutions can provide these skills? What key resources are needed? How much? What is the availability (energy, machinery, land, and buildings)?

In the assessment of the above success factors, unequal gender relations and cultural and social factors that create unbalanced gender relations need to be considered.

What to Measure: Selecting Indicators

An indicator measures change. It is not a target and; therefore, it is neutral, for example, an indicator should not be defined as 'an increase in...' or 'a decrease in...'. It is a variable that helps to indicate whether or not progress is being made toward the objectives. Indicators should be as follows:

- quantitative and qualitative;
- minimum but sufficient;
- specific (who? where?);
- measurable;
- appropriate (scale, resources, and time); and
- relevant to all the stakeholders.

Types of Information and Possible Learning Tools for Design

Information and understanding	Learning tools
<u>Market</u> Demand and supply trends, seasonality, size and types of market, knowing competitors, comparing competitors, customer types and quantities, market linkages (local to international), product information, feasibility, and strategy development	Trend lines, seasonal calendars, brainstorming, matrices (ranking and pairwise), mobility maps, Venn diagrams, market chains, and force field maps
<u>Conservation</u> Threats (amount and source), location of resources, trends in use, removal rates, and preferences in resource use	Pairwise and matrix ranking, maps, mobility maps, trend lines, transects, seasonal calendars, brainstorming, and daily activity charts
<u>Financial</u> Sources and volume of funds, trends in profitability, types and acceptance of collateral, and sources of capital and investment	Brainstorming, mobility maps, trend lines, pairwise and matrix ranking, matrices, Venn diagrams, and wealth ranking
<u>Social, institutional, policy, & legal</u> Stakeholders (size, relationship, and gender), benefit of distribution to poorest strata, types of benefits, and decision-making arrangements	Venn diagrams, pairwise and matrix ranking, matrices ranking, decision-making chains, mobility maps, force field maps, daily activity charts, and wealth ranking
<u>Skills and resources</u> Types, location, and availability of skills; sources of training; and resources required (quantity, location, and availability)	Maps, brainstorming, lists, mobility maps, and pairwise and matrix ranking

GUIDELINES

1. To develop a strategy, we assess in detail the success factors that are likely to lead to successful pro-poor sustainable development. Although facilitators will have to use their expertise to guide the process of assessment and strategy development, they are unlikely to be experts in all key areas. Therefore, participants will need to consult knowledgeable people to help make decisions.
2. Ranking current levels of understanding and information may help participants assess the need for more work and the extent to which work can be carried out with available resources and time. Facilitators will need to be flexible when guiding participants through the steps that are the most appropriate for the context, and be aware not to push communities into activities when there is a degree of reluctance and indecisiveness. The issues can be ranked (high = 3, medium = 2, low = 1) to help prioritise the activity and identify gaps in information that need to be filled.
3. Depending on the number of products and the current level of understanding of the key factors, other PLA tools may be necessary before an action plan can be prepared. Alternatively, the first action plan may be one that seeks to address the gaps to complete a reasonable assessment of success factors. Facilitators will need to judge when to move to action and Delivery, rather than to continue with a planning phase.
4. Plans can be summarised by topic or time. Detailed information can be put into sub-plans that cover the



- topic or time period. It will be important for facilitators to tailor the plan and any sub-plans for tasks that have been identified. Guide participants through the process of understanding the value of planning, giving out responsibilities, and looking at resource availability.
5. The Design process can be iterative, requiring participants to go back and revise the action plans as they gather more information and learn about issues.
 6. Monitoring and evaluation are critical components of any initiative and should be participatory.
 7. Participatory monitoring is when participants continuously gather information and document learning processes over a period of time. This leads to regular assessment of purpose and enables community members to make adjustments and improvements in their practices. Monitoring provides and generates information for evaluation.
 8. Participatory evaluation is when participants make a retrospective assessment of their performance and achievements at a particular stage. Useful criteria to consider when conducting participatory evaluation include:

- relevance (significance with respect to specific needs and issues);
 - effectiveness (performance in relation to objectives);
 - efficiency (rate and cost at which activities lead to results);
 - impact (relevant ecological, economic, social, and political consequences); and
- sustainability (continuation of impacts after external support is withdrawn).
9. Facilitators should encourage participants to develop skills and relevant tools for monitoring and evaluation. The use of visualisation and diagrams to access change and progress is particularly relevant, since their use increases the opportunities for participation of those with poor literacy skills.

Action Plan Format

Activity	Purpose	Who	Where	When	Indicator	Resources (local)	Resources (other)
Skill development and training							
Income generation							
Institutional capacity building							
Conservation and restoration							
Education							
Gathering information							

Use of Tools

Trend lines, seasonal calendars, brainstorming, matrices (ranking and pairwise), mobility maps, Venn diagrams, market chains, force field maps, transects, daily activity charts, wealth ranking, decision-making chains, and lists

Stage V: Delivery

OVERVIEW

Delivery is the 'action' part of APPA, the fifth (but not final) step in the 5-D cycle. It is about making Dreams come true — the implementation of action plans so that communities develop and manage community-based projects. The action plans developed during Design define what activities should be carried out to achieve the Dream and why, where, when, by whom, and how they should be carried out within a short-term or long-term timescale.

The APPA cycle is continued over and over again, and it becomes crucial that the spirit of participation and self-reliance runs throughout the entire 5-D cycle. Delivery helps to sustain this willpower of wanting to learn, adjust, and become empowered on a continued basis.

Delivery

- *harnesses the positive energy and confidence that is built up during Discovery, Dream, Direction, and Design into action, i.e., 'what works';*
- *focuses on building community initiatives, confidence, and commitment towards attaining the community's Dream; and*
- *goes through a process of rediscovery.*



METHODOLOGY

Step 1: Nurture personal commitments. Personal commitments are individual promises to undertake a task on one's own to attain the community's Dream. Commitments should be realistic and not just stated to impress. For example, "I commit to picking up rubbish in the village every month" sounds reasonable.

Everyone in the room including facilitators, project staff, and observers are asked to think for a moment and make a verbal promise to the group to do something that helps achieve the community's Dream. Everyone's name and personal commitment is written on a large piece of paper. Each person should be applauded for their commitment, no matter how large or small. Facilitators should be prepared to deliver a commitment as well, which should be something beyond their normal job responsibility that makes it a true personal show of support. The list of commitments is left



with the community, and the next time the group comes together, participants can report on the commitments carried out and make more.

Step 2: *Use immediate group action to obtain short-term goals.* Participants rally other community members and together they select, plan for, and carry out an activity that promotes local benefits and conservation immediately (as the concluding activity of the planning workshop). This will directly contribute towards achieving their Dream. Actions are carried out and completed within a few hours and benefit the entire community. Activities that communities in Nepal have carried out include clearing up rubbish, planting trees, and repairing village trails.

Step 3: *Follow-up and monitor the community's efforts.* During the planning session, participants' spirits are high and commitments of time and resources are made. Once the

group disbands; enthusiasm will wane as personal or family responsibilities take precedence.

Follow-up support from project planners, partner organisations, and most importantly, local institutions or individuals is critical within the first few weeks or a month and periodically (every two to three months) throughout the implementation schedule. Project staff should maintain close contact with communities to monitor progress during the implementation of action plans.

Step 4: *Rediscover past and ongoing efforts.* The community continues to implement action plans over time, monitor the impacts and benefits, reflect upon lessons learned, and develop managing and marketing strategies that build upon new successes, new strengths, and opportunities. This forms the foundation for reviewing and updating the strategy that helps to attain the Dream.

Step 5: *Set targets for the future.* Participants should leave the APPA session with a clear plan of what to do next:

- which activity to do first;
- when the next meeting will be held; and
- what needs to be done before the next meeting.

If outside assistance or funding is needed, such as a matching fund or loan, participants will need to develop a more detailed feasibility study or business plan (refer to MAD, stage III) that meets the funding agency's objectives.

GUIDELINES

1. Everyone's personal commitment serves as a public promise that can be monitored in follow-up meetings, as a measure of local initiative. Each individual's effort to follow through becomes a matter of civic pride and should be acknowledged and rewarded publicly.
2. Immediate group action serves as a final enjoyable, recreational activity of the planning session: a cause for celebration! It has a bonding and exhilarating effect on participants. Work that may be drudgery if undertaken individually can become a game and can be celebrated in song and dance, even on top of a buried rubbish pit!
3. Since progress is made through the implementation of community-based plans, it is important to reflect, re-evaluate, and reassess the results and process. The community needs to know what it is doing well and what it needs to do better to achieve the objectives of supporting conservation, generating local benefits, and achieving strong community participation. Both are critical to sustainable community-based projects.
4. Rediscovery continues periodically as a monitoring exercise to reassess the situation and reformulate strategies as new opportunities arise. In a three to five-year planning cycle, rediscovery should occur at least every three to six months to review the short-term achievements and progress and to plan for the next cycle.

Process for Immediate Group Action

- *Decide upon immediate group action.* Initiate a discussion among participants (the wider community can be included) as to what they as a group can do that same day or the next day (before the conclusion of the session) that will contribute towards what they value as assets.
- *Develop an action plan.* A quick action plan should be developed. Include the tasks to be carried out (what?), the objective (why?), a time and a place (when and where?), those leading (who?), materials and skills needed and sources (how?), and indicators of success (how?). Permission should be sought from landowners or local institutions if necessary.
- *Do it!* The group's enthusiasm is likely to attract a large following, so team leaders should be prepared to allocate tasks and tools.
- *Evaluate the action.* At the conclusion of the action, hold a brief discussion about what went well and what could have been done better. Then the activity can be celebrated.

Use of Tools

Immediate group action and other PLA tools that can help stimulate discussions and provide a more concrete method of measuring change