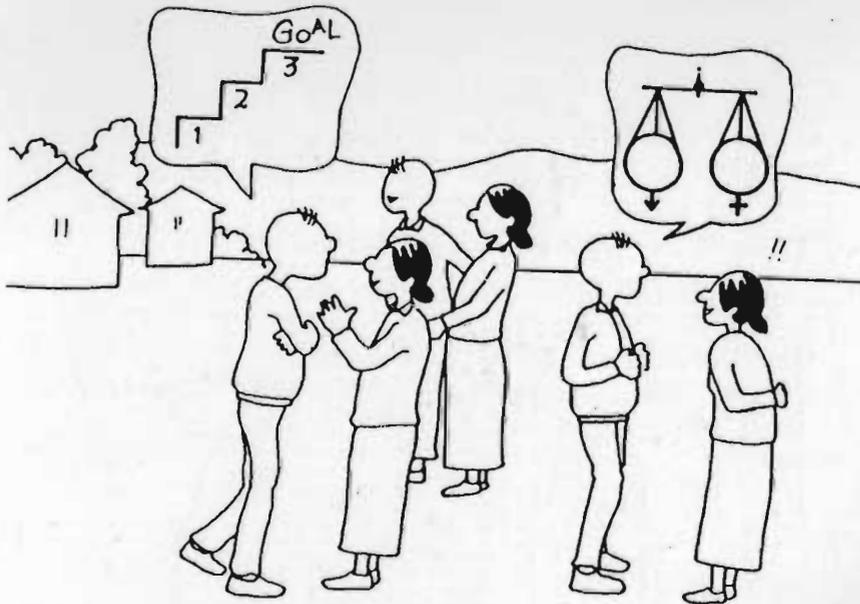




Capacity-Building in Participatory Upland Watershed Planning, Monitoring and Evaluation

A Resource Kit



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Foreword

The current situation of Asia's upland watersheds can be described as a vicious cycle of increased population pressure, poverty, land degradation, and overall scarcity of land resources to sustain the livelihoods of the farming communities there. Although serious efforts are being made through government interventions in some Asian countries, they are mostly focussed on technological and management practices, and thus are only partially successful. A more holistic approach to participatory watershed management is needed. Case studies of successful experiences of watershed management indicate the need to incorporate several social and institutional concerns into a comprehensive approach to watershed management in which local farming communities are equal partners. Lack of trained manpower is a major gap in this regard.

The participatory Watershed Management Training Programme in Asia (PWMTA) (GCP/RAS/161/NET, FAO/Netherlands) is designed to provide human resources' development in participatory watershed management and in this way contribute to sustainable use and management of natural resources by improving skills and national capabilities to plan, implement, evaluate, and monitor participatory watershed rehabilitation programmes. This is being achieved by regional training, workshops, seminars, and national and regional watershed management networking.

The International Centre for Integrated Mountain Development (ICIMOD) has joined with the PWMTA programme to develop materials required for human resources' development in this field. The present trainers' resource kit focussing on Participatory Planning, Monitoring, and Evaluation (P-PME) has been prepared to help develop facilitators for programmes enabling farmers to own and implement their own watershed management plans. Key aspects required to facilitate implementation of participatory processes for integrated watershed management include capacity-building leading to farmer-led planning, farmer-managed funding and implementation, and farmer-led monitoring and evaluation. This process nurtures and supports farmers as they analyse their current situations, visualise a better future and the steps needed to get there, and develop simple yet meaningful indicators to evaluate and monitor their progress along the way.

Training in this respect necessitates a shift in focus from target-based to process-based approaches and familiarisation with participatory methods and tools such as Participatory Rapid Appraisal, Appreciative Planning and Action, and Community Envisioning. In addition, P-PME must involve the actual participation of the entire community, both men and women, and all castes and ethnic groups. This requires the assessment tools of gender analysis to ensure that gender and equity concerns are adequately accounted for and acknowledged.

This resource kit for trainers was prepared by a panel of experts from ICIMOD and FAO and tested in a regional trainers' training course. Based on feedback from the participants, the material has been revised and is now being published for wider use in human resources' development for participatory planning, monitoring, and evaluation. Attempts were made to prepare this resource kit in a manner that facilitates dialogue between trainees and trainers rather than in a one-way lecture mode.

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Introduction

Upland watershed areas, primarily mountains and hills, cover over one-fifth of the earth and are home to over one-tenth of the world's people. This mosaic of environments is inhabited by diverse farming communities representing complex socioeconomic systems. In addition, the more than two billion people that live downstream from these areas are directly or indirectly affected by the management of upland watersheds.

In the developing countries of Asia, upland watershed areas are facing increasing population pressure and scarcity in available resources to support farming communities. As the degradation of resources in these fragile upland watershed areas lead to poverty, the upland watersheds' agro-eco-sociocultural systems become increasingly unsustainable, causing further impoverishment. These trends are reflected in growing food deficits and inequality and in further marginalisation of the poor in upland societies. Furthermore, energy shortages and physical and biological degradation of the upland landscapes are widespread. In the end, this leads to widespread outmigration of upland inhabitants to lowland urban areas.

Recent experiences sustainably managing upland watersheds in Asia have been mixed, but many examples of successful indigenous efforts do exist. The more successful efforts based on indigenous knowledge show potential scenarios of food security and improved quality of life for watershed inhabitants, along with ecological stability. These success stories highlight that while there are modern and indigenous technological options, the people living in the uplands must be equal partners in the management of their watershed resources. For this, one should look for successful institutional perspectives, innovations, and experiences which give centre stage to the stakeholders or, in other words, the farmers of the upland watersheds.

Shortages of trained manpower in participatory integrated watershed management are visible at various levels because most training, education, and extension services in agriculture and forestry, especially

in the Hindu Kush-Himalayan region, are modelled on institutions that give primary importance not to people's participation but to technology transfer.

The present trainers' resource kit on **Participatory Planning, Monitoring and Evaluation** has been designed to impart to professionals skills that can assist farmers to transform the current upland watershed scenario into a more sustainable one. The use of this resource kit is directed at upland watershed areas only. It introduces 'mountain perspective' thinking to enable local farming communities to become equal partners in the sustainable management of upland watershed resources. This resource kit will be useful in training facilitators of upland watershed management for farming communities and other land users.

Upland watersheds consist of all sloping and rainfed lands in which mountains are the most fragile and difficult to manage. Watershed management in mountain environments has become one of the most significant challenges of our time. Understanding mountain environments and organizing environmentally friendly, sustainable people-oriented development programmes is a complex and Herculean task as these areas have unique features known as mountain specificities. Mountain environments must be dealt with in the context of their own uniqueness.

Although mountainous upland watersheds cover only about 20 per cent of the earth's surface, most of the earth is affected by their environmental characteristics. Mountains act as geographic barriers to the moisture-bearing winds that result in rainfall. Also, many upper mountain regions contain large volumes of stored water in the form of ice which provides the necessary melt-flows into rivers during the hot, dry season. These mountain waters are vital to the needs of all living beings. Apart from being home to many mountain communities, mountain watersheds have other economically important functions such as forestry and non-timber forest products, agro-horticulture, mineral extraction, livestock rearing, tourism, and recreation.

The impact of human activities on mountain environments has been steadily increasing over the past

several hundred years, and particularly during the current century. Recent human interventions are causing serious disturbances to the mountain environment, largely due to an inadequate understanding of mountain specificities and mountain communities. Mountain environments and livelihoods are threatened by a growing imbalance between population and available productive land. In many places, the carrying capacity of the land has been exceeded, leading to an ever-increasing demand for new agricultural and forest land and for land-based products. Consequently, the forested upper slopes of these young mountain watersheds are being cleared for cultivation, grazing, fodder, fuelwood, and timber. Removal of vegetation on steep slopes in conjunction with intense monsoon rainfall triggers massive erosion and landslides, with resulting soil impoverishment and soil losses and a deteriorating biophysical environment. This leads to even more poverty in mountain communities as the natural resource bases of forest, soil, water, plant, and animal life, on which people depend for their survival, are being lost at an alarming rate. Measures to control this damage are required before the ecological balance is irreversibly injured.

The widespread human misery now occurring in mountain regions is not only true for the mountains but also affects the plains, socially and economically. The urgent need to ensure a sustainable habitat has attracted the attention of national and international institutions which are increasingly making mountain environments an area of concern. Managing mountain environments is a complex task because of specific characteristics that have not been systematically analysed. Notwithstanding its possible contributions, the concepts and methods of natural resource management for mountain environments remain in the rudimentary stages. Serious analytical and integrative contributions are needed to strengthen this vital area. Accordingly, natural resource management in mountain environments cannot be a fully prescriptive guide to human activities at present. The accumulation of knowledge from various mountain areas and their different resource strategies are necessary to provide the background to developing more comprehensive prescriptive tools in future. A major challenge for integrated mountain development or upland mountain watershed management is to ensure that the current needs and aspirations of hill communities are met, without compromising future generations' ability to meet their own needs. A comprehensive strategy for natural resource management in mountain environments might be based on a holistic and interdisciplinary understanding of both society and habitat within a dynamic framework.

Human societies in mountain environments have evolved with several peculiarities. As a result of their poor transportation and communication facilities, they

are relatively inaccessible and isolated. The natural mountain environment is also fragile, prone to rapid degradation in the face of intensive and improper use. Thus, soils in mountain watersheds are only marginally productive. Mountain people are generally excluded from mainstream decision-making with regard to national development policies and programmes. In all these ways, mountains have inherently limiting characteristics. On the other hand, mountains also possess incomparable assets due to their unique suitability for hydropower, tourism, horticulture, medicinal plants, and other high value crops, which afford them certain comparative advantages, or 'niches', over the plains. Mountains offer a wide range of attractive and unique opportunities and, despite their socioeconomic and cultural diversity, mountain communities have coped with their harsh environment by developing various mountain specific adaptation mechanisms. In themselves, these illustrate the remarkable assets of mountain people.

Against a background of isolated settlement in mountain watersheds, each area has evolved its own set of socioeconomic parameters. These are generally rooted in the specific environmental conditions of each mountain region, since environment significantly influences the socioeconomic organization a society will pursue. Environmental characteristics of mountain areas can be understood for the most part through mountain-specific features which lead to changes in altitude and variations in rainfall. Altitude and rainfall provide micro-conditions for a specific site's vegetational and agro-climatic characteristics. On a macro-scale, this provides the basis for the mountains' rich biodiversity. Specific climatic advantages of rainfall or climate provide uniquely conducive environments for developing temperate forests and medicinal plants of high commercial value. Such environments also have agro-climatic advantages for producing fruits and vegetables for sale to markets in the plains and are also a boon for developing a tourist industry. A comprehensive and minute understanding of these specific parameters, therefore, is an essential factor in planning for mountain watershed development and analysing mountain transformations.

Need for Participatory Planning, Monitoring and Evaluation

Past neglect of mountain areas by policy-makers has led to a general lack of understanding of the natural and human processes affecting mountains. The few development interventions that were designed were often sectorally-based, addressing symptoms rather than causes, and they largely overlooked the opportunities for development that mountain watersheds provide. What is needed now is an integrated approach to sustainable development, in which local communi-

ties take the lead in reconciling their socioeconomic needs and aspirations with the requirements for increasing environmentally friendly biological productivity. Such development programmes must also be gender-sensitive and in harmony with cultural taboos and local systems. The promoters of development programmes should function as facilitators and catalysts of development processes.

A training programme has been designed to address these vital issues by introducing policy-makers and implementors to an integrated and participatory approach to developing upland watersheds. An initial planning meeting for a training workshop identified several crucial issues such as the understanding of concepts; principles and tools of participatory processes for development; becoming sensitised to how gender issues affect participation and development planning; and developing communication skills. The process continued with an extensive literature review, leading to the production of an annotated bibliography and the preparation of background papers on a variety of relevant topics. The workshop design process included the identification of specific mountain communities which were already involved in natural resource management. These served as useful sites for field-based training and provided valuable human resources enabling participants to see for themselves the degree of knowledge and skills naturally present in mountain communities.

The Resource Kit for Capacity-Building in Participatory Upland Watershed Planning, Monitoring and Evaluation

The resource kit consists of three sections: a trainers' manual, background papers for trainers, and an annotated bibliography of material pertaining to watershed management, participatory processes, planning, monitoring and evaluation, gender, community organization, and so on. The trainers' manual and the background papers cover the same material and are designed to be used in conjunction with one another. In studying the manual and background papers, the reader should concentrate on the processes and principles presented in each session and consider their implications in his/her case. The resource kit does not simply present technologies that are to be transferred but also the principles to be applied.

The Trainers' Manual

The trainers' manual provides nine sessions or lesson plans that can easily be adapted for use in training programmes at various levels. Session One provides a two-hour module designed to introduce trainees to

the subject and nature of the training they are about to receive as well as to each other.

The manual then proceeds to content-based material, with a general introduction to the concept of participatory development in Session Two. This module describes the meaning of participation and illustrates how participation leads to fundamental behavioural change and gender-sensitive programming.

Session Three covers participatory watershed development. The main objective of this session is to emphasise that participatory watershed development is process-based rather than target-oriented and to illustrate that sustainable upland watershed management requires that planning, monitoring, and evaluation be conducted in a participatory manner through the empowerment and involvement of local people. The session covers a variety of topics including farmers' and professionals' envisioning, farmers' empowerment and ownership, and integrating gender concerns; it also provides the assurance of quick benefits.

The modus operandi for participatory land suitability activities (PALSA) is the topic of Session Four. The main objective of PALSA is to achieve higher sustainable agricultural or horticultural productivity by choosing the best uses of particular areas of land and by protecting and conserving areas where long-term production is not possible. The session provides a background to issues of land suitability and land capability and introduces certain methods for collecting information, such as village-resource mapping and transect walks, as well as discussing how to evaluate the information collected.

The underlying principles of participatory monitoring and evaluation (PME) are covered in Session Five. The PME approach encourages, supports, and strengthens communities' existing abilities to identify their own needs and objectives and to monitor and evaluate in order to adjust these within the project time-frame. This session is designed to provide the necessary skills to facilitate communities to plan, implement, and evaluate development activities. The important step of developing indicators suited to communities' perceptions is covered in this module.

Session Six takes up the issue of how gender concerns can be mainstreamed in participatory planning, monitoring, and evaluation. This requires managers to be sensitised to the gender-analytical approach and to skills that should be developed among officials and communities to facilitate women's participation in planning, monitoring, and evaluation processes.

Sessions Seven and Eight introduce the tools and techniques of participatory rural appraisal (PRA) and of

appreciative planning and action (APA). These are related methodologies, with APA actually building on many of the principles of PRA. PRA provides methods for quickly understanding local situations, their problems, and the resources available to resolve them. The PRA approach recognises the knowledge, experience, and expertise rural people possess about their resource bases and how valuable their contribution is in designing plans and programmes suitable to local contexts. Similarly, APA rests on the concept that, with proper encouragement and awareness, rural communities can identify solutions to better their own welfare. APA processes focus on success to create a feeling of empowerment among local people. By making and carrying out commitments and taking action together as part of the planning process, communities can be mobilised to achieve their objectives.

The final session is designed to develop the practical communication skills needed to invite the participation of local communities, especially women's participation, in the planning process. This is in part based on making visible the communication gaps between front-line managers and stakeholders, among them the local communities themselves, and also on developing empathy in the managers, enabling them to communicate with people throughout the process of planning, implementation, monitoring and evaluation.

Context Papers for Trainers

Complementing the session plans is a set of context or background papers covering each of the corresponding topics in greater depth. These papers provide crucial information enabling facilitators and trainers to supplement their own knowledge and understanding of the issues they are expected to introduce in the training sessions. The initial paper covers the concept of participatory development, beginning with an overview of how the concept of 'participation' has been understood since entering the vocabulary of development in the 1960s. Pointing out that participation requires fundamental changes in behaviour, participation in various situations is analysed and the principles of relationship involved in people's participation are explored. The major features of participation are presented along with the dynamics of participation in relationship to natural resource management. The importance of recognising and accounting for gender and equity issues is also touched upon. Examples are provided of various types of community-based development and collaborative decision-making.

Subsequent papers deal in similar depth with the variety of topics to be covered in each session. The session plans themselves were originally derived from these background papers, so there is a high degree of complementarity and correspondence in organization as well as the information included. For trainers interested in pursuing certain topics further, lists of additional reading materials are also provided. Many of the articles and books cited are also found in the annotated bibliography which comprises the third component of the resource kit.

Bibliography on Participatory Approaches to Upland Watershed Management, Planning, Monitoring and Evaluation

This annotated bibliography includes selected materials covering the following topics relevant to the resource kit and the type of training programme it is designed to facilitate: participatory watershed management, monitoring and evaluation, participatory rural appraisal and other participatory approaches, planning, sustainability, gender, and community organization.

Material for the bibliography was compiled from the following institutions and resource collections: FAO/PWMTA Programme, ICIMOD, the Nepal Participatory Action Network (NEPAN), CARE International/ Nepal, IIDS, and New Era. The material was reviewed by the training team and suitable materials were annotated. The material is divided into the categories listed above, and is also coded with key words for easy access and possible conversion into a data base.

Much of the information provided and ideas presented in the background papers for trainers derive from the books and articles accessed during the initial literature review that was conducted in the early stages of planning and preparation for the trainers' training workshop. In this way, the three components of the resource kit - Session Plans, Background Papers, and Annotated Bibliography - are closely related. The bibliography includes the widest range of relevant material, the background papers organize the most important information into coherent and manageable presentations, and the session plans extract the essential ideas and suggest methods and an order for how they can best be presented and shared with others.

SESSION PLANS

Session Plan One

Introduction and Expectations



Sub-session Title: Introduction of Participants

1. Objectives

Introduction of participants is essential so that they

- become familiar with each other,
- share information regarding perceptions and backgrounds, and
- appreciate the participatory approach adopted in the module to address a larger clientele.

2. Sub-session Outline

- To get acquainted with each other
- Who is who on the training module?
- Breaking the ice

3. Time: 30 minutes

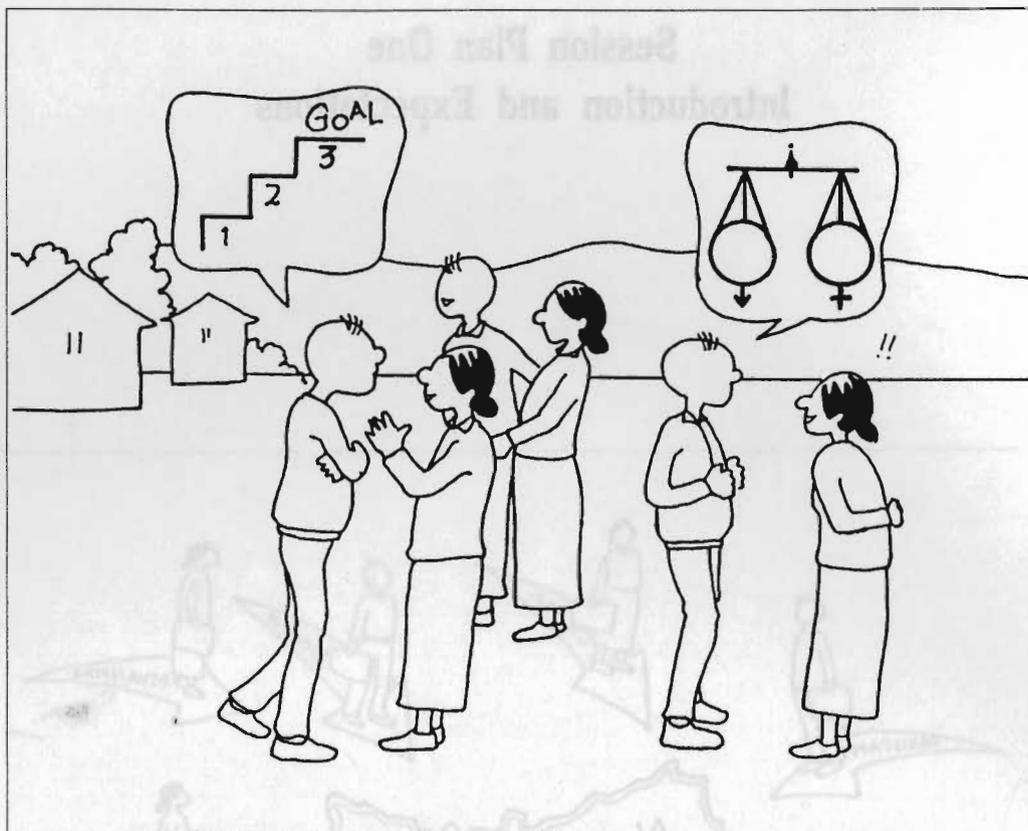
4. Assumptions

- Participants are arriving from different countries and cultural backgrounds.
- They have to work in teams and sub-teams on participatory exercises.
- The notion of participatory planning, monitoring, and evaluation starts with sharing information about each other.

5. Session Design

The participants will be requested to introduce the person next to him/her giving the following information:

- name by which he/she would like to be called,



- country, background, and education,
- where he/she currently works,
- duties and activities undertaken,
- information about his/her family, and
- likes and dislikes.

6. Notes for Trainer

This is the ice-breaking session, the first one after the inaugural session. It is designed to bring the two parties at the training course – the trainers and the participants – together, and it provides them with an opportunity to get to know each other. The mutual introductions immediately inject a small sense of participation right from the beginning, so that one tries to become acquainted with and talk about a person he/she has met before. This may provide some humour. It also offers participants a chance to say something in an interesting way. It is often effective as it is comparatively easier to praise or talk about someone other than oneself!

Sub-session Title: Introduction to the Course (PS)

7. Objectives

The Participatory Watershed Management Training in Asia (PWMTA) decided to undertake this training course for the following countries of Asia: Nepal, India, Bhutan, China, Bangladesh, Myanmar, Sri Lanka, Pakistan, and Thailand.

The basic objectives of this training programme are:

- to impart a better understanding and knowledge of the ecological dynamics in upland watersheds,
- to impart knowledge on participatory tools,
- to initiate thinking about the potentials of integrating participation in development approaches,
- to increase awareness about the process of participatory planning, monitoring, and evaluation, and
- to enable participants to design innovations that bring about participation in research and development.

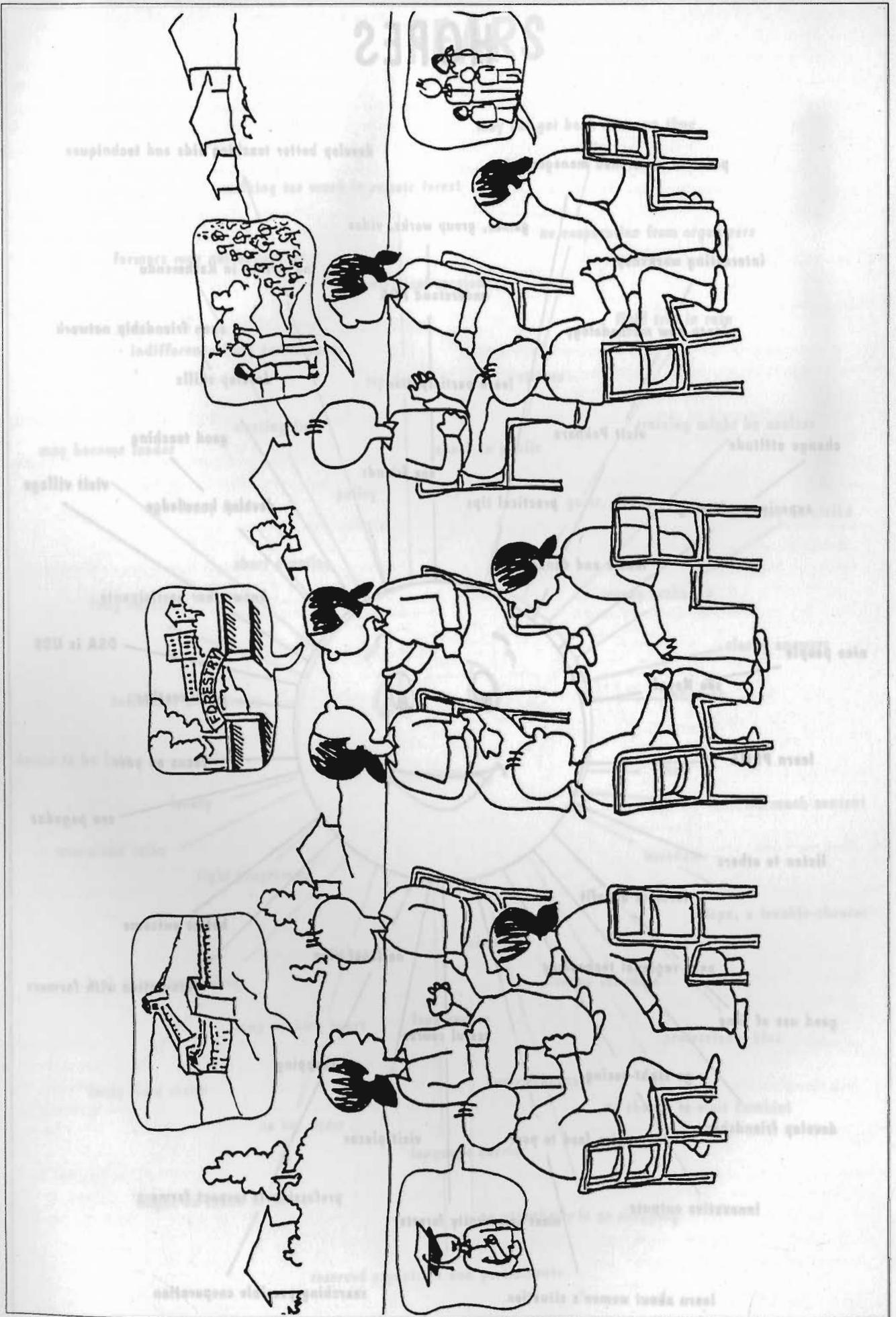
8. Sub-session Outline

- Need to address Participatory WPME
- What and for whom?
- Expected outcomes

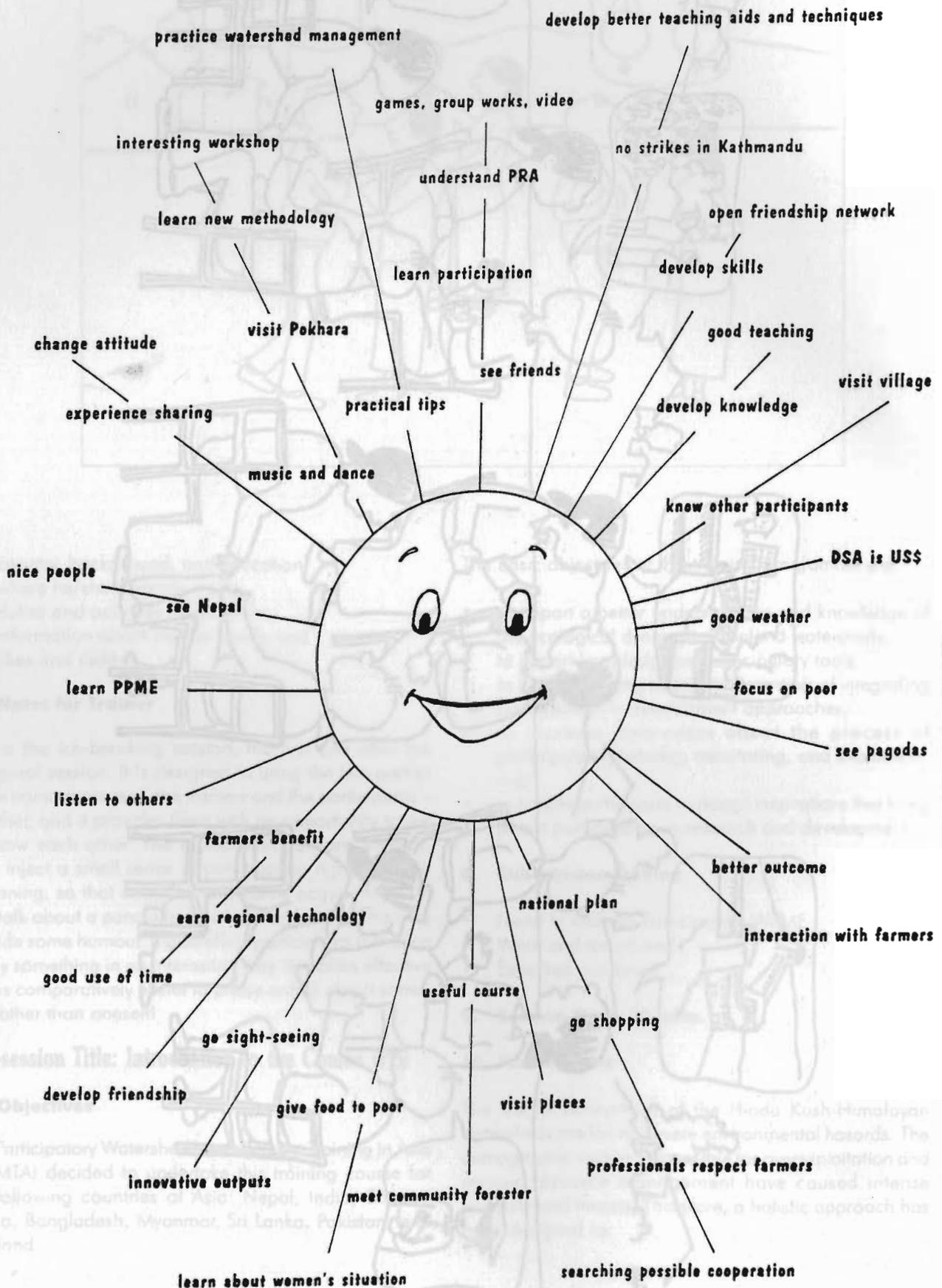
9. Session Time: 30 mins.

10. Assumptions

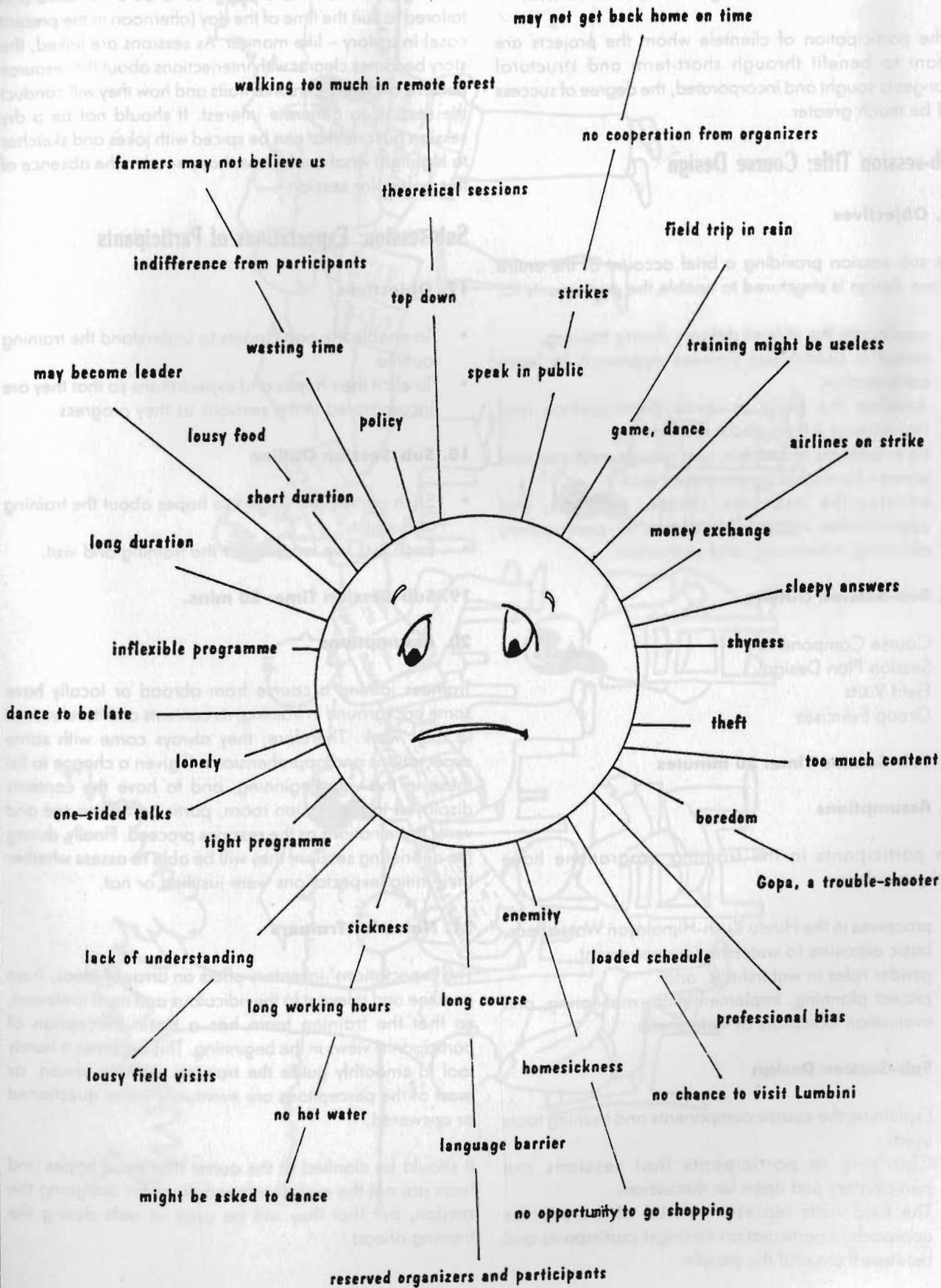
The fragile ecosystems of the Hindu Kush-Himalayan watersheds are facing severe environmental hazards. The demographic vectors responsible for overexploitation and myopic resource management have caused intense pressure and threats. Therefore, a holistic approach has been designed to:



HOPES



FEARS



- identify vital linkages,
- plan strategies suitable in space and time,
- implement the plans effectively,
- monitor the ongoing processes, and
- evaluate the outcomes against expected returns.

If the participation of clientele whom the projects are meant to benefit through short-term and structural changes is sought and incorporated, the degree of success will be much greater.

Sub-session Title: Course Design

11. Objectives

The sub-session providing a brief account of the entire course design is structured to enable the participants to:

- appreciate the style of delivery during training,
- adopt a continuous process approach to learn participation,
- develop the skills to invite participation and maintaining it throughout the training,
- be empathetic to farmers, user groups, and men and women from local communities, and
- envision the resources, people, practices, and opportunities around themselves for participatory planning, monitoring, and evaluation.

12. Sub-Session Outline

- Course Components
- Session Plan Design
- Field Visits
- Group Exercises

13. Sub-Session Time: 30 minutes

14. Assumptions

The participants in the training programme have backgrounds in:

- processes in the Hindu Kush-Himalayan Watersheds,
- basic exposure to watershed management,
- gender roles in watersheds, and
- project planning, implementation, monitoring, and evaluation indicators of watersheds.

15. Sub-Session Design

- Explaining the course components and training tools used.
- Clarifying to participants that sessions are participatory and open for discussion.
- The field visits represent a trial of the process approach to participation amongst participants and between them and the people.

16. Notes for Trainers

This sub-session is to provide a brief outline of the course; to unfold what lies ahead for the participants during the training sessions. This is designed to be a narrative and tailored to suit the time of the day (afternoon in the present case) in a story – like manner. As sessions are linked, the story becomes clearer with interjections about the resource persons and their personal traits and how they will conduct the session to generate interest. It should not be a dry session but one that can be spiced with jokes and sketches to highlight what could have happened in the absence of this particular session.

Sub-session: Expectations of Participants

17. Objectives

- To enable the participants to understand the training outline.
- To elicit their hopes and expectations so that they are incorporated in the sessions as they progress.

18. Sub-Session Outline

- Each participant writes five hopes about the training and visit.
- Each lists five fears about the training and visit.

19. Sub-Session Time: 30 mins.

20. Assumptions

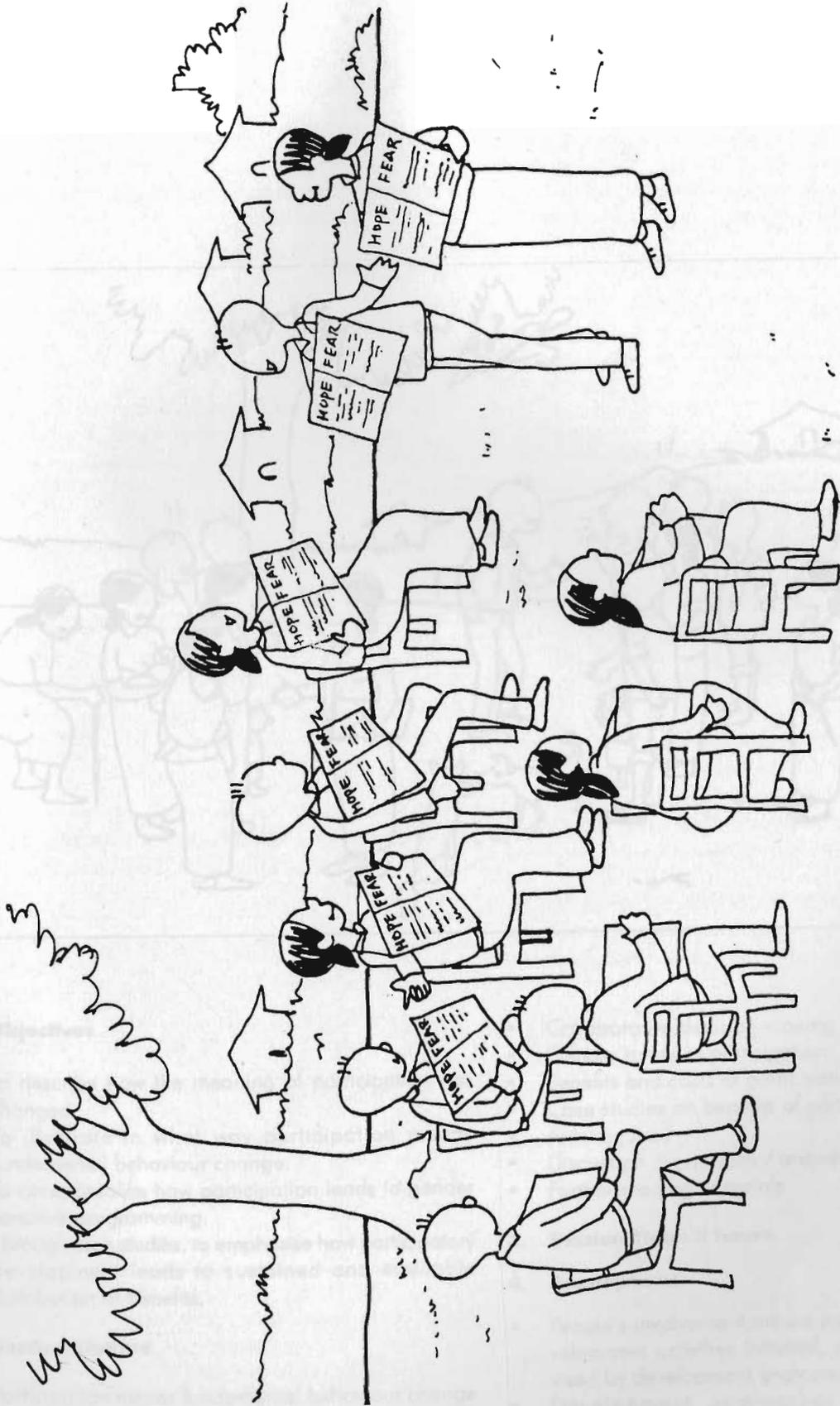
Trainees joining a course from abroad or locally have some background in training, its contents and its relevance to their work. Therefore, they always come with some expectations and apprehensions. If given a chance to list these in the very beginning, and to have the contents displayed in the session room, participants can see and verify these notions as the sessions proceed. Finally, during the debriefing session, they will be able to assess whether their initial expectations were justified or not.

21. Notes for Trainers

The expectations' inventory offers an array of ideas, from genuine and relevant to the ridiculous and most irrelevant, so that the training team has a basic perception of participants' views in the beginning. This becomes a handy tool to smoothly guide the training sessions ahead, as most of the perceptions are eventually either questioned or answered.

It should be clarified at the outset that these hopes and fears are not the exclusive foundations for designing the session, but that they will be used as aids during the training ahead.

Session Plan Two
Concept of Participatory Development (PD)



Session Plan Two

Concept of Participatory Development (PD)



1. Objectives

- To describe how the meaning of participation has changed.
- To illustrate in what way participation means fundamental behaviour change.
- To conceptualise how participation leads to gender sensitive programming.
- Through case studies, to emphasise how participatory development leads to sustained and equitable distribution of benefits.

2. Session Outline

- Participation means fundamental behaviour change
- Communities' participation
- Major features of participation
- Designing Community-based Development

- Collaborative decision-making
- Gender issues in participation
- Benefits and costs of participation
- Case studies on benefits of participation
- Aids required
- Discussion / questions / answers
- Further reading materials

3. Session Time: 2 hours.

4. Assumptions

- People's involvement means participation in the development activities initiated, executed, and supervised by development promoters.
- Development approaches are neutral and consequently benefit all sectors of society equally: men, women, rich, poor, young, old, and ethnic groups.

5. Session Topic: Epilogue (Notes for Trainer) (45 minutes)

6. Background to PD

- Participation is a process in which beneficiaries collectively discover solutions to their own problems.
- This process mobilises and empowers.
- Power and control are pivotal to participation.
- If control of the project and decision-making power rests with the planners, administrators, and community elites, participation for ordinary users becomes listening to what is being planned for them and what will be done to them.
- A growing body of evidence shows that participation can help to bring more development to more people.

"Through participation, we lost control of the project, and, in so doing, gained ownership and sustainability, precious things in our business." World Bank, 1995

7. Participation Means Fundamental Behaviour Change

- Conducive situations are required for people's behaviour to change within a given system.
- Through participation, stakeholders influence and share control over development initiatives and the decisions and resources which affect them.
- It should be recognised that different stakeholders have different power, different interests, and different resources.
- A suitable environment needs to be created to enable different stakeholders to interact on an equitable and genuinely collaborative basis.
- Special arrangements and efforts are required to reach and engage people, progressively empowering them.
- The type of participation that occurs is greatly influenced by the overall circumstances and the unique social context in which action is being undertaken.

Participatory processes create a conducive environment for stakeholders to take part collaboratively to:

- decide and articulate what is needed,
- decide on directions, priorities, responsibilities, and
- develop aspects needed to move from the present to the future.

Participatory Situations

Participation is an interactive socio-political process, motivated by the desire to meet an individual's needs through collective action. This collective action must ensure mutual benefit for the parties involved.

People's participation can take place under four different conditions

i. Initiation

- An indigenous initiative of the people, by the people and for the people, bringing them together on a common platform

ii. Facilitation

- A catalysed process, often by an outside agent
- A planned intervention to create awareness and motivate action to change a situation or redress the cause or causes of problems.

iii. Co-optation

- A process deciding a project or programme
- A programme designed and packed for implementation
- A top-down process of decision-making
- Implementation requires that people participate

iv. Induction

- Power, social sanctions and propaganda used to brainwash people to participate

Basic Principles in People's Participation

i. Mutual Respect

- All people must be accepted as they are with their strengths and weaknesses.

ii. Active Involvement

- A pre requisite to participation
- Participation patterns must continue from planning through evaluation.

iii. Agree to Disagree

- Participation requires an implicit and explicit understanding to agree and disagree and to accept the common interest above personal interest.

iv. Building Consensus

- Collective responsibility for decisions made

v. Commitment to Action

- collective commitment to action on the basis of agreed – upon decisions and plans.

Participatory Development includes

- Formation of social capital
- Equitable meeting of present needs
- Safeguarding interests of future generations
- Creation of an enabling environment
- Access to equal opportunity
- Making the community's own choices

- Exercising active control
- Taking collective action
- Voluntary participation
- Increasing productivity
- Sustainability
- Empowerment
- Indigenous knowledge and value systems

8. Communities' Participation

The recognition that rural people and their communities are the principal decision-makers about matters of resource management has led development programmes to emphasise:

- the role of participatory methods,
- the analysis of gender issues,
- community envisioning,
- tapping of indigenous knowledge and creativity,
- mobilising local resources and stakeholders,
- platforms for local and equitable development, and
- benefit distribution.

Meaning of Participation

- Participation is about developing a mutually beneficial relationship in development, replacing the frustrating and unfruitful one-sided relationships of the past.
- People's participation is essential for achieving better resource management as effective development depends solely upon the meaningful mobilisation of people.
- True participation will only occur when sizeable representation is guaranteed to members of all kinds of groups, castes, ethnicities, religions, and economic levels and for women, men, and children of the community in question.
- An appropriate environment must be created so that the powerless, voiceless, and neglected sectors of the community can be heard.

Objective of Participatory Development Approaches

- Supporting and strengthening the capabilities of local people and their institutions
- Enabling people and their institutions to establish working relationships with related organizations
- Enhancing the sustainability of development programmes
- Enabling local-level planning, implementation, monitoring, and evaluation of development programmes
- Creating a suitable environment for better use of talents and resources available at the community level for sustainable local development

9. Local-Level Participatory Development Planning (PDP)

Concerned with planning, implementation, monitoring, evaluation, and management of development programmes at the local level.

Main Features of Local-Level PDP

- Considers social structures and values in formulation and implementation of development programmes
- Stresses the concept of development by the people
- Development programmes are area – or location – based
- Seeks to promote intersectoral linkages

10. Major Features of Participation

The main features of participation are described below.

i. Participation continuum

- Participation occurs along a continuum.
- At one end are the beneficiaries, the recipients of services and resources.

ii. Overcoming barriers

- Overcoming the vulnerability imposed by continual reliance on subsidies through a market-based system that can operate on its own.

iii. Need for intermediation

- Mechanisms must be created to bridge the gaps created by poverty, illiteracy, gender, and remoteness.
- Local institutions must be built and nurtured, and the skills and confidence of the poor developed.

iv. Use of local self-help groups

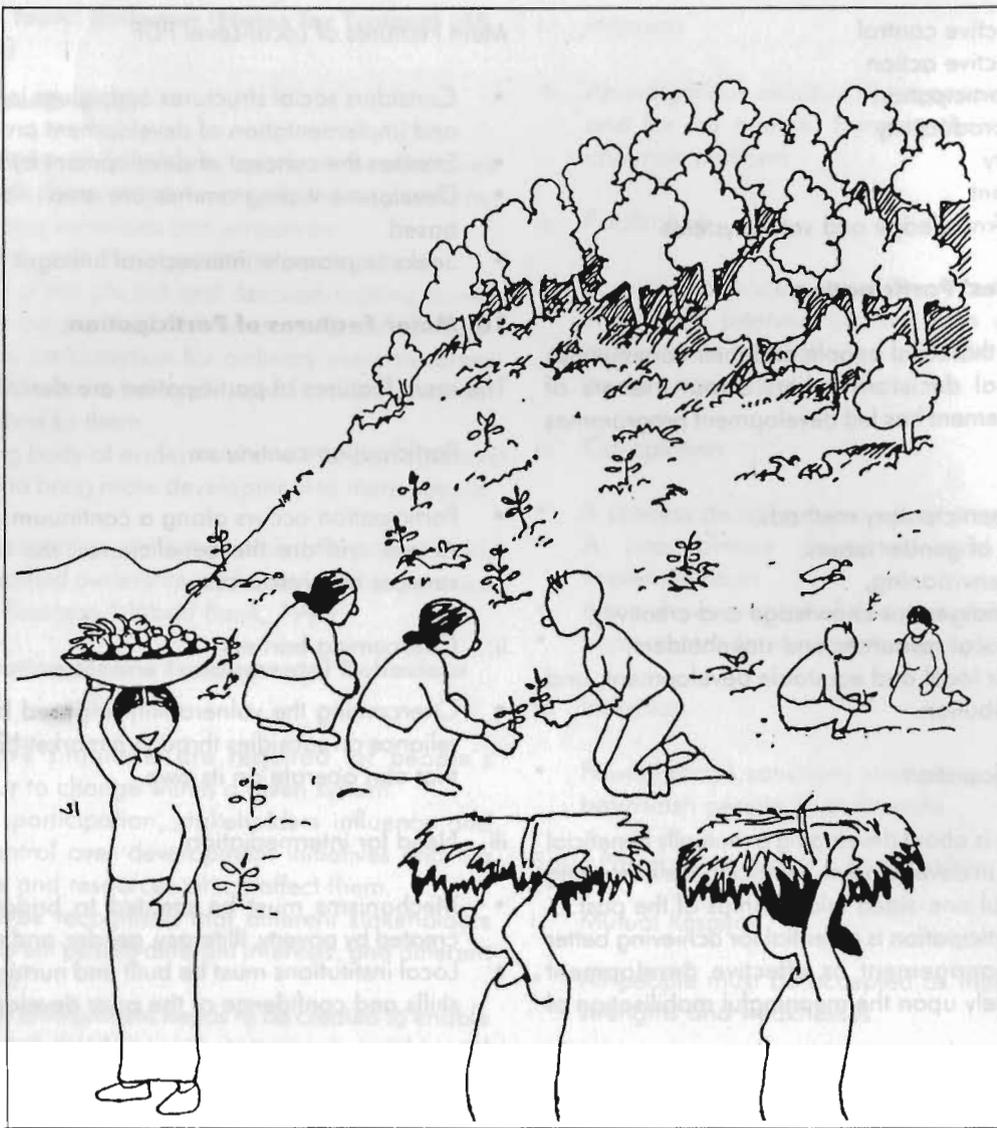
- Group-based approaches have several advantages.
 - Groups' acceptance of joint responsibility is more binding,
 - Self-policing mechanisms
 - Bulk work when there is a sizeable unit to input supplying agencies and economical service
 - Mutual socio-psychological support

• Advantages for women:

- Provides a legitimate 'social space' beyond the home
- Fosters a sense of solidarity that allows women to deal far more freely with unfamiliar formal institutions and processes

v. Natural Resource Management through Participation

- The production of food and other primary products has been a central concern throughout the evolution of human beings.
- Per capita food production has increased during the last thirty years.
- Success in raising food production has only been possible at the cost of significant environmental degradation.



- Meeting the ever-rising food needs in an environmentally-friendly way is possible only through people's participation.

Dynamics of Natural Resource Management (NRM)

In the process of meeting the needs and wants of the ever-rising population and the enterprises associated with it:

- the pressure on natural resources is expected to intensify during the next few decades, and
- tackling resource degradation and food insecurity can be like 'hitting a moving target', owing to continuous changes in the underlying factors.

11. Designing Community-based Development

- Participation in community-based development depends on reversing control and accountability from central authorities to community organizations.

- Successful design should be responsive to local needs, understanding and building on the strengths of existing institutions, and defining the changes needed in intermediary implementing agencies to support community action.

- Community-based programmes show two basic features: they cost more and require more time.
- Evidence increasingly indicates that when the institutional framework is right, community-based programmes actually cost less and are quicker to implement.

Participation in Forest and Conservation Management

The participation of local communities and other stakeholders in managing forestry and conservation projects can help:

- improve forest productivity,
- alleviate poverty,

- increase environmental sustainability, and
- enforce rules governing forest access.

Introducing participatory management depends on government commitment as it requires:

- time and resources to develop consensus among stakeholders,
- establishment of new institutional arrangements,
- decentralized finance and administration,
- ensurance of appropriate rules and incentives for local involvement, and
- organizational capabilities at the local level.

Benefits

When local communities and private companies share in the design, benefits, costs and management responsibility for forestry projects, they have incentives to cooperate in enforcing rules they have themselves agreed upon. They also have a stake in accountability and rational exploitation of resources.

Poverty Alleviation

The majority of people living in and around forest areas are poor and vulnerable. Enabling them to share in the benefits, as well as to manage forestry development and commercialisation, helps receive their poverty and diversify their sources of income.

Sustainability

Forests contribute significantly to preserving biodiversity and protecting critical watersheds. Participation is often the only viable way to conserve forest areas for sustainable use or for the intangible environmental values.

Limitations

The following situations may delimit the participatory approach:

- when conflicts over forest resources are particularly intense,
- when forest resources are abundant in relation to a small, dispersed population near the forest,
- when powerful interests at the national level oppose policy reforms in the sector or decentralization of authority, or
- when extreme social inequalities at the local level reinforce the control of forest benefits by local elites.

Participation in the Irrigation Sector

- A rich source of experiences and lessons in user participation
- Participation by farmers in system design and management helps ensure sustainability of the system

- Reduces public expenditure and improves efficiency, equity, and standards of service
- Mobilising support levels and establishing the participatory process involves costs
- Demands knowledge of the incentives in building effective users' organizations

Benefits

- Many large-scale irrigation systems managed by government agencies have performed poorly in terms of:
 - efficiency,
 - equity,
 - cost recovery, and
 - accountability.
- Greater participation by farmers, through water users' associations, has helped to overcome many of these problems.
- Building irrigation systems that are wanted, supported, and owned by users themselves provides the best assurance of sustainability. More equitable organizational arrangements and water delivery systems have been noted when participatory approaches are followed.

12. Collaborative Decision-making

Workshop-based methods

Appreciation-Influence-Control (AIC)

Encourages stakeholders to consider social, political, and cultural factors along with technical and economic aspects that influence a given project or policy:

- helps identify a common purpose,
- helps recognise the range of stakeholders relevant to the purpose, and
- creates an enabling forum for stakeholders to collaboratively pursue that purpose.

Objective-Oriented Project Planning (ZOPP)

- Helpful in setting priorities and planning for implementation and monitoring.
- The purpose of ZOPP is to undertake participatory, objective-oriented planning.

Main Features of ZOPP

- Encourages 'social learning'
- Promotes ownership
- Produces a visual matrix of a project plan
- Stakeholders establish the rules of the game
- Stakeholders establish working relations

Participatory Rural Appraisal (PRA)

- Emphasises local knowledge and enables local people to do their own appraisal, analysis and planning
- Uses group animation and exercises to facilitate information-sharing, analysis and action among stakeholders

SARAR

- A participatory approach to training which builds upon local knowledge and strengths and local capabilities to assess, prioritise, plan, create, organize, and evaluate.
- The five characteristics of SARAR are as follow.
 - Self-esteem
 - Associative strengths
 - Resourcefulness
 - Action planning
 - Responsibility

Purposes of SARAR

- To provide a multi-sectoral, multi-level approach to team-building through training
- To encourage participants to learn from local experience rather than from external experts
- To empower people at the community and agency levels to initiate action

Main Features of SARAR

- Based on interactive, often visual, tools which enable participation regardless of literacy levels
- Demystifies research and planning processes by drawing upon everyday experiences
- Participants feel empowered by their participation and the sense that their contributions are valued.

Beneficiary Assessment (BA)

- A systemic investigation of the perceptions of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated in the project and policy formulation.

Purposes of BA

- To undertake systemic listening in order to give voice to the poor and other hard-to-reach beneficiaries
- To obtain feedback on development interventions

Social Assessment (SA)

- A systematic approach to preparing a programme action framework

Purpose of SA

- To identify key stakeholders and establish the appropriate framework for their participation
- To ensure that the project objectives and incentives for change are appropriate and acceptable to beneficiaries
- To assess social aspects and risks
- To minimise or mitigate adverse impacts

Gender Analysis (GA)

- Focuses on understanding and documenting differences in gender roles, activities, needs, and opportunities in a given context
- Involves the disaggregation of quantitative data by gender
- Highlights the different roles and learned behaviour of men and women based on gender attributes which vary across culture, class, ethnicity, income, and education

13. Gender Issues in Participation

- Cultural and legal constraints impede women's equal participation with men in:
 - policy-making,
 - economic and sectoral analysis, and
 - project design and management.
- In addition, women have not been able to participate because of their relative lack of time and mobility as a result of workload and their multiple roles.
- Experience shows that women from different communities and castes not only have conflicting interests and priorities but often cannot even be brought together on a common platform due to deep-seated prejudices and beliefs about each other.
- If participatory development is to benefit from women's contributions and meet women's particular needs, a range of strategic and practical measures must be taken to overcome these barriers.

Prevailing Misconceptions about Women

- Women only do domestic work
- Each member of the family shares benefits equally
- Technology will automatically benefit both men and women equally
- Women's voices will be heard through their male relatives
- Women are incompetent at certain activities

How Women's Needs Generally Get Overlooked

Case Studies:

- i. A case of drinking water
 - In areas with a drinking water problem, women suffer the most as they are required to spend

several hours a day fetching water for household needs.

- This places tremendous pressure on women who are already over-burdened.
- Formal institutions run by men may not prioritise drinking water issues because they cannot appreciate the burden it is, as they do not fetch drinking water.
- Consequently, the drinking water issue may be completely overlooked.

ii. Potato Farming

- When potato farming was introduced as a cash crop on a large scale in the Almora hills, the income from potatoes was misused by male farmers, leaving the women and children worse off than when subsistence crops were grown.

iii. Firewood/Fodder Collection

- In a watershed area of Nepal, forest land was declared protected and the local villagers were forbidden to enter.
- As a result, farmers, especially women, faced serious problems.
- Collecting the necessary firewood and fodder forced them to work several hours longer than previously.
- People had to enter the forest at night to avoid the army.

iv. Women are Better Managers-Women's Groups in a Watershed Project in Nepal

- The Participatory Upland Conservation and Development Project in Nepal observed that women's groups were often more successful and active than mixed or male groups.
- The reasons were because women's groups made clearer financial statements. Furthermore, women were responsible and faithful to one another.

v. Women as Efficient Money Users –Grameen Bank in Bangladesh

- Initially, the Grameen Bank in Bangladesh made a provision that 50% of its loans should go to women.
- Now 94% of its clients are poor women with a return rate of 97%.
- The Grameen Bank also found that women were able to spend the loans in more useful productive ways than men.
- Women spent their money on food, health, children, home, and family.
- Consequently, gender relations improved and women gained respect.

14. Benefits and Costs of Participation

Participation makes development more people-centred, yet it is not a panacea.

Benefits of Participation

- Increased quality and sustainability of development options
- Increased stakeholder ownership of policies and projects
- More willingness to share costs and help with maintenance
- Increased equity by involving the poor and other groups in planning and implementation
- Increased local capacity-building
- Increased transparency and accountability
- Better institutional performance.

Costs of Participation

- Participation sometimes entails painstaking collaboration.
- The process may not be captured by a small group of intermediaries intent on advancing their own agenda.
- The risk of raising expectations that may prove impossible to fulfill
- Possible cultural and political constraints

15. Case Studies on Benefits of Participation

i. In Pakistan's Orangi Pilot Project

- The project provided sewage facilities to nearly one million people in a poor area of Karachi.
- Costs were one-eighth of the conventional sewage provided by city authorities.
- This was due to changes in technical design and elimination of pay-offs to intermediaries.

ii. In Gujarat, India

- During the 1980s, an average of 18,000 forest offences, including timber theft and illegal grazing and fires, were recorded annually.
- Twenty forestry officials were killed in confrontation with communities and offenders, and assaults on forestry officials were frequent.
- In response, an experiment in joint management with communities was initiated by the conservator.
- This included community meetings, widely-publicised creation of forest protection committees, and profit-sharing of 25% on timber returns with local groups.
- As a result, conflicts between officials and community groups diminished, community groups assumed responsibility for patrolling forests, and productivity of land and returns to villages increased sharply.

iii. In Cote d'Ivoire

- A national rural water supply programme established community water groups.
- The water groups managed the maintenance of 13,500 water points and reduced breakdown rates from 50% to 11% at one-third the cost.

- The results were sustained in those villages that had high demands for rehabilitated water points and where well-functioning community organizations already existed.
- iv. In Tamil Nadu, India
- A community-based nutrition outreach programme in 9,000 villages resulted in a one-third decline in severe malnutrition.
 - Earlier programmes focussing only on the creation of health infrastructure made no impact on in the nutritional status of children.
- v. The Philippines
- Beginning with a pilot project in 1976, the approach to irrigation was expanded in 1980 to cover all communal systems and later extended to large-scale national irrigation systems.
 - A 1993 study of three irrigation systems reported substantial improvements in performance after ownership and management responsibility were transferred to farmers.
- vi. In Nicaragua
- Local supervision of a *barrio* upgrading project contributed to a rate of return 50% above what had been anticipated
 - The project was completed in 3.5 instead of 5 years.
- vii. In South Korea
- Over 52,000 kilometres of village access roads have been built over the past two decades as part of a community self-help effort.
- viii. In Nepal (Baglung district)
- Communities constructed 62 suspension bridges using mostly local materials and labour inputs.
 - The cost to the government was only about \$ 50,000.

16. Aids Required

17. Discussion / Questions / Answers: (30 minutes)

18. Further Reading Materials

Session Plan Three

Participatory Watershed Management (WM) and Key Elements of Its Processes for Planning, Implementation, Monitoring and Evaluation

1. Objectives

- To emphasise that participatory watershed management is process-based rather than target-based
- To stress that natural resource management activities are crucial for overall human development
- To illustrate that sustainable upland watershed management requires planning, monitoring, and evaluating in a participatory manner through the empowerment and involvement of local people

2. Session Outline

- Integrated Watershed Management
- Participatory Processes in Watershed Management
- Farmers' and Professionals' Envisioning and Their Cosmic Vision
- Farmers' Empowerment and Ownership
- Land Use Titling and Tenure
- Integration of Gender Concerns
- Assured and Quick Benefit Generation
- Participatory Watershed Planning, Monitoring
- Other Important Aspects of Participatory WM

3. Session Time

4. Assumptions

- Traditionally, watershed management has been thought to involve physical target-oriented activities fitting into the government or non-government or donors' pace of life rather than that of the local people; as these agencies acted as though they knew what was best for local communities.
- Traditionally, top-down watershed management practices followed a Transfer of Technology (TOT) model led by researchers and extensionists in which local people simply became passive recipients of development benefits.
- Traditionally, monitoring and evaluation activities were considered to be very highly skilled work which could only be carried out by outside experts. The role of local people was simply to provide the information sought from them.

5. Session Outline Topics

6. Integrated Watershed Management

- Watershed - The boundary which divides an area draining separately
- Catchment - The area itself draining separately in a natural manner

Integrated watershed management deals with the use and conservation of natural resources to meet the needs of land users. Modern watershed management is more people friendly and process-based, fitting into the farmers' pace of life rather than functioning at the convenience of development agencies, as is the case in the traditional approach.

In a given watershed, the activities to be undertaken have the following common primary aims.

- Natural Resource Management (NRM) for human development within a target group
- Poverty reduction through capital and income generation
- Distributional equity among men, women, all social groups, classes and castes

A comparison between conventional and modern WM approaches is given in the Table in the following page.

Participatory integrated WM can be defined as:

"Utilisation and conservation of land, water, and forest resources at farm household and community (or given watershed) level for continuously improved livelihood and human development."

7. Participatory Processes in Watershed Management

Farmers need to become equal partners in development; their local knowledge and capacity for continued experimentation and innovation needs to be recognised. Based on such an approach, the basic foundation of a participatory integrated WM can be laid.

Conventional and Modern Approaches to Watershed Management

| CONVENTIONAL APPROACH | MODERN APPROACH |
|--|--|
| 1. Executing agency-driven, target-based | 1. Participatory, farmer-driven, participatory process-based |
| 2. Aimed at soil, water, and forest conservation only | 2. Aimed at poverty reduction and overall human development through NRM |
| 3. Transfer of Technology (TOT) extension method | 3. Farmers' first approach married to TOT |
| 4. Extensionist- and scientist-led, based on imported technology and ideas | 4. To be farmer-led, based on indigenous knowledge and the culture of local people |
| 5. Top-down planning, monitoring and evaluation (M&E) | 5. Participatory planning, monitoring and evaluation |
| 6. Land use based on land capacity | 6. Land use based on land suitability and people's needs/preferences |
| 7. Does not consider structural issues, e.g., land ownership, farmers' organization, etc | 7. Land use titling and farmers' organization at forefront of participatory WM |
| 8. Aimed at long-term benefits | 8. Aimed at quick net benefit generation (economic, environmental, social as well as political) |
| 9. Empowered the agents of TOT, i.e., officials. | 9. Aimed at people's empowerment |
| 10. Attempted to select generally better-off farmers | 10. Aimed at marginal, small, and poor farmers with special emphasis on gender and disadvantaged classes |
| 11. Tended to be controlled by single sectors/depts | 11. Multi-sectoral and multi-disciplinary |
| 12. Engineering structures prioritised | 12. Biological, agroforestry methods prioritised |
| 13. Incentives and aid used for people's participation | 13. Investment at the disposal of farmers |
| 14. Does not encourage people's initiatives | 14. Based on people's initiatives |
| 15. Disjointed and arbitrary | 15. Uses farming systems' approach as well as common property management approach |
| 16. Based on large watersheds | 16. Small watershed-based |

The key elements of a participatory process enabling farmers to have ownership in WM development programmes are given below.

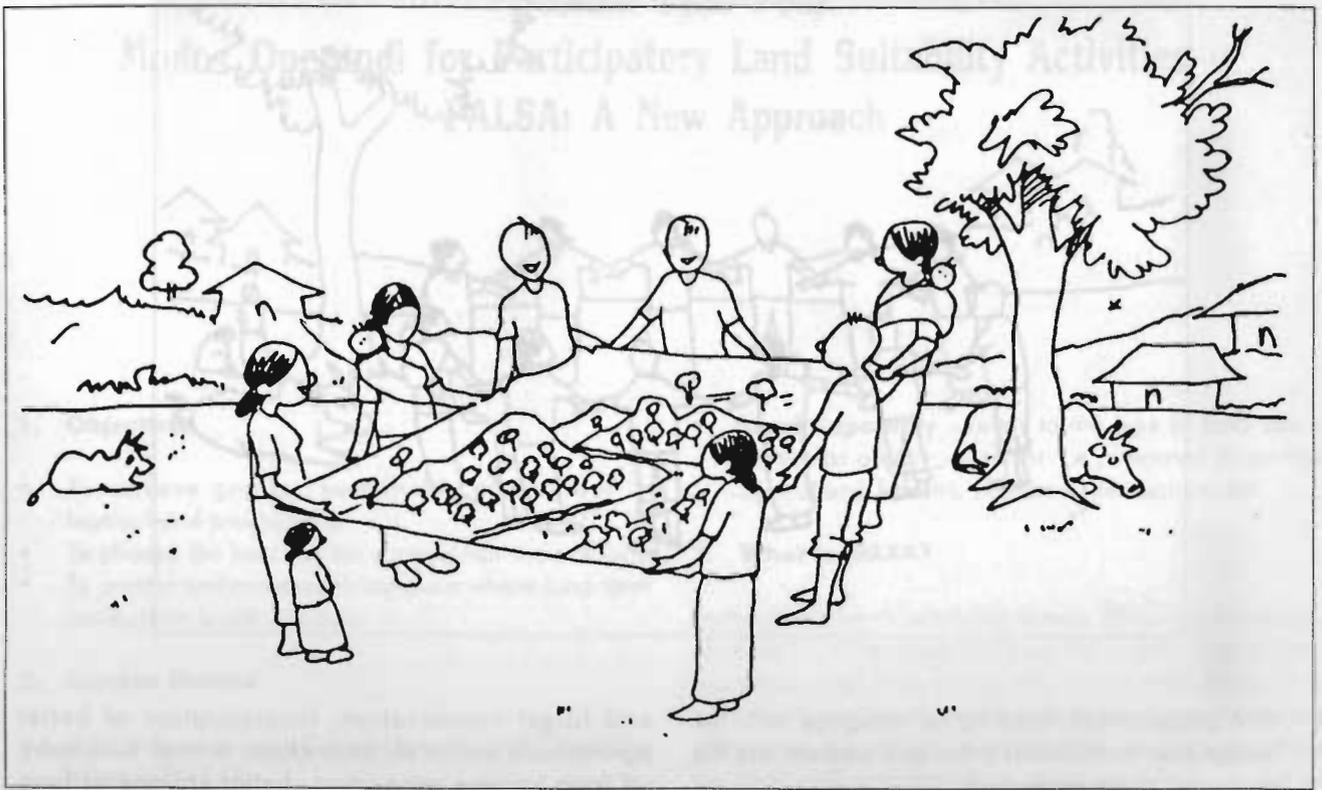
- Envisioning by farmers and professionals of integrated WM and basing programmes on the cosmic vision of the people, i.e., their relationship to nature and the universe
- Farmers' empowerment and ownership of WM processes and programmes
- Mainstreaming gender concerns, especially women's, and ensuring other disadvantaged groups' participation
- Assured and quick benefit generation by WM programmes

8. Farmers' and Professionals' Envisioning and Their Cosmic Vision

Participatory watershed management should result in an improved livelihood and social life style in harmony with

nature and based on the cosmic vision of a community. Envisioning exercises by farmers and professionals can be carried out in many ways. The envisioning steps could consist of the following.

- Understand the philosophy of life of a given community
- Identify the dominant culture of a given community
- Identify moral values as an entry point for farmers' WM programmes
- For moral decay/degradation in the community or among the professionals revitalise/regenerate through appropriate leaders/development practitioners
- In most Asian countries, culture can motivate people to take part in activities for the common good.
- Build from successes and failures
- Spiritual retreat for development agents and local leaders to instill moral virtues in them would be helpful
- Training programmes should be based on the community's felt needs.



9. Farmers' Empowerment and Ownership

Empowerment is linked to control over resources, which in turn is linked to ownership. Land ownership is thus seen as an important aspect for facilitating people's participation. Giving rights to people to use resources is seen as an effective means of empowerment. Farmers' group formation and networking into federations help institutionalise the empowerment process.

The following three aspects are very important for the empowerment of farmers.

- The right to organize, i.e., farmers' organization
- The right to use/own land and other resources, i.e., land use titling
- Equity among all sections of society, especially in relation to gender concerns and disadvantaged groups, i.e., main-streaming gender and other social concerns

Recent efforts to encourage people to participate in WM/NRM in the Asian region have been through farmers' group formation. Successful examples of this can be found in Users' Group activities and the FARM programme in Nepal.

10. Land Use Titling/Tenure

Control over land resources by both men and women is a prerequisite for people's participation in WM/NRM programmes. Although there is no universal model to address the problem of land use titling/tenure for all the

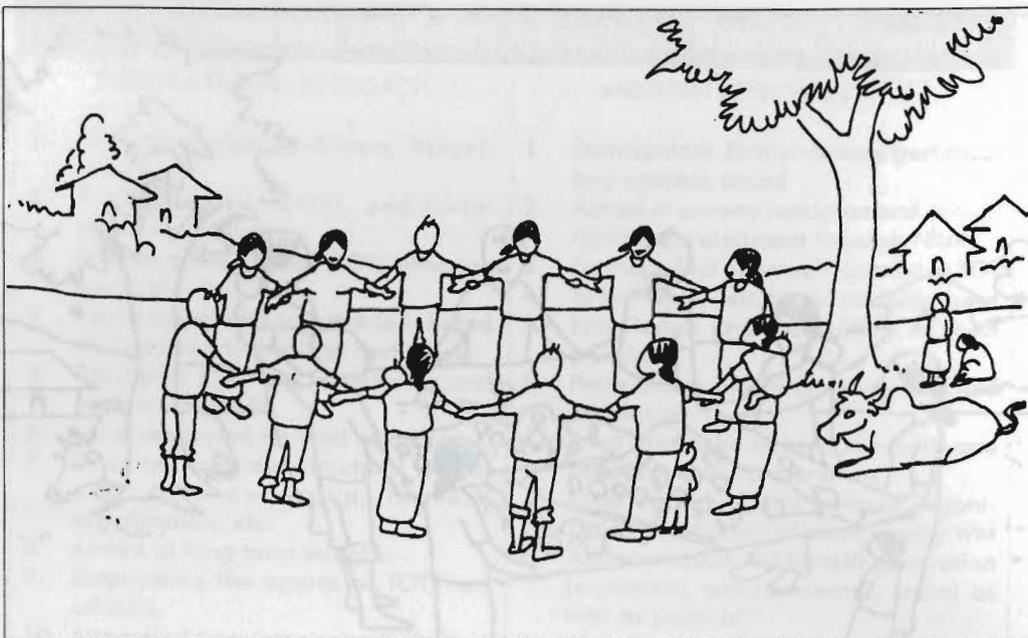
countries in Asia and the Pacific because of the different cultural norms and political systems, the following conditions are necessary for addressing ownership issues.

- There should be security of land title/tenure, whether it is on a lease basis or a complete ownership basis.
- Government's support services for development should be clearly defined for successful land allocation.
- Where there are problems in land titling, a participatory consensus approach could be followed.
- In many societies, women do not have land titles. Land titling for women will bring an improvement in land use due to long-term security and control.
- Watershed management: rehabilitation, conservation, erosion control, socio-economic and policy aspects should be comprehensively discussed with potential end- users as a prerequisite for evolving land titling/tenure policy.

11. Integration of Gender Concerns

Despite women's major involvement in upland watershed management activities in addition to their work at home, policy-makers, planners, and technicians have largely remained unconcerned with them. As a result, gender concerns have not yet percolated to the implementation level. There is an urgent need to correct this imbalance by mainstreaming gender concerns into WM/NRM development programme designs.

Steps for mainstreaming gender concerns into WM programmes include the following.



- WM programmes need to be designed with the recognition that farmers (men and women) are the managers of the watersheds.
- Women farmers' and other disadvantaged groups' capacity for better management of watersheds should be improved.
- Staffing positions for women/disadvantaged groups should be designed and they should be trained in communication skills.
- Organizational structures should provide a friendly environment for women/disadvantaged groups.
- WM/NRM activities that save time, reduce workloads and risks, but increase income quickly should be designed.
- WM/NRM development designs should enable women/disadvantaged groups to have control over resources.
- WM/NRM development designs should provide for periodic checks to ensure that women/ disadvantaged groups are benefitting.

For development programmes to be gender-sensitive, project activities need to be segregated for women and men at the design stage itself. Even women professionals need gender sensitisation training; their constraints must be removed as they often work within institutional frameworks designed for men only.

12. Assured and Quick Benefit Generation

Experience in watershed management has shown that, without quick direct benefits, participation of farmers cannot be expected. Likewise, for common property resource management, if the resources are to be managed better by local people, they must produce quick benefits.

The quick income generating activities could include both mechanical as well as biological activities for land, water,

and forest conservation. Incorporation of better agronomical practices, cash crops, animal husbandry, off-farm income generation, better storage of farm produce, value-added products, marketing and rural infrastructure require attention as potential quick, income generating activities.

13. Other Important Aspects of Participatory WM

To facilitate implementation of integrated WM/NRM activities, the following aspects must also be planned, monitored, and evaluated.

- Farmer-led Facilitation
- Farmers' Capacity-building
- Farmer-led Planning
- Farmer-managed Funding
- Farmer-led Implementation
- Farmer-led Monitoring and Evaluation

In all the above aspects of the participatory process, dialogue is important to achieve true participatory watershed management. Farmers should have opportunities to express their views and opinions, to identify problems, and to share their ideas with researchers, extensionists, and managers.

In the past, watershed planning, monitoring, and evaluation have been top-down, carried out by the related officials. With the advent of participatory methods and tools such as RRA and PRA, as well as assessment tools for gender analysis, these have now become participatory. However, participation is limited to WM/NRM social and biological resource assessment. Moreover, the process elements of WM/NRM must be understood.

Session Plan Four

Modus Operandi for Participatory Land Suitability Activities - PALSA: A New Approach.

1. Objectives

- To achieve greater, sustainable agricultural or horticultural productivity
- To choose the best use for a particular area of land
- To protect and conserve those areas where long-term production is not possible

2. Session Outline

- Background to Land Suitability and Land Capability
- What is PALSA?
- Survey - Village Resource Mapping
- The Transect Walk Method
- Evaluation of Collected Information

3. Session Time

4. Assumptions

- Classifying land in terms of its suitability has been largely the work of government agencies
- In this exercise, land users themselves are neither encouraged to participate nor are their views included, consequently, such an exercise has little practical use.

5. Session Outline Topics

6. Background to Land Suitability and Land Capability

The existing methods of classifying land in terms of its suitability (land use or crops) have been used largely by planners from a formal government structure. The purpose of these systems is to identify areas that are suited to either a land use type (LUT) or to a particular crop. Finally, a map is drawn showing distinct areas suited to different LUTs. The Land Suitability Classification developed by FAO in the 1970s is the system used most for classifying land in terms of its suitability.

Land Suitability and Land Capability

- **Land Suitability** - largely focussed on the specific crop that has potential in any given area of land

- **Land Capability** - refers to the type of land use a particular area is suited for, i.e., irrigated or rainfed agriculture, forestry, pasture or recreation, etc

7. What is PALSA?

Participatory Land Suitability Activity (PALSA) is a meeting of minds from the inside and from the outside. The insiders are those who live, work, and make their living in a particular area; these are the people who know the history of the land, the productive capabilities of each area where the fuelwood and fodder is collected, which source of water is good for the livestock, and so on. The outsiders are a group of trained specialists, generally experienced in surveying areas or types of environment.

In watersheds or farming communities, it is the land suitability but not the land capability practice that is generally followed, based on the felt needs of individuals and communities, and from the point view of the environment. The needs may include the following.

- Food, fodder, fuelwood from the forest and areas of scrub and shrub
- Staple food and cash crops from the fields
- Water from the hills or valley streams
- Grazing areas
- Urban centres and recreation areas

Steps for Land Suitability Assessment

- **PALSA- The Modus Operandi** - Outsiders do not go blind into an area.
- **Meeting the People** - Formal and informal meetings between insiders and outsiders are important to set the tone and collaborative spirit for the survey work to come.
- **Presenting the Case** - The outsiders must explain what they can provide in terms of advice and options - photos, slides, videos, etc., - that are useful.
- **Raising Awareness** - In the process of raising awareness, a number of meetings will be required to produce a land-use plan for the watershed as a whole, keeping in mind that needs and interests will differ among different groups of people.

Example of Constraints-Solutions Diagram for Pungzhi, Thimpu, Dzongkhag

| Resources | Constraints/ Problems | Solutions tried/tested | Solutions suggested by villagers |
|-------------------------|--|---|--|
| Wetland | Weed problem, lack of irrigation water | Hand weeding two times; wait for rain, leave land fallow | Herbicide use, Improve water distribution according to land-holding RGOB assistance |
| Irrigation water | Irrigation channel broken by landslides | Hollow trunks used to pass the washed out area; trunks need to be changed every three years | |
| Wetland + Dryland | Crop damage by wild animals (boar, deer) | Dead brush fencing, 5 strand barbed wire fences reinforced with branches: ineffective; nightwatching, fires | Chemicals, RGOB to take action |
| Orchard | Insects and diseases | Use of chemicals but insufficient knowledge, manually removing insects, ashes on infected twigs and branches: ineffective Use water from drinking water supply | Village-level training on pest/disease control for farmers at appropriate time of year Chemicals |
| Livestock | Low milk yield from local cattle; no knowledge of jersey-cross or other improved cows | | Receive a jersey- cross cow on trial/ provision of jersey bull for cross- breeding |
| Forest | Forest policy/act too strict/ cumbersome. Insufficient firewood | | Improve forest act: easier access to forest products |
| Drinking water | Broken water pipes | Tried to join the pipes by heating the iron and with rubber strips: unsuccessful | Repair with RGOB assistance: train people, provide tools |
| Houses | No electricity, no latrines | Reported 6 times but no result Temporary structure built | Send copy of our report to concerned dept. |
| Infra- structure | Not enough good cattle tracks | Tracks improved by villagers, but many big rocks | Tools + materials required to blast the big rocks/stones (PWD assistance) |
| Tseri | Fallow due to lack of manpower | | |

- S : Suitable - The land can support the land use indefinitely and benefits justify inputs.
- S1: Most Suitable - Land without limitations; it is useful to include the best 20-30% of suitable land as S1.
- S2 : Moderately - Land suitable but with limitations; it needs increased inputs to sustain productivity compared to S1 land.
- S3 : Marginally - Inputs needed to sustain production are increased and this cost is marginally justified.
- N : Not Suitable - The benefits do not justify the use of necessary inputs.
- N1 : Currently not suitable – Sustained use that cannot be overcome at current acceptable cost.
- N2 : Permanently not suitable - Sustained use that cannot be overcome.

8. Survey - Village Resources' Mapping Method

This method consists of two steps. First, villagers are requested to draw a map showing the important resources which the villagers use. Second, a problem-solution chart is made. After completion of the map, villagers are asked

to explain how the resources are managed. Local materials may be used to draw the map. Villagers may use their imagination in choosing the materials.

Time required: Preparing the map takes one to two hours, with another one to two hours to prepare a diagram of constraints-solutions.

Different Steps to be taken while preparing the village resource map are given below.

- Briefly explain the purpose of the exercise;
- Ask the villagers to select 6-10 representatives of different user groups to participate in the exercise;
- Select a suitable place to prepare the map;
- Ask the villagers to use their imagination while drawing a map showing all the village resources.
- Ask the group which materials they would like to use to draw the map.
- After preparation of the map by individual groups, people may come together for additional information or modification.

- When the map is finished, go through the checklist and ensure that farmers are reminded of missing points for consideration and inclusion.

9. The Transect Walk Method

This method serves to explore the village territory in detail together with villagers. It should take the group through most of the different land use types distinguished by the villagers in their village territory. Observed or indicated land uses, soil, slopes, vegetation, crops, cultural practices, infrastructure, water availability, erosion, special sites, etc, are noted down. The constraints/problems related to the different land-use systems and related solutions are to be discussed.

Considerations

- Transects can be chosen based on the village resource map.
- The team should be multidisciplinary with farmers representing various socio-economic categories of user groups.
- Transect walks should take place at a time when representatives of all resource user groups can participate.

- Depending on the variation of the terrain, several walks may be undertaken.
- The group could produce a diagram indicating different resources, characteristics, management, constraints, and solutions.
- Sheets of paper could be divided into columns and rows. The topics to be addressed could be indicated in the first column, with space left for other topics to be added by the group.
- The team walks the predetermined transects. The team writes down observed or indicated land uses, soils, slopes, vegetation, crops, water availability, erosion, etc.

10. Evaluation of Collected Information

The study of findings must be reviewed with all the participants, including both the outsiders and insiders, to reveal gaps, misunderstandings and misconceptions. Villagers are the experts and understanding their views will improve the researchers' perceptions greatly. People who live in the area should be consulted to check whether the outsiders have understood the situation. Ultimately, a joint consensus could be arrived at for preparing participatory land suitability development programmes.

Session Plan Five

Underlying Principles of Participatory Planning, Monitoring and Evaluation

1. **Time:** 2 hrs

2. **Session Outline**

- Understanding the principles of the participatory approach to planning, monitoring and evaluation
- Process of participatory planning
- Key elements and modes of the participatory approach, monitoring and evaluation
- Indicators of Participatory Monitoring and Evaluation (PME)
- Designing PME charts & formats

Assumptions

- Participants understand concepts of planning, monitoring, and evaluation
- Participants have adequate field experience in participatory approaches to rural development
- Participatory Planning, Monitoring, and Evaluation are not fully exercised in community programmes
- Local communities are not empowered to carry out participatory planning, monitoring, and evaluation.
- Non-participatory approaches to planning, monitoring, and evaluation have led to discordant attitudes in local communities
- Sustainability of a programme lost due to non-participatory approaches to planning, monitoring, and evaluation

Objectives

- To stress the importance and necessity of Participatory Planning, Monitoring, and Evaluation
- To enable the participants to understand and develop Participatory Planning, Monitoring, and Evaluation formats and methodologies
- To increase the skill and knowledge of participants to strengthen the capacity of farmers or participatory groups to carry out Participatory Planning, Monitoring, and Evaluation of small-scale community development programmes

Session Design

- Explaining the concept and underlying principles of the topic by using overhead transparencies followed by discussion
- Presenting examples of Participatory Planning, Monitoring, and Evaluation formats and tables
- Dividing participants into several groups and organizing group work for development PME formats and charts

Session Background

Participatory Planning (PAP)

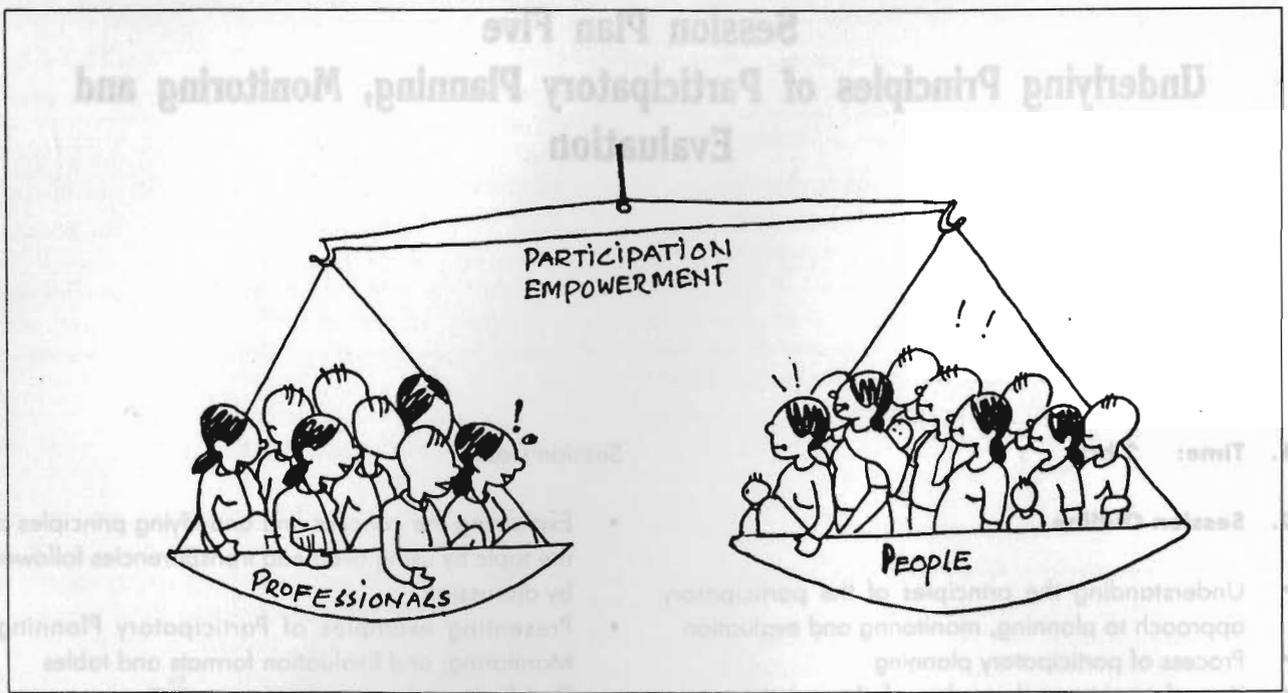
PAP is a process in which participatory groups act as decision-makers for planning country-level development initiatives. Decisions will be made on the basis of interaction among the men, women, old and young farmers, disadvantaged, and minority groups.

Empowering and organizing participatory groups and facilitating their contributions are the key elements for active Participatory Planning.

Different modes of participation such as Initiated, Facilitated, Co-opted, and Induced are used in different programmes for community development. However, true participatory action in planning, monitoring, evaluation, and maintenance is still lacking.

Participatory Monitoring (PAM)

PAM is a self-monitoring system. PAM should be designed by participatory groups for their own use. Participatory Evaluation (PAE) is an evaluation of a development programme which is carried out by local participatory groups. The Participatory Monitoring and Evaluation (PME) groups should be responsible for measuring, recording, collecting, processing, communicating, decision-making, and analysing the information.



PME should be designed to answer the following issues of a development programme.

- Effectiveness
- Efficiency
- Relevance
- Impact

A PME system primarily consists of the following

- Indicators
- Data collection system
- Tabulation & analysis of data
- Reporting

PME is:

- demonstrative, not instructive,
- collaborative, not individualist,
- explanatory, not persuasive,
- listening, not lecturing,
- discussing, not dominating, and
- farmer-oriented, not project-oriented.

PME's attributes

- Belongs to the people
- Self-help oriented/self-reliance
- People's control over programme/project
- Hands over the measuring stick to the community

Purpose of PME

- To assess information or generate data at the grassroots' level

- To facilitate the participation of grassroots' beneficiaries in project or programme monitoring/evaluation tasks
- To increase beneficiaries' commitment and understanding in designing, planning, and implementing a community-based project or programme

Steps in PME

- Understand the project's goal and objectives
- Identify activities to achieve the objectives
- Develop indicators by which each activity can be measured
- Develop tools to measure the indicator
- Present the information in simple formats
- Develop charts for each activity of the action plan, target, and achievement

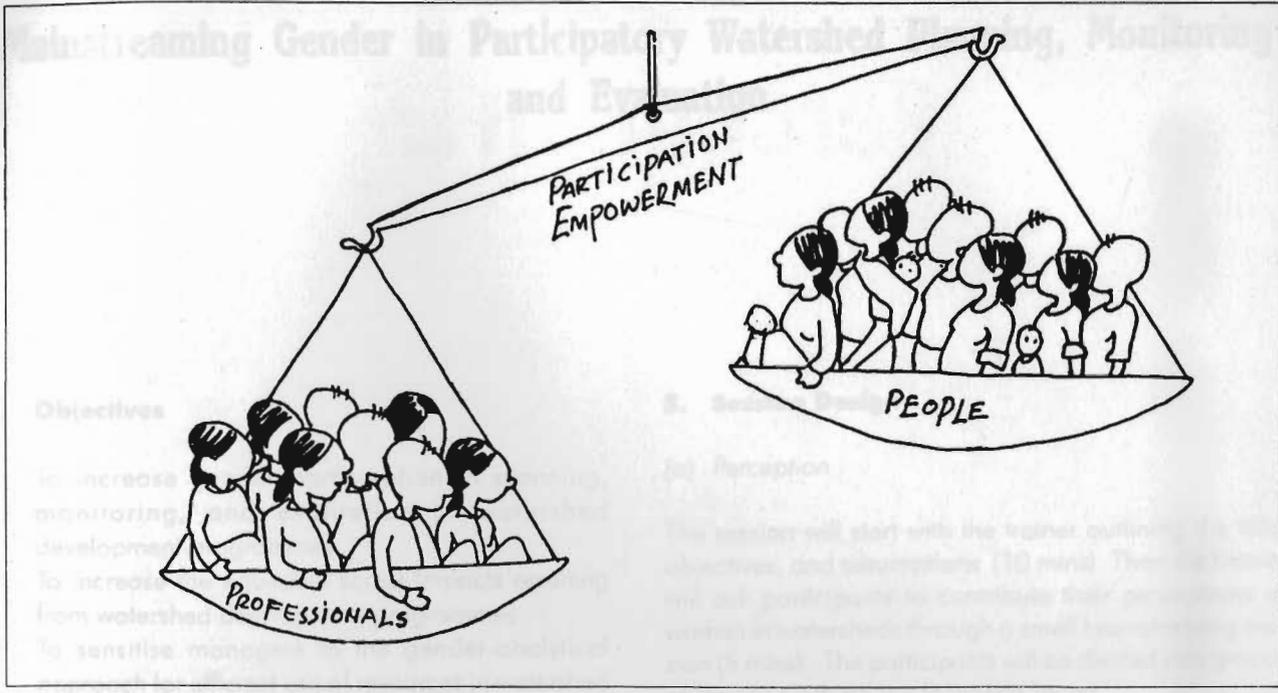
Indicators

Indicators are the factors identified to measure changes or assess results or to show the extent of progress achieved by the activities. Many different kinds of measurements are possible, depending upon the objectives.

Indicators should be **SMART**

- S = Specific
- M = Measurable
- A = Attainable
- R = Realistic
- T = Time-bound

Indicators should reflect the following.



- Target group
- Quantity
- Quality
- Place, site or location
- Time

PME is generally applied for:

- maintaining records of progress;
- assessing inputs, outputs, and impacts;

- creating a visible image of achievements;
- indicating the timeliness of inputs;
- providing a data-base for discussion, review, planning and decision-making;
- developing the basis for constructive changes in policy and planning project activities; and
- justifying the evidence and visible image of achievements.

Session Plan Six

Mainstreaming Gender in Participatory Watershed Planning, Monitoring and Evaluation

1. Objectives

- To increase gender participation in planning, monitoring, and evaluation in watershed development programmes
- To increase the equitable social impacts resulting from watershed development programmes
- To sensitise managers to the gender-analytical approach for efficient use of resources in watershed management
- To develop skills among officials and communities to facilitate women's participation in planning, monitoring, and evaluation

2. Session Outline

- Perception: Assessing Individual Perceptions of Gender
- Practical Gender Needs and Strategic Gender Interests
- Analytical Framework in Gender Relations
- The Way Forward, Strategies

3. Session Time: 2 hrs

4. Assumptions

- The constraints of resource scarcity related to women's practical needs are not linked to watershed development programmes.
- Programmes such as poverty alleviation, reduction in women's work, and increased female literacy, food quality, and health care have failed to bring about positive social impacts in watershed ecosystems.
- The barriers to women's participation in the planning and monitoring stages of development prevent an efficient use of resources.
- Considerable inertia and inhibitions against women's participation result from institutional, situational, and dispositional barriers amongst women which restrict their presence, speech, and contributions in the process of planning, monitoring, and evaluation of programmes.

5. Session Design

(a) Perception

The session will start with the trainer outlining the title, objectives, and assumptions (10 mins). Then the trainer will ask participants to contribute their perceptions of women in watersheds through a small brainstorming session (5 mins). The participants will be divided into groups of four to work on the following issues.

- Two places where they think they see men and women intimately connected with a watershed system
- Five commodities of a watershed which are directly related to men's and women's use

This process allows for some envisioning by the participants on women's position in watershed ecosystems. It also initiates a thought process in the participants to begin linking the resources needed by men and women.

Each group will present its perceptions on a flip chart (3 mins. for each presentation).

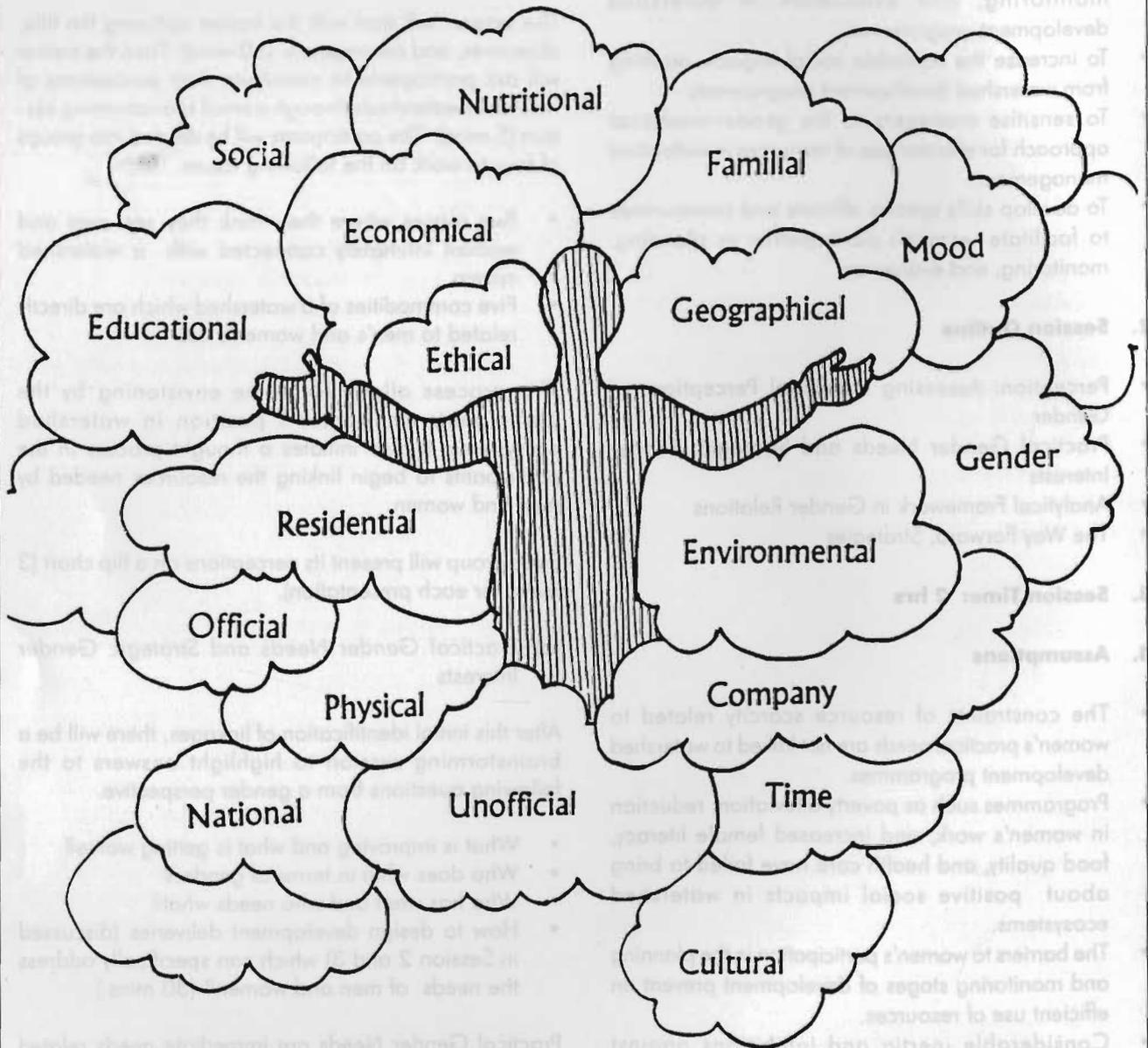
(b) Practical Gender Needs and Strategic Gender Interests

After this initial identification of linkages, there will be a brainstorming session to highlight answers to the following questions from a gender perspective.

- What is improving and what is getting worse?
- Who does what in terms of gender?
- Who has what and who needs what?
- How to design development deliveries (discussed in Session 2 and 3) which can specifically address the needs of men and women? (30 mins.)

Practical Gender Needs are immediate needs related to household water, food, fuelwood, fodder, and health. Short-term development interventions may fulfill these needs on a priority basis. In upland watershed systems, women's time is largely occupied in taking care of these needs.

Perception ...



... the clouds around us!

Table 1: Practical Needs and Strategic Interests

| Practical Needs | Strategic Interests |
|--|---|
| <ul style="list-style-type: none"> • Tend to be short-term • Unique to indigenous groups • Related to daily needs • Easily identifiable • Can be addressed by specific inputs: food, handpumps, clinics, fuelwood & fodder species' plantations | <ul style="list-style-type: none"> • Tend to be long-term • Common to everyone • Related to the disadvantaged • Hope for change and basis of disadvantage not always identifiable • Can be addressed by long-term development interventions, policy changes, literacy, awareness programmes. |
| Examples - food, fuel, water, housing, health and sanitation | Examples - Educational opportunities, agricultural & silvicultural interventions. |

Strategic Gender Interests are measures taken up by long-term planning interventions which are designed to address structural improvements in the environmental and social spheres. Plans to focus on women as equitable partners are designed to introduce changes in cooking fuel priorities and consumption patterns in rural households which have a far-reaching effect on structural components of the watershed.

Participants may be divided into countrywise groups to work on practical needs and strategic interests in their own environments. This process will enable them to envision women's status/position vis-a-vis cross cultural contexts. Once these indicators are identified, carrying out gender analysis profiles will be easier.

(c) *The Important Gender Analysis Exercises to Address Strategic Interests are as follow.*

- Context Profile: Force-field analysis
- Gender Analysis Activity Profile
- Resources' Access Profile
- Programme Action Profile

These profiles are developed on worksheets in columns against rows. Each column specifies the effects of vectors which are listed in rows, and these are worked out for specific cases under consideration.

Linking the assumptions given by participants during 'b' with 'c', an analytical gender framework will be developed on a blank frame complemented by the issues already structured for the trainer, elaborating processes such as interventions, provision of rules, ideas envisaged in plans, etc (40 mins).

(D) *The Way Forward: Strategies for Gender Redistribution of Resources and Responsibilities*

A recapitulation from 'a' to 'd'; an examination of the concept with examples from at least two case studies (one successful and one failure) where facilitating women's participation failed to bring about desired transformations or results should be made to study the processes. Analyse what happened and how it can be avoided - precautions (25 mins).

The case study of Bangladesh's Chandpur Irrigation Project (CIP) described by Overholt (1991) may be used to analyse how a development intervention, which was designed to alleviate poverty, failed to bring about equitable benefits to both genders. The gender-analytical framework may be worked out on the Table below.

The analysis may be presented by groups, depending on the number of participants. This procedure is helpful in precipitating the major issues bringing about the differences in needs and roles of men and women.

6. Aids Required

- Flip-charts, felt pens, small sheets of paper
- Transparencies
- Working out on the four gender analysis profiles by playing the video cassette. The use of vectors in profiles is illustrated by capturing activities from different regions in Asia, which helps to understand the objectives easily

Table 2: Gender-analytical Framework

| S. No. | Institutional Sites | Rules | Practices | Resources | People | Power |
|--------|---------------------|-------|-----------|-----------|--------|-------|
| 1 | State | | | | | |
| 2 | Community | | | | | |
| 3 | Household | | | | | |
| 4 | Market | | | | | |

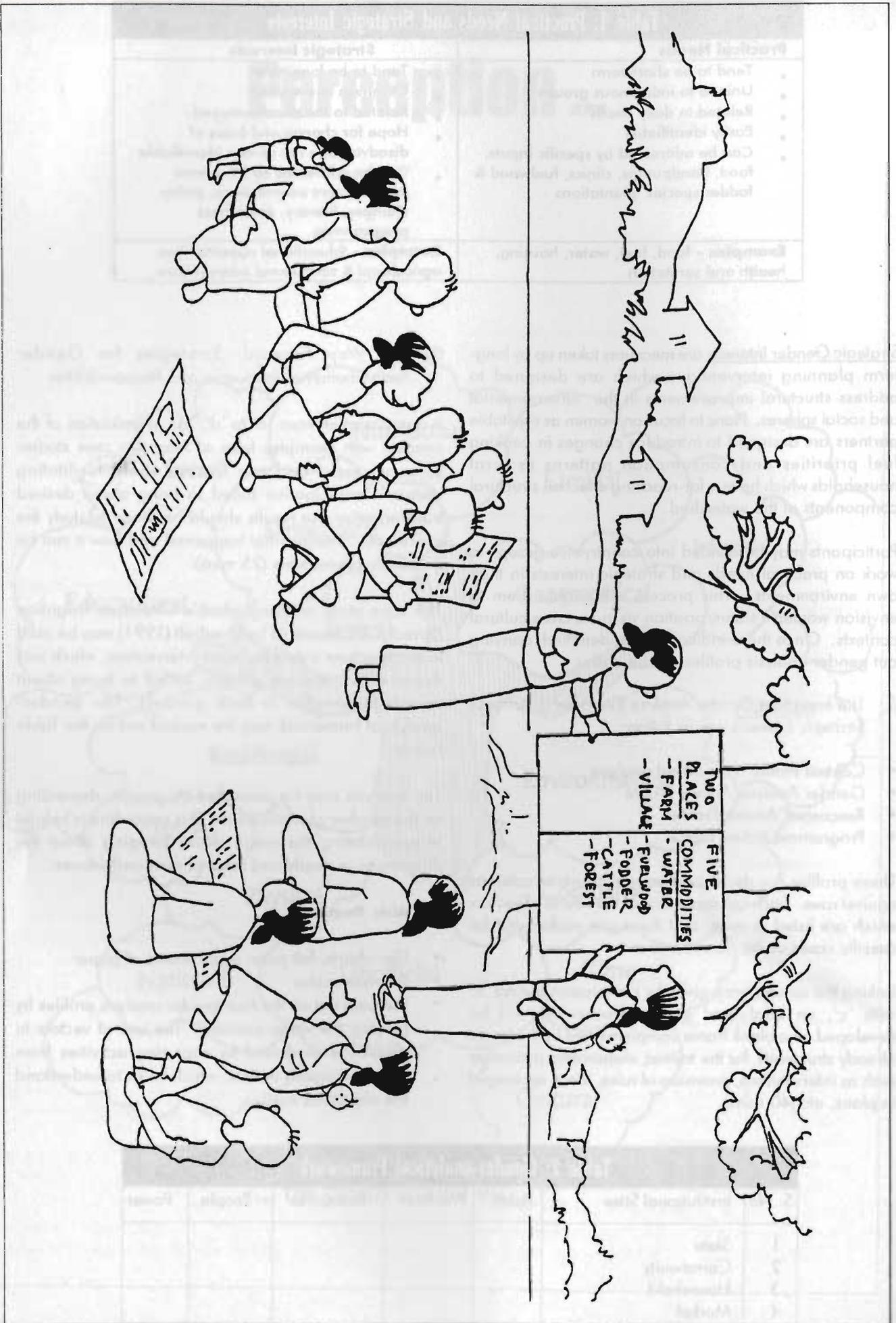


Table 3: Context Profile Analysis

| Context/Factors | Strengths | Limitations |
|--|--|--|
| 1. <u>Environmental</u> <ul style="list-style-type: none"> • Biomass • Soil • Water • Atmosphere • Fresh water bodies • Recharge | <ul style="list-style-type: none"> • Rich, humid environment • High biodiversity • Simpler biomass demands from people • No industrial pollution | <ul style="list-style-type: none"> • Depletion of biomass • Rapid soil erosion • Increasing biotic pressure • Depletion in available water |
| 2. Institutional | | |
| 3. Social | | |
| 4. Political | | |
| 5. Economic | | |

7. Notes for Trainers

The trainer has to plan on delivering the sub-sessions based on the following assumptions, knowledge, and skills.

A number of usable tools have been developed to identify and measure the impact of development interventions through gender redistribution of resources.

(i) *First Step - Context Profile (Force-field Analysis)*

This tool is used to examine environmental, social, political, economic, and institutional factors, focussing on strengths and opportunities versus weaknesses and limitations. This answers the questions "what is getting better?" and "what is getting worse?".

Objectives

The Context Profile Analysis rationalises the SWOL of the context being worked on under different physical and

biological factors. Further probes are possible after this initial identification.

The Context Profile Analysis of the factors to be focussed on in development plans highlights:

- issues on identification of physical and biological factors,
- qualifying strengths and opportunities of each factor versus its weakness and limitations, and
- the ability to plan, based on how gender is affected by the intensity of these factors.

Precautions

The following measures are taken up to assure use of appropriate terms to avoid undesirable outcomes from the exercise.

- Clarify the level of analysis, both at the national and community level

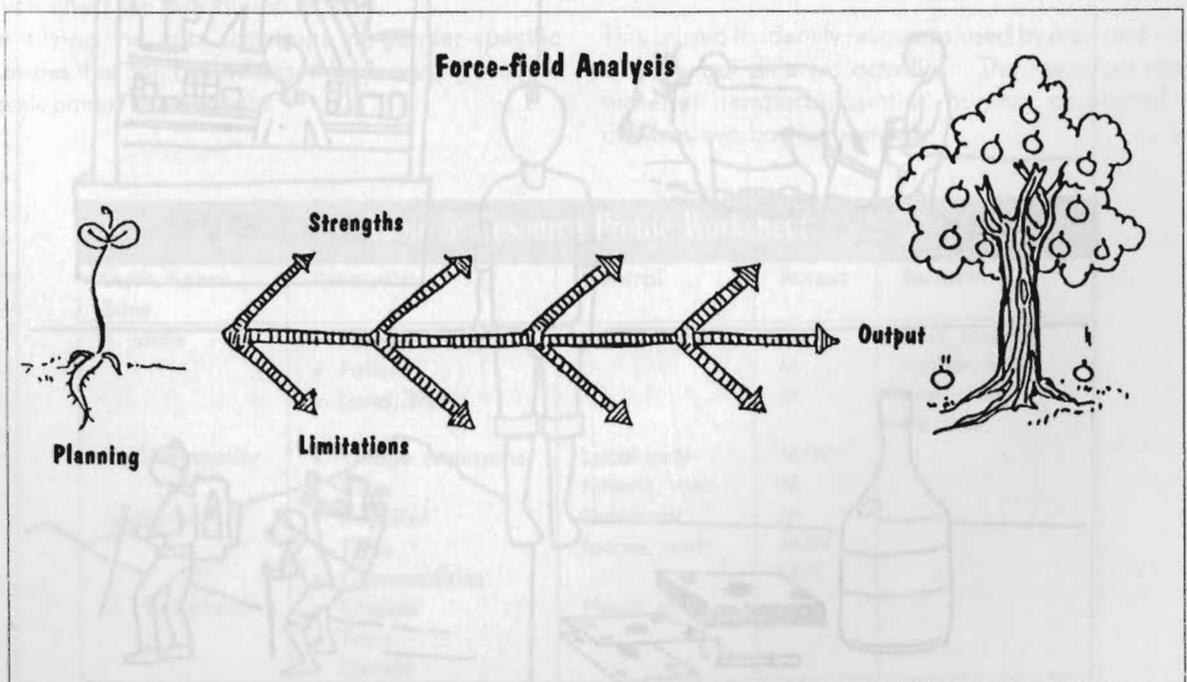


Table 4: Gender Analysis Activity Profile Workshop Framework

| Institutional Sites | Determinants | | |
|--|--|---|---|
| | Activities | Who does it? | Why it is done? |
| 1. State Holdings - Govt. forest lands - Upland & lowland - Lowland - Nationalised forest products - Protected areas 2. Community Common lands 3. Society 4. Market 5. Household | <ul style="list-style-type: none"> • Collection of fuelwood, fodder, ntfps • Agriculture • Soil Conservation measures | <ul style="list-style-type: none"> • women • men/women • men | <ul style="list-style-type: none"> • Cooking & health • Subsistence • Irrigation |

- Avoid assigning values as good or bad; focus on what is, not what should be

For each context, a number of factors may be listed. If the strengths and limitations of each factor can be noted, the further accomplishment of men's and women's needs based on the activity and resource access and control profile may be clarified. This is also called SWOL, or force-field analysis, which weighs advantages versus limitations already existing in the system and is of special use at the policy level.

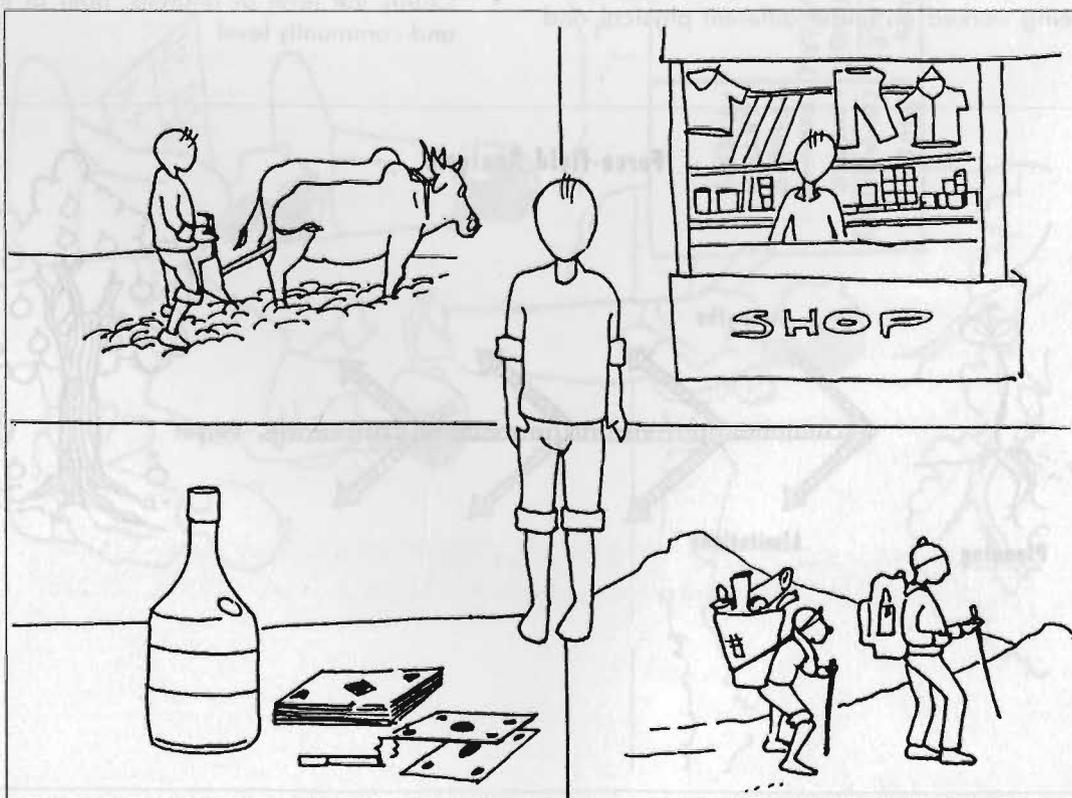
(ii) Second Step : Gender Analysis Activity Profile

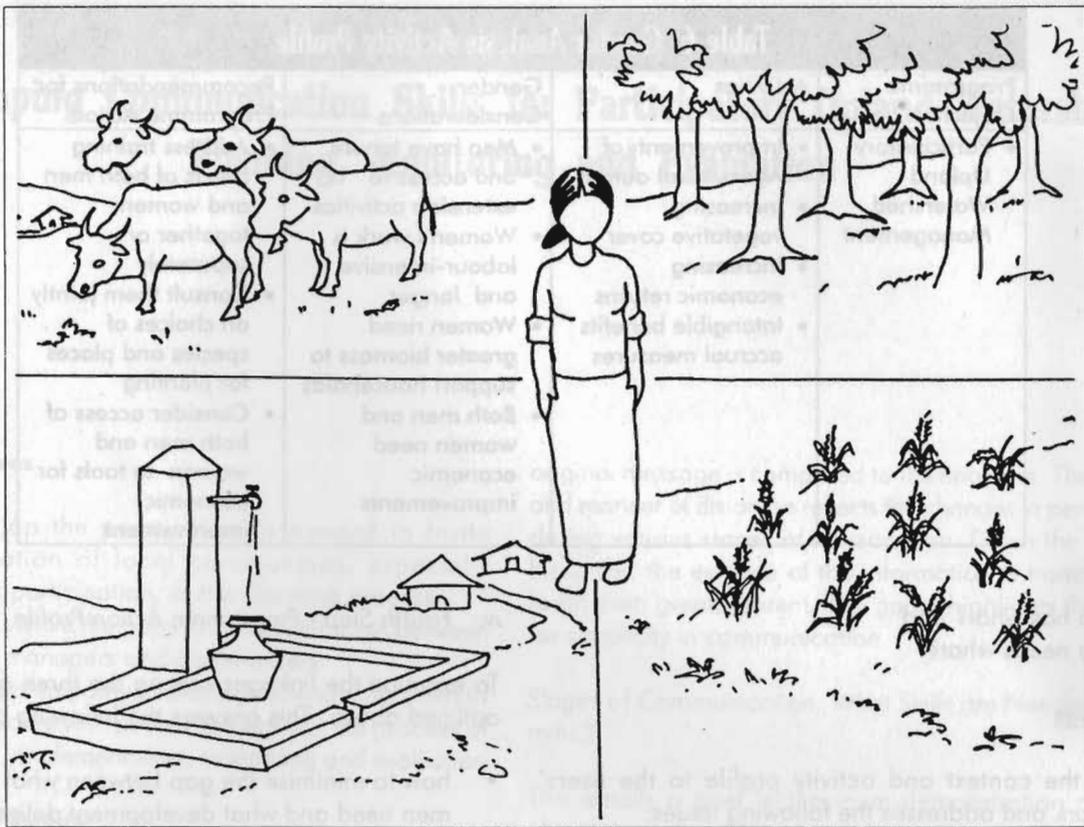
This tool is useful for analysing the gender-based division of labour. It identifies the activities undertaken by men and women at various institutional sites. The time

consumed by these activities is also recorded in order to make a comparative account. This may be carried out by the PRA tools of a daily activity chart and a seasonal occupation chart. The following questions are answered.

- Who does what?
- Which activities are carried out by women?
- Which activities are carried out by men?
- What work is shared by both men and women?

Cross-cultural differences and variations within one society due to urban versus rural backgrounds and class, caste, economic, or political power wielding strata differences may be reflected in deviations in the activity profile. For instance, fodder collection is carried out by both men and women in parts of Nepal and Bhutan.





Objectives

The GAAP addresses following major issues.

- Determining which productive and reproductive activities are carried out by men, women or both
- Determining labour patterns of men and women through daily and seasonal calendars
- Identifying women's dependence on the natural resources and benefits from watersheds
- Identifying interrelationships among activities that which affect the distribution of work
- Identifying the vital locations of gender-specific activities that can be addressed by designing suitable development interventions

Precautions

Only facts should be registered, with no extrapolation or guesswork being used to complete the information.

- Focus on "what is" rather than "what should be" given
- Be prepared for expressions and reactions of surprise or resistance

iii. Third Step: Resource Profile

This is used to identify resources used by men and women to carry out different activities. The resources may be material, temporal, spatial, human, or animal. This answers two basic questions:

| Institutional Sites | Resources | Control | Access | Benefits |
|---------------------|--|-------------------------|-----------------|--|
| 1. State | <ul style="list-style-type: none"> • Forests • Fallow • Land, Trees | Govt./Depts. | M/W M M | Fuel, fodder, timber, food, medicine, income |
| 2. Community | <ul style="list-style-type: none"> • Village commons • Time | Local institutions, men | M/W M | |
| 3. Market | <ul style="list-style-type: none"> • Supplies • Time • Commodities | Economic forces, men | M M/W M/F | |
| 4. Household | <ul style="list-style-type: none"> • Chores • Time • Goods | Head, man | | |

M=men; W=women

Table 6: Gender Analysis Activity Profile

| Programme Objective | Activities | Gender Considerations | Recommendations for Programme Action |
|---|--|--|---|
| <ul style="list-style-type: none"> Participatory Upland Watershed Management | <ul style="list-style-type: none"> Improvement of Agricultural output Increasing vegetative cover Increasing economic returns Intangible benefits accrual measures | <ul style="list-style-type: none"> Men have tenure and access to extension activities Women's work is labour-intensive and longer Women need greater biomass to support households Both men and women need economic improvements | <ul style="list-style-type: none"> Address training needs of both men and women, together or separately Consult them jointly on choices of species and places for planting Consider access of both men and women to tools for economic improvement |

- who has what? and
- who needs what?

Objectives

It links the context and activity profile to the users' framework and addresses the following issues:

- determining access and linkages of men and women to different resources,
- examining control over resources by men and women, and
- measuring differential resource use patterns of men and women, including their needs and the benefits derived from these resources.

Precautions

A resource profile does not necessarily apply uniform norms to different situations. While doing the exercise, care should be taken that:

- actual information is used and not extrapolation or guesswork,
- the word 'family' should be replaced by man or woman,
- not all 'control' can be classified as men's or women's because govt. controls also exist.

iv. *Fourth Step - Programme Action Profile*

To examine the linkages among the three other profiles outlined above. This answers the following questions:

- how to minimise the gap between what women and men need and what development delivers?and
- which policy-level interventions can be incorporated into action plans?

Objectives

- To evaluate whether a programme is able to deliver equitable goods to both women and men
- To evaluate whether men and women have equal opportunities to participate, justifying their roles and needs
- To examine whether the programme requires gender-sensitive changes to assure that the results are sustainable, equitable, and effective

Gender analysis is a tool developed to arrive at a logical conclusion regarding sites where gender segregation is visible. This perception may be dovetailed with development design packages so as to incorporate the vital linkages between resources and gender components. There are several PRA tools which may be followed to derive information on the worksheets. Some of them are listed below.

Table 7: PRA Tools for Gender Analysis

| S. No | Profile Tool | Framework of PRA as a tool for GA | | | |
|-------|-----------------------|-----------------------------------|----------|----------|--------|
| | | Context | Activity | Resource | Action |
| 1. | Mapping/modelling | ✓ | | ✓ | |
| 2. | Transect | ✓ | | ✓ | |
| 3. | Seasonal Analysis | | ✓ | ✓ | |
| 4. | Trend diagramming | ✓ | | | |
| 5. | Matrix Ranking | | ✓ | ✓ | ✓ |
| 6. | Wealth Ranking | | | ✓ | |
| 7. | Chapatti/Venn Diagram | ✓ | | ✓ | |
| 8. | SWOL | | | | ✓ |

Session Plan Seven

Developing Communication Skills for Participatory Upland Watershed Planning, Monitoring and Evaluation

1. Objectives

- To develop the practical skills needed to invite participation of local communities, especially women's participation, in the planning process
- To make visible the gaps in communication between frontline managers and stakeholders
- To develop empathy in managers, enabling them to communicate with people throughout the process of planning, implementation, monitoring and evaluation

2. Session Outline

- Commonality of expression
- Project approach: Ways and means of communication
- Presentation and listening skills
- Role plays to enact empathy
- Principles of communication

3. Session Time: 2 hrs

4. Assumptions

- Frontline managers in various government departments may fail to communicate.
- When communities receiving projects are not consulted during planning, the programmes fail to deliver the desired results.
- When project managers do not talk directly to people during planning, some vital linkages are overlooked in the process.
- Frontline managers lack the basic practical knowledge and skills of communicating with community members.

5. Session Design

What is Communication ? (10 mins)

To explain how messages change during their transmission throughout several stages, a small exercise may be carried out. This begins with one participant seeing a message written on paper. The message is whispered to the next participant and so on until the last person announces what he/she has heard. The

original message is compared to the final one. The extent and manner of distortion reflects the changes in perception during various stages of transmission. Down the official hierarchy, the essence of the information is transformed to an even greater extent. The game highlights the need for simplicity in communication.

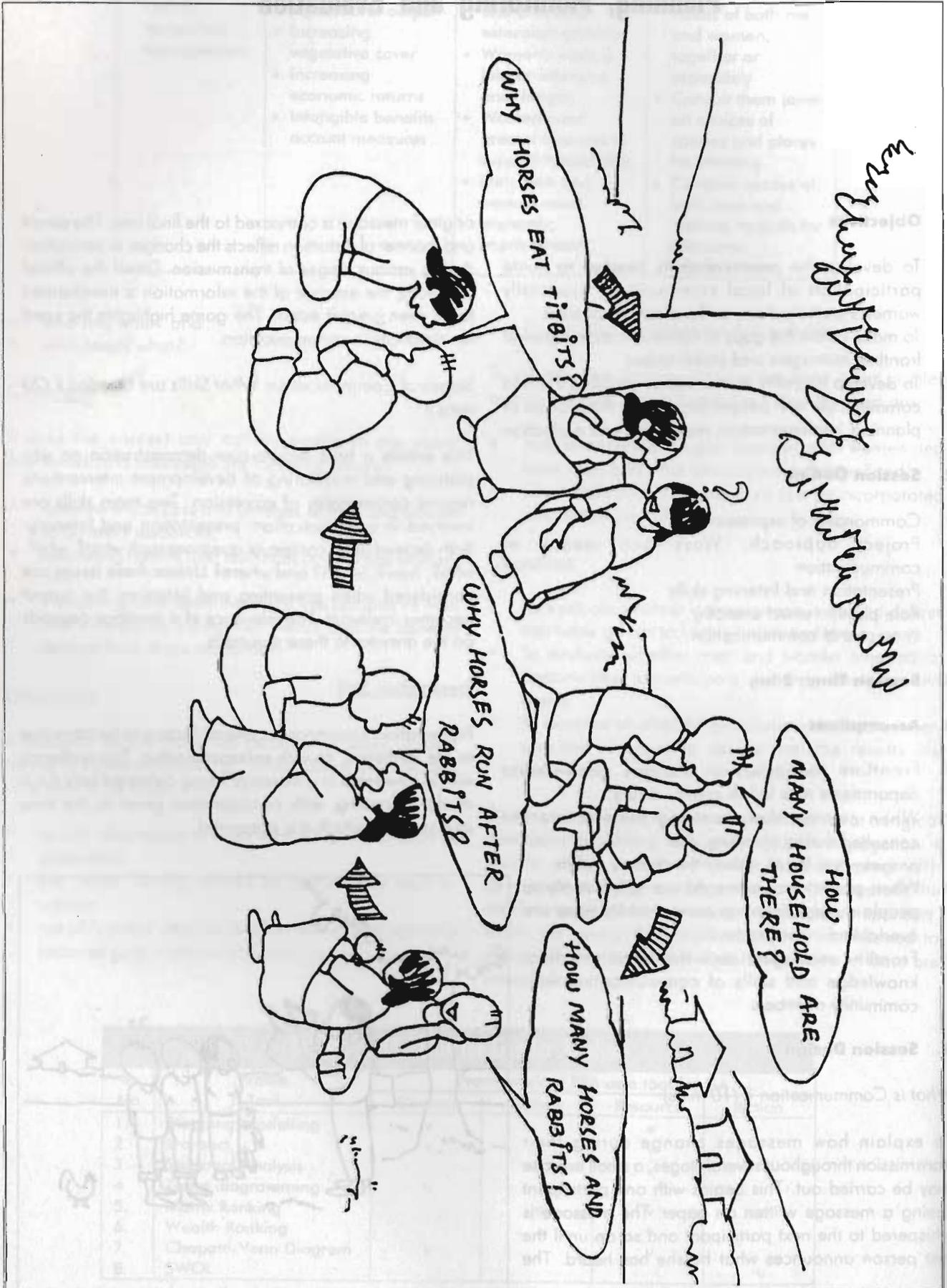
Stages of Communication: What Skills are Needed ? (20 mins.)

This entails a brief lecture-cum-demonstration on why planning and monitoring of development interventions require commonality of expression. Two main skills are involved in communication: presentation and listening. Both depend upon contextual questions such as what?, why?, who?, how?, when? and where? Unless these issues are considered when presenting and listening, the output becomes irrelevant. The relevance of a message depends on the answers to these questions.

Presentation Skill

Presentation encompasses several factors to be attractive to the audience, as with salespersonship. The audience will be interested in a message being delivered only if it is made interesting, with consideration given to the time and space in which it is presented.





Box 1

The art of presentation includes verbal communication and body language or non-verbal communication. The pitch and tone of the speaker when presenting affects the quality of verbal communication. Verbose, loaded and long communication styles, with interruptions in listening ("yes", "I see", "you know", "you see," etc.) are major distractions to the audience listening and registering the contents. A presentation should be structurally simple and articulate with short sentences and direct speech. In participatory approaches, the audience is different each time and the officials also change frequently. Therefore, it is essential to be slow, with pauses and clear pronunciation that gets across easily.

There are a number of simple aids for presentation which may be used to make the delivery interesting. These are listed in Table 1

Listening Skill

Hearing a message is different from the process of listening. While hearing is a mechanical reception, listening involves registering the essence in one's mind and simultaneously understanding it. During listening, nods, paraphrasing and sharing reflections (expression) of astonishment, agreeing to a point or grinning at appropriate instances, may provide positive feedback for the speaker.

The speed and style of presentation is often changed by the mood reflected in the audience. Eye contact with the audience has the inherent potential to modulate speech. When officials make eye contact with community members, they can arrest people's attention immediately, thereby causing conversations to be much more meaningful.

Art of inviting participation in planning, monitoring, and evaluation (20 mins.)

This will be conducted by listing probable indicators for use in planning, monitoring, and evaluation processes.



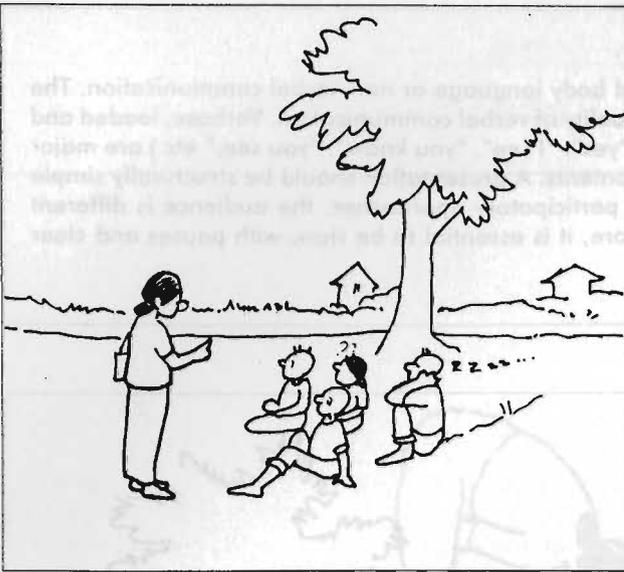
Role plays: What is reality? (30 mins.)

Participants sit in groups of four or five. They will be playing the following roles.

- A Project Manager who is visiting people to deliver the available programme
- An Extension Worker who must mediate between people and the govt. official and who knows their language and resource limitations

Table 1: Uses of Aids

| S. No. | Aids | Utility |
|--------|----------------|---|
| 1. | Flip - Charts | Most simple, speaking tool |
| 2. | Boards | Portable, permanent, effectively conveying message |
| 3. | Models | Simulation of real forms, effective |
| 4. | Slides | Depiction of actual objects |
| 5. | Transparencies | Can combine objects with messages |
| 6. | Blackboards | Available in rural areas, can experimented with it |
| 7. | Video tapes | Attracts crowds, very effective to catch live action |
| 8. | Films | Big screen, strongly attractive to men, women and children immediately |
| 9. | Audio tapes | Only after initial segregation has occurred |
| 10. | Games | Full participation of audience, direct involvement and 'Do it Yourself' |
| 11. | Wall Chart | Can stay and speak afterwards, too |
| 12. | Extension kits | Can be handled later also |
| 13. | Drama & Kits | Staging things that are and that could be |



- A manager sitting and giving instructions, men listening with folded hands and women looking around
- A manager sitting on the floor and men and women sitting around with folded hands
- A manager working together with men and women, contributing in PRA on common ground and with gestures
- Men and women involved intensively, contributing, directing enthusiastically, and dominating the session

Often officials visit people as programme donors and people listen to them talk about their programmes without any apparent interest as the presentations are dry. Hands folded in front, chins raised, or arms pointing at objects and palms 'directing' activities, combined with a flavour of command in their voices, the process fails to invite participation in the conversation. The audiences immediately coil into their shells and become humble as acceptors, folding their hands behind and leaning their chins on their chests. To break away from these evident barriers, the officials will have to play new roles as facilitators. Spreading their arms to indicate a wider scope of conversation and with friendly expressions on their faces, they can build up a congenial environment for conversation. Slow, clear messages with pauses also allow the audience to interject and express themselves wherever they wish.

- Community Members who have to execute the plans (from the formulation stage) and work on indicators
- An Observer who will be recording the key points on the mode of conversation among the team members.

The observer will make analytical comments on the process.

The observers will present their notes analysing the role play which will be followed by a dialogue among the participants who will comment on:

- what went wrong and
- what went right ?

Each group observer may present the findings in five minutes.

The interpretation of gestures, postures and tone will be analysed to focus on what is most acceptable to the clients and what involves them actively so they contribute meaningfully in the planning, monitoring, and evaluation processes. The facilitator will moderate how communication can be made effective and conclude the session.

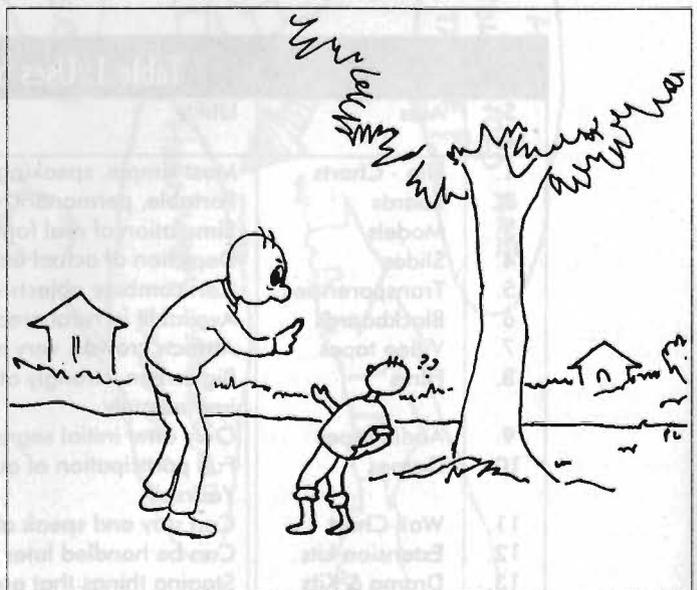
6. Aids Required

- i. Set of slides depicting how conversations usually take place with and without people participating in them.

The following combinations have been worked out.

- A manager with hands folded in the front, sitting on a chair, people sitting on the floor
- A manager sitting on a raised platform and people sitting in the front
- A manager standing and giving instructions and people watching and listening

- ii. Set of slides on jokes, sketches of an upland watershed: a man with hair and another without hair and water is being poured on their heads to demonstrate the runoff extent when checked by plantation.
- iii. Role play slips in four sets briefly stating the different roles
- iv. Small clippings from video films depicting the basics of participatory expression



7. Notes for Trainers

The success of participatory methods greatly depends on how the ice-breaking has taken place. Voluntary contributions to the planning process by community members may indicate a successful entry point managed by the officials. The further impact on monitoring and evaluation may also be observed by the following tools given by Assifi and French (1991).

- Direct, personal communication
- Smaller group discussions
- Self-evaluation
- Informal walks to work spots
- Reports and feedback
- Measuring verifiable indicators

The power of communication is affected by the main processes of listening and presentation skills.

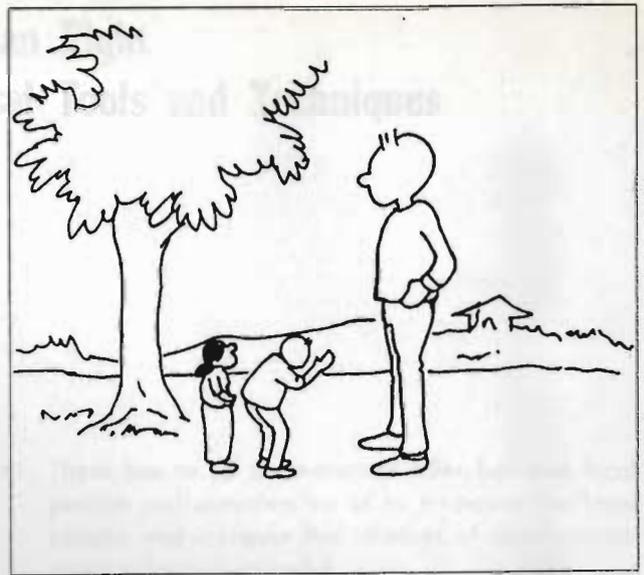
The approach to participatory watershed management usually used is based on PRA techniques. People's participation in PRA and planning, based on resource use efficiency, is directly proportional to the level of precision used in communication. The distance between the government officials and the client group is often wide as their visits to the actual sites of development are very formal.

Official staff who take a number of factors for granted and form their own opinions about the programme often begin with preconceived notions. Local people, for their part, do not feel comfortable in the presence of government officials and, being resigned to fate, do not ask questions. The art of communication required at the stages of planning, monitoring and evaluation is different. Much depends upon the channels of communication practised by officials and the response of community members.

The modes of communication between two groups may fall into the following categories.

Modes of Communication

- One-way communication - The process in which officials visit local people, deliver their ideas, and



expect the people to implement them. They fail to listen to the community's needs and constraints regarding acceptance and implementation.

- Two-way communication - The needs and limitations of the local communities are considered and joint planning outlining the strategies is carried out.
- Three-way communication - Additional information from other sources enters the system and reinforces the planning base with rich implementation strategies.

In one programme monitoring meeting of a watershed in Garhwal, India, when water recharge was being discussed as a product of vegetative measures adopted to check erosion on the slopes, the men sitting around responded by confirming an increase in the potential irrigation available downhill. The women pointed out immediately that the precious time they had been able to save by collecting water from a newly-charged hand pump, which had previously gone dry due to drought, was a dearer achievement to them. Such triangulation and cross-checking of information is extremely helpful in the monitoring and evaluation process.

Session Plan Eight

Participatory Rural Appraisal Tools and Techniques

1. Objectives

- To understand the philosophy of participatory approaches and their contribution to development
- To become familiar with the concept of Participatory Rural Appraisal (PRA) and its tools and techniques for understanding local situations in terms of the problems and the resources available to resolve those problems
- To recognise that rural people have vast knowledge, experience, and expertise of their resource base and hence can contribute to the development of plans and programmes suitable to their local contexts
- To emphasise the need to involve local people not only to identify their own monitoring and evaluating of development activities
- To become acquainted with PRA tools and techniques that are useful in the context of watershed management

2. Session Outline

- A critical review of development paradigms
- Understanding participatory approaches and the differences between participatory approaches and other research techniques
- Meaning, basic components and principles of PRA
- Strengths, weaknesses and challenges of PRA
- Suggested PRA tools and techniques in watershed management
- General training techniques
- Slide Show

3. Session Time: 2 hours

4. Assumptions

- Development should not be imposed from outside, but should flourish from within the concerned community itself.
- Development is possible only through bottom-up planning and should evolve around people's felt needs and aspirations.
- Local people know more than 'development experts', they should thus be considered as partners in the process of development rather than mere beneficiaries.

- There has to be a reversal of roles between local people and outsiders so as to empower the local people and increase the chances of development projects being successful.

5. Session Topics: Epilogue (Notes for Trainers)

6. A Critical Review of Development Paradigms

Development has been defined and understood in various ways at different points of time. From 1950 to 1990, it was defined as growth in income synonymous with transfer of capital for development, social progress synonymous with transfer of technology for development, integration synonymous with integrated approaches over sectoral approaches for development, liberation synonymous with bottom-up planning for development, and dialogue synonymous with participatory or people-centred approaches for development. The present development paradigm, which is based on participatory philosophy, revolves around people and strongly believes that unless and until local people are involved in decision-making at all project levels – need identification, planning, and designing, implementation as well as monitoring and evaluation – development cannot be achieved.

7. Understanding the Participatory Approach and Its Differences from Other Research Techniques

The assumptions presented in Section 5 highlight the basic principles of participatory approaches. In a nutshell, a participatory approach can be defined as one which deeply respects the knowledge of the local people and creates an environment where local people can understand their potential, their capacity, and their power and can develop their self-esteem.

Some basic differences between participatory approaches and other traditional extension practices are as follow.

- A participatory approach believes in a global approach rather than the sectoral approach of other techniques.
- A participatory approach believes that development initiatives should come from the community and not from outside, unlike the traditional approach where initiatives usually come from outside.



- A participatory approach follows a group approach of creating group dynamics and not an individual approach, which is mainly the focus of traditional extension practices.
- A participatory approach aims at reinforcing the capabilities of local populations rather than on the technology transfer of the traditional approach.

8. Meaning, Basic Components and Principles of PRA

A review of development history shows how the focus of development approaches prevalent at different times has changed. Recently, the focus has shifted from a centralized blueprint approach to a decentralized bottom-up planning process. In these changes, a major role has been played by two related families of approaches known as Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA). While RRA, which emerged in the late 1970s and early 1980s, focussed more on quickly eliciting, analysing, and evaluating information and hypotheses about rural life and resources, PRA, and its further evolution, spread in the late 1980s and early 1990s and focussed more on ways to empower local people so that they themselves could appraise and analyse their problems and resources, and plan, act, and monitor and evaluate the programmes based on local capacity and knowledge.

The commonly-accepted meaning of PRA is that:

It is a way of enabling local people to analyse their living conditions, to share the outcomes, and to plan their activities. It involves "handing over the stick from outsider to insider" in methods and action. The outsiders' role is catalytic, as a facilitator and convenor of processes within a community that is prepared to alter its own situation.

The three basic components of PRA are:

- facilitation,
- attitude, and
- behaviour of outsiders and culture of sharing.

In PRA, outsiders act as facilitators and enable local people to do all or most of the investigation, mapping, modelling, diagramming, analysis, presentation, and planning. Similarly, the facilitators are expected to follow the local norms to the extent possible so that local people can feel they are part of their own community. This requires the outsiders or facilitators to pay attention to their every activity such as where to sit, how to listen to local people rather than lecturing, appropriate visiting time, respecting local people's knowledge, skills and expertise, taking an attitude of learning and embracing error. Finally, continuous sharing of information with local people, with other PRA team members, and with other institutions, NGOs and government, is another basic component of

PRA that has to be considered by the PRA team members all the time.

Among the basic principles of PRA, the following are the major ones.

- Triangulation in the composition of the team, sources of information, and application of tools and techniques
- Flexibility and informality in the selection of key informants, sources of information, tools and techniques, and places and processes
- Iterative and progressive learning in the community as the PRA team stays in the community until a draft outline of what is to be done in the community is prepared
- Optimal ignorance about information that is not relevant and useful while being guided all the time by the programme objectives
- On the spot analysis takes place at different times and can help reach the best level of precision about the information collected. The first level of analysis takes place at the individual level through discussions with local people as individuals and in groups regarding the stated objectives of the exercise; another level of analysis takes place in groups with other team members and with smaller groups of local people again through the use of different tools and techniques; and the final analysis takes place while presenting the findings to a large group of local people in the community.
- Offsetting the biases usually seen in other research techniques called 'development tourism'. These biases include the spatial-visiting nearby sites, the project-based visiting to areas where special efforts are being undertaken to produce some tangible results, person-based meetings with educated people and elites, seasonal-visiting in the dry and cool seasons, daytime observation of the village with no visits in the morning or evening, and professional observation only of that which interests outsiders professionally.

9. Strengths, Weaknesses and Challenges of PRA

Strengths

- It **Raises Feeling of Ownership** of projects on the part of local people, as they are involved from the early stage of need identification through all other subsequent phases of project activities.
- The **Data Collected Represent All Segments of the Community** as the process involved in PRA tries to cover as much variation as applicable in a community.
- **Extensive Cross-checking Mechanisms** are used which can increase the reliability of the collected data.
- The whole PRA activity is so **Transparent** that local people will have no problem in understanding what

is going on. This saves the time of both the PRA team and local people in planning and implementing project activities.

- There is a lot of **Flexibility** involved in the PRA process as long as the facilitators are clear about their activities and aim for progressive learning.
- **Qualitative and Attitudinal Information** can be collected very well as the process followed in PRA gets into the heart of local people.
- **The Tools and Techniques Used in PRA are User-Friendly** and therefore local people, including those who are illiterate, should have no problem participating and contributing to PRA activities.
- Experience accumulated so far reveals that PRA is very **Effective for Micro-level Planning** since local people will have full knowledge of and control over local resources.
- As local people are given every opportunity to initiate the PRA process and to participate and contribute in every activity they feel deeply **Empowered**.
- The **Informality** involved in the PRA process, in terms of the use of tools and techniques, the selection of key informants, the location and the methods themselves, is always geared towards improving the quality of field work.
- As almost all activities used in PRA take place in the field itself, it helps **Build a Good Relationship** between the local people and outsiders, thereby increasing the chances of the project activities being **Sustainable**.

Weaknesses

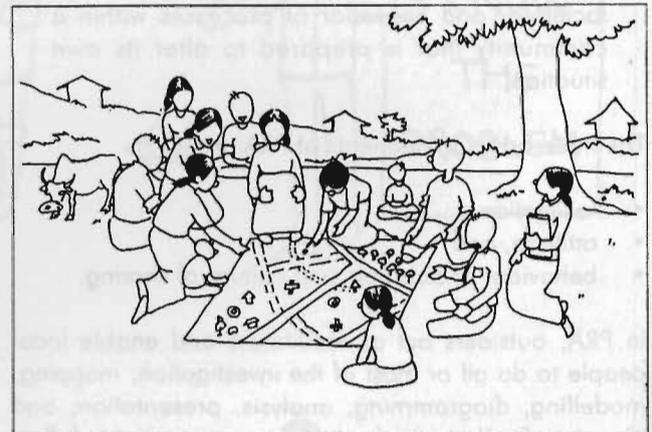
- PRA does not aim at collecting **Hard/Quantified** data and is often criticised for this limitation.
- **PRA Practitioners Require Considerable Skills** and identifying people with such skills may be difficult.
- Many people become involved in the PRA process and this **Raises People's Expectations**.
- As the key informants participating in the PRA process are purposively selected, based on their understanding of a certain area, the **Findings Derived Thereafter Cannot be Easily Generalised**.
- **There is a Heavy Reliance on the Practitioners** in PRA. Thus, if the practitioners are not fully committed to and clear about the principles of PRA, the outcome of the exercise could be fruitless.
- The PRA process is also criticised for not being scientific in its process in terms of the number of informants being contacted and the selection of people and tools and techniques, and thus it is **Subjective**.
- PRA is used more in **Micro-level Planning** and its appropriateness in conducting macro-level research/projects is yet to be seen.
- Accumulated experience shows the usefulness of PRA at the need identification, planning, and implementation stages, but **Its Relevance in Stages like Monitoring and Evaluation** is yet to be seen.

Challenges of PRA

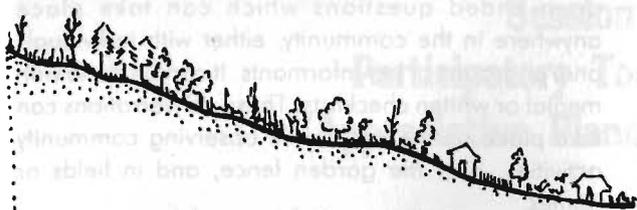
- High demand is leading to mediocre PRA practice.
- PRA use has become fashionable, resulting in poor quality.
- Donors and governments have still not been able to move away from target-oriented programmes.
- Poor quality of training given by some individuals has failed to change the attitude and 'behaviour of PRA practitioners.
- PRA use has been largely limited to individuals and has not been significantly institutionalised.
- There is sufficient experience of scattered PRA use but very limited use in thorough and rigorous research.
- Limited use has delayed its improvement.
- PRA use is generally limited to NGOs, but the time has come to spread it to government systems.
- Sharing of experiences is very limited, so there is a need to focus on networking.

10 Suggested PRA Tools and Techniques in Watershed Management

Time Line - A record of events and activities which occurred in the community in the past. This activity involves discussion with a group of local people (usually 4-8) regarding what they consider to be the most important past events in the community. This is a good ice-breaker for building rapport with local people as it shows an interest in their lives. The main purpose of the time line is to identify events in time to which local people can refer when discussing historical issues.



- **Social, Resource and Land Use Map** - A sketch of the community compiled in cooperation with a group of local men and women to identify physical and socio-economic details along with the infrastructure available in the community. Depending upon the purpose of the exercise, different names can be given to such sketches such as a social map, resource map, land-use map, etc. The aim of mapping is to allow local people to express their perceptions of location, usage patterns, and changes of local resources or facilities.



| | upland | upland | upland | lowland |
|---------------|---|--|---|--|
| soil type | gravel/silt loam | gravel/silt loam | lime/silt coarse loam | silt/coarse loam |
| vegetation | tanqi, gidari, herro | gidari, basoto, kutmiro | basoto, kutmiro, tanqi | herro, badihar, basoto, kutmiro |
| crop | maize, millet, ghaiya, black gram | maize, millet, ghaiya, vegetable black gram | maize, millet, mustard, vegetable black gram, ghaiya | maize, millet, ghaiya, vegetable wheat, paddy |
| problems | traditional cropping system, marginal land, fuel-wood | traditional cropping system, marginal land, fuel-wood | shadow, east of trees, land/soil erosion | lack of irrigation soil erosion, traditional system |
| opportunities | improvement in cropping system, multipurpose forest, bee-keeping, biogas installation | improvement in cropping system, irrigation for vegetable training, income generating | improvement in cropping system, irrigation for vegetable training, tree plantation, gullies erosion control | improvement in cropping system, irrigation for vegetable training, multipurpose forest, activities, bee-keeping, improved brand of livestock |



- **Transects** - A systematic walk with a few key informants through an area observing, asking, listening, discussing, identifying different zones, local technologies, seeking problems, solutions, opportunities, and mapping and diagramming resources and findings. This technique has the advantage of leading to field-based observations which can be discussed with local people.

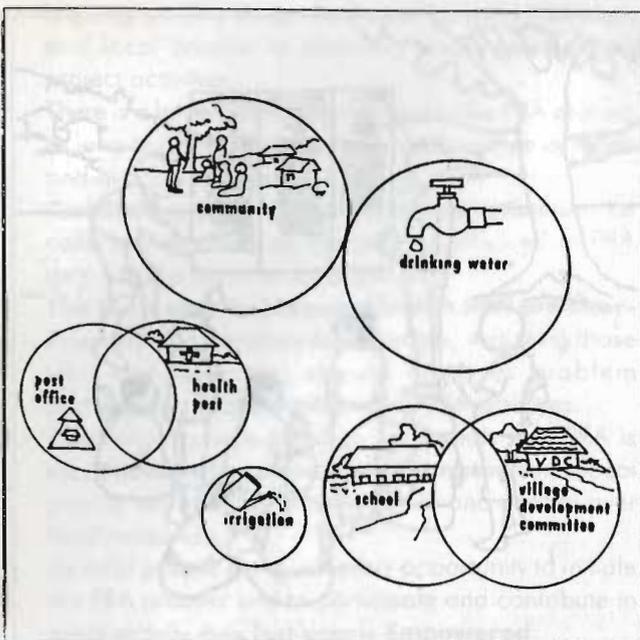
households into appropriate ranks based on those parameters.



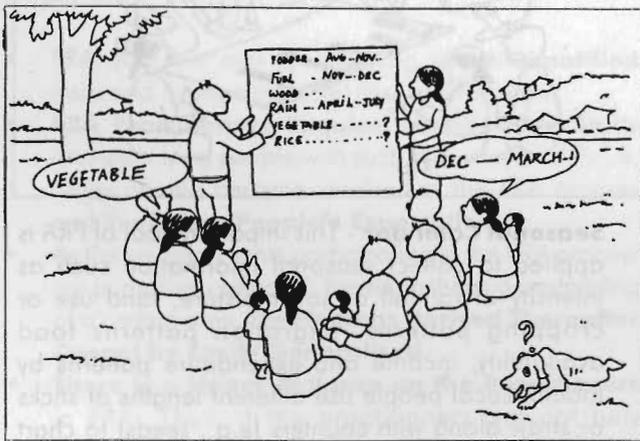
| criteria | rice | wheat | maize | millet | beans |
|--------------|------|-------|-------|--------|-------|
| food | ○○○ | ○○○ | ○○○ | ○○ | ○○○ |
| income | ○○○ | ○○○ | ○○○ | △ | ○○ |
| labor | ○○○ | ○○○ | ○○○ | ○○○ | △ |
| easy cooking | ○○○ | ○○○ | ○○○ | △ | ○○○ |
| palatability | ○○○ | ○○○ | ○○○ | △ | ○○○ |

- **Matrix Ranking** - Matrix ranking helps to elicit information about local people's preferences with regard to tree species, types of livestock, varieties of crops, etc and the criteria on which those preferences are based. While the criteria are listed to the left, the preferences that are to be compared with one another are listed on the top.
- **Wealth Ranking** - A method that helps categorise households according to wealth or well-being in the community. Key informants first develop the parameters they think are important to consider while ranking households and then keep placing

- **Seasonal Calendar** - This important tool of PRA is applied to collect seasonal information such as intensity of rainfall or soil moisture, land use or cropping patterns, migration patterns food availability, income and expenditure patterns by month. Local people use different lengths of sticks or straw along with counters (e.g., seeds) to chart on the ground the relative quantities of some variables. Seasonal calendars also help record village views of problems and opportunities.
- **Trend Line/Diagramme** - Trend lines are developed according to village perspectives to show patterns of changes along with the causes of such changes in resource issues such as rainfall, crop production, soil loss, deforestation, livestock holding, and other topics of concern to the community. A group of local people knowledgeable about the topics to be explored is gathered for this exercise.
- **Venn or Circle Diagramme** - Venn or circle diagrams are used as a tool to discuss the relative importance or position of different factors, commonly



institutional or social structures, in a community. Key informants are asked to rank community institutions in order of importance and to construct diagrams that indicate the relationships between and among village units. Circle of different sizes and colours represent organizations, institutions, or prominent people. Their relationships to each other and relative importance in the community can be mapped out by placing these circles on the ground in relation to each other.



- **Semi-structured Interviewing** - This technique, also known as informal discussion, is considered the core of good PRA. It is a kind of open discussion with

open-ended questions which can take place anywhere in the community, either with individuals and/or groups of key informants. It can be done with mental or written checklists. These conversations can take place on the path while observing community activities, over the garden fence, and in fields or homes.

11. General Training Techniques

Much of the PRA technique is based on the concepts of embodied learning through social interaction, game playing, group dynamics, etc. Lectures, sharing experiences, simulation exercises, use of relevant energisers, slide shows, and field practices are the main bases of PRA training techniques.

Many PRA training techniques and exercises will be guided by the following principles

- Don't lecture, don't dominate, and don't interrupt
- Observe, listen, and learn
- Relax
- Embrace error
- Probe and cross-check as much as possible
- Always start discussion with open-ended questions
- Show interest and enthusiasm in learning from others
- Always use six helpers: what?, when?, why?, where?, who? and how?

12. Aids Required

Though the types of aid required to conduct PRA training depend upon the types of people to be trained and the venue of the training, some aids which are useful in an ideal situation are presented below.

- Posters/flip-charts
- Overhead transparent sheets
- Overhead projector
- Slide projector
- Video screen and deck
- Coloured powders
- Different kinds of seeds
- Other locally available materials such as counters, sticks, etc.

Session Plan Nine

Participatory Tools and Techniques

(Appreciative Planning and Action: APA)

1. Objectives

- To introduce concepts and principles of Appreciative Planning and Action (APA)
- To illustrate that, in a conducive environment and with proper encouragement and awareness, rural communities are capable of identifying solutions to their welfare themselves.
- To show that by focussing on successes, which the rural communities have had in the past, a feeling of empowerment can be generated
- To show that by making commitments and taking action as part of the planning process, communities can be mobilised to achieve their objectives.
- Through example, to show that empowering rural communities can be a powerful tool for developing a collective vision and mobilising them towards achieving it.

2. Session Outline

- Appreciative Planning and Action (APA)
- Basic elements of APA
- APA as an empowering tool
- Reports from the field
- Some basic principles for APA practitioners
- APA process worth exploring further

3. Session Time: 1600 - 1730 Hrs

4. Assumptions

- Traditionally, programmes are initiated, planned, and decided upon at the central level, without consulting rural communities, and sent to local development promoters for implementation.
- Rural communities are incapable of managing their resources rationally, hence they are unable to look after their welfare.
- Rural communities are powerless and consequently they have low self-esteem.

5. Session Outline Topics

6. Appreciative Planning and Action (APA)

Background to APA

Appreciating Planning and Action (APA) has been developed and piloted by 'The Mountain Institute (TMI)' in Nepal, Sikkim, Tibet, and the USA as an innovative approach to grass-roots' village planning and mobilisation. This technique shows considerable promise as a mechanism for helping empower groups and communities to take positive action for their own development. Drawing on a relatively new organizational development framework, Appreciative Inquiry (AI), developed by the Weatherhead School of Management, Case Western Reserve University, USA; APA is built on searching for the positive, for successes, for what works, as opposed to the traditional problem-oriented focus of many other planning aid development strategies.

Appreciative Planning and Action: APA provides a framework that helps empower groups and communities to take positive action for their own development. It is built on principles of searching for positive events, for successes, for what works, and for what gives energy to individuals and groups. It then seeks to empower local communities to take action by creating a vision of an even better future, making commitments, and taking the first step. It also draws directly on Participatory Rural Appraisal and other group dynamic disciplines.

Basic Elements of APA

- One Goal
 - Seeking the root causes of success
- Two Laws
 - What you seek is what you find.
 - Where you believe you are going is where you will end up.
- Three Principles
 - If you look for problems, you find more problems.
 - If you look for successes, you find more successes.

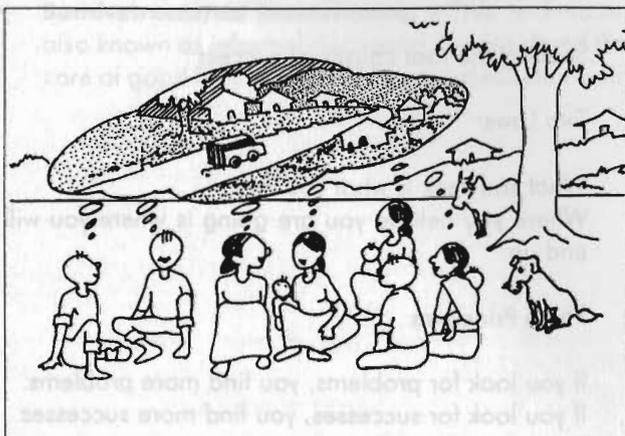
- If you have faith in your dreams, you can achieve miracles.
- Four Ds
 - Discovery- asking positive questions, seeking what works, what empowers
 - Dream- envisioning of what could be, where we want to go
 - Design- making an action plan based on what we can do for ourselves, making personal commitments
 - Delivery- start taking action now

Through Participatory Monitoring and Evaluation (PME), this Four-D process leads directly back to the Discovery steps by reviewing with participants what has worked best, what might work even better, and what we can do to follow up on our actions.

The 'Four D' Process



- Discovery – Asking positive questions, seeking what works, what empowers, what gives life to the community or organization, when has a community felt particularly excited, energised. (e.g.: Community Forest Users' Groups 'discovered' that they were becoming an important force for local development, undertaking to support schools, service clubs, and



families facing adversity; starting saving and credit programmes, and even paying medical bills for a man mauled by a bear).

- Dream - Visioning of what could be, where we want to go, (e.g.: Village people share their dreams of the future, discussing the different paths they might take and choosing one they can agree upon. Local people in one small scruffy market centre at the confluence for two beautiful rivers dreamed of a vibrant market drawing both traders and tourists ; they set to work immediately to achieve that dream with a 'clean-up' campaign that same afternoon).



- Design – Making an action plan based on what we can do for ourselves. Making personal commitments (e.g.: Villagers made a one-year plan for toilets in every home and personal commitments to each build one themselves; when the APA training team was leaving the village they found families at work already taking action to fulfill their commitment).



- Delivery - Start taking action now! (e.g.: Communities committed 10 - 30 minutes time after APA meetings to repair roads, build toilets, protect a sacred spring, revive an ancient dance, raise money for the roof for an allo centre, clean up their villages, market places,

and shrines. They immediately recognised the power and pride derived from even small commitments followed by action, now!

Re-Discovery: Participatory Monitoring and Evaluation (PME)

The 4-D process leads directly back to the Discovery step through reviewing with participants what has worked best, what was learned, how this affects our dream, and what new actions we can take to move forward and follow up on what we have started. Like any sound village or organizational development process, APA initiatives require ongoing and regular follow-up: monthly for the first 6 mon., then every 6 mon. thereafter until communities and/or organizations are functioning on a sustainable basis (± 2 years).

The 4-D Process and Standard Project Planning Cycles

The 4-D Process is fully compatible with most standard project cycles which are based on a parallel 4-step process of problem identification and analysis, choice of alternatives, development of plan, implementation of plan (followed by a return to the first step as part of a monitoring/evaluation process). This new generation PRA approach thus can be introduced harmoniously into existing systems, giving new meaning and power to those systems rather than undermining or invalidating them.

7. APA as an Empowering Tool

- Practical exercises in Nepal's villages has shown that APA does the following.
 - Empowers - helps groups celebrate, embrace, and learn from their successes instead of focussing on their problems.
 - Mobilises- provides groups with simple and concrete actions they can start immediately.
 - Energises- provides a future-focus that encourages groups to create a vision, to select steps that help move them towards fulfilling their vision, and to take the first steps towards achieving it.
- APA Mission
 - To empower communities and individuals to take pride in what and who they are and what they have achieved; to dream of what might be; to plan for what can be; and to feel the energy that comes from making commitments and completing the first step.
 - To be simple enough that anyone can do it; profound enough to change people's lives.

The purpose is for local communities to develop a greater stake in biodiversity protection through the use of traditional and new technologies and management capabilities for improved community development, biodiversity protection, and natural resource

management. In Nepal, through this approach, 12 VDCs, 100 settlements, and 32,000 rural people are presently benefitting.

- Appreciative Inquiry (AI)

AI introduces positive energy into what might otherwise be a relatively dry and sometimes negative process of reviewing progress and problems and mapping out plans to deal with obstacles in the year ahead.

8. Reports from the Field: APA in Action (Nepal Experiences)

A field programme was launched in Nepal in villages between the Arun Valley and Sagarmatha. These involved applying the APA approach to community development, culture conservation, income generation, ecotourism, natural resource management, and people-wildlife conflicts. The process started by splicing some AI concepts on to the PRA process of village consultations. In developing the process, three critical ingredients were considered. They were: appreciation, planning, and action.

Empowerment

In real life situations, one rarely sees examples of empowerment that go beyond the anecdotal level. Empowerment, by definition, must involve people feeling a sense of power, not just participation. Yet, after decades of efforts by various developing agencies, many villages and villagers lack education, experience acute poverty, and feel powerless to improve their lives.

APA appears to offer an alternative to the low self-esteem and dependency which pervade many rural communities. It goes beyond the 'power of positive thinking' by giving specific tools and techniques for generating and keeping up the positive thinking and encouraging self-reliance and local initiative. APA seems to have the potential necessary to sustain a significant proportion of energy it generates. APA also gives rural people a tool to turn to when the inevitable problems arise.

APA Exercises: Scenes from the Field

Scene One

Sisuwa market (Nepal) which comes alive once a week. Local staff and representatives from villages including those who are illiterate, near literate, and a few who have completed 10th grade.

Discovery: "I really get this! I can do this.... and it really make a difference to my work and besides, it's fun!" This response came from first one, then another, participant, and clearly emerged as a consensus. This occurred after a week's training and village exercises. The APA training also built the capacity of the people to use the APA tools

without any external help. Following this, a group of villagers gathered at this little market, and trainees were asked to make the use of their APA lessons. The APA exercise was carried out.

Less than one hour later, an elderly villager said the group had finished their meeting at which a plan for developing a market for years ahead was agreed on and that the group had also decided to start cleaning up the place right away. In minutes, brooms were busy, piles of trash mounted, and fires were started to burn the refuse. Within 30 minutes, the place looked better than it had in years.

Scene Two

The small village of Bala (Nepal), APA exercises with three groups: cultural conservation, community development, and income generation.

Cultural conservation group: A local cultural dance linked with the environment. The group promised to stage a wider presentation at the local fairs in the area during 'Visit Nepal 1998'.

Community Development – Outlined self-help plans to finish construction of the club house they were building for weaving, roofing for their adult study centre, plus a fund-raising plan to support this.

Income generation - They pledged a new poultry project, vegetable kitchen gardening, and also agreed to contribute self-help labour to the construction of a new trail in the area.

In the follow-up the next month, it was found that villagers had met and begun to implement their plans with concrete action.

Scene Three

Chheskam village (Nepal), a subsistence village where many households faced up to three months food shortages annually, due to poor communication links, and lack of access to markets. Commitments at the end of the meeting: to start immediately repairing an old local trail, to provide another important circle route and bring trekkers into the area, plus plans to start a self-help trail linking up with other popular hiking and climbing areas. First, major steps were taken a few months later, with an international clean-up expedition to Mera Peak and development of an ecotourism plan with local lodge-owners.

Navagaun, a Sherpa village (Nepal), during an APA meeting, discussing wildlife, tourism, and the richness of their culture, the village turned to what they could do now to start implementing the action plan they had developed. A sacred water source was being polluted by livestock which was a threat to both local health and their

serpent deity. Villagers decided to protect the source with large stones and to provide a way for livestock to pass without polluting the spring. After the meeting, the group rushed off to start work immediately.

Scene Four

Chepuwa village (Nepal), an APA meeting took place in the morning hours. In the afternoon, villagers were seen busy carrying out activities as planned at the APA meeting. At a number of households, people were busy making pit latrines.

9. Sub-Group Exercise (25 minutes)

- Form into groups of five members
- Brainstorming on APA issues
- Listing of perceptions of APA.
- Presentation by each group

10. Some Basic Principles for APA Practitioners

- Put the last first — put the first last
- empower those usually left out, including those who are illiterate and
- APA must involve women and other disadvantaged groups.
- Hand over the stick
- average people should be at the front and
- all sketches/maps should be left for the local people to do.
- They are the experts, we are here to learn
- facilitators use APA not to teach but to learn.
- "Ready - Fire - Aim" or "Plunge and Reflect"
- learn by doing, take action and see how it works, never stop learning, never stop improving the process.
- First thing first.
- focus on the main purpose.
- Whoever are there are the right people, wherever we are is the right place, whatever time it is, is the right time.
- Take time
- don't rush. APA should be relaxed and informal.
- Turn problems into opportunities
- recognise and embrace problems by seeking positive ways.

- Enjoy

a successful APA programme should contribute to 'joy in work'

11. The APA Process is Worth Exploring Further

- It is empowering.

APA seems to generate power, energy, enthusiasm, and positive action, on the spot; it seems a powerful antidote to the low esteem in which many villagers hold themselves.

- It is positive.
- APA looks for the root cause of success, not the root cause of failure.
- It builds on the catalogue of successes and reminds people of what they have achieved.
- It is quick.
- Demonstration training sessions, including theory, methodology, and a full practice session, have been completed in 1 - 2 hours.

- It is easy.

- Scouts and village leaders with little or no formal education have run these sessions on their own after as little as one day of training.

- It is replicable.

- APA is relatively easy to practice in almost any setting and can be implemented in the field without elaborate preparation.

- It is flexible.

- Experiences show that its flexible nature has enabled it to be equally responsive for community development, ecotourism, community forestry, cultural conservation, income generation, market-place development, people-wildlife conflicts, team building for staff, and organizational development.

12. Aids Required - Drum - 1 Flute - 1

13. Discussion / Questions / Answers (30 minutes)

14. Further Reading Materials.

Session Plan Ten

Community Envisioning

1. Objectives

- To understand how community envisioning facilitates a developmental picture of aspirations to be achieved
- To visualise how important it is to have a vision for ourselves if we want to succeed
- To understand the process of community envisioning

2. Session Outline

- Meaning of community envisioning
- The purpose of community envisioning
- Dynamics of community envisioning
- Planning community envisioning exercises
- Conducting community envisioning exercises
- A case study on community envisioning

3. Assumptions

- Planners and policy-makers have the right visions for community development.
- There is a lack of appreciation for articulating collective community envisioning in an organized way.
- There is a lack of understanding about community vision as a powerful tool and a guide to motivate local people to carry out community development actions.

4. Session Outline Topics (Notes for Trainer)

5. What is a community envisioning exercise?

Community envisioning is a social interactive process. It aims to help define the community's development aspirations and develop a mental picture of the state to be achieved. It is a way of bringing into focus a community's collective interest into a common agreed vision.

6. What is the purpose of community envisioning?

A vision is a powerful tool that motivates action to achieve success. If we want to succeed we must have a vision for ourselves. For this purpose, a community is defined as a group of households living in a defined geographical boundary such as a watershed.

7. What are the dynamics involved in the community envisioning exercise?

- A continuing process
- It is a participatory process
- It must be a consensus document
- It must be owned by the community
- There must be a mission to attain the vision

8. How to plan a community envisioning exercise?

Community envisioning can be undertaken for a general development purpose or for any specific concern. The nature of the work undertaken determines the planning process for community envisioning. The main elements involved in the planning process are given below.

- Prerequisite - Community envisioning is a prerequisite for the planning process.
- Participants - Local people in the watershed who depend on the natural resources for their livelihood will be the participants.
- Facilitators and Reporters - The planning process should be facilitated by good facilitators with recording of the envisioning and mission statements by good reporters. These people could be local or outside experts able to do such work.
- Duration - The envisioning requires about nine hours, though the time can be adjusted. Experience has shown, however, that it should not be less than five hours.
- Schedule - The framework can be the guide for the agenda schedule for the envisioning process:

- dividing participants into groups,
- group-wise brainstorming session,
- groups' mission statement preparation,
- groups' reports are presented at the plenary session and discussion is facilitated, and
- a collective draft mission is finalised.

9. How to conduct the community envisioning exercise?

The Workshop Process

A quick and effective way of doing community envisioning is through a workshop. A group of carefully selected

participants from the community is invited to participate. Participants divide into groups and carry out a brainstorming exercise, discuss and come to a consensus on the issue raised.

The Plenary Process

In the plenary session, each group reports on its respective group discussion. After all groups have presented their reports, a general discussion is held to validate, prioritise, and build consensus.

The Second Workshop

Participants again go back to their respective groups to discuss the second question that helps them articulate the mission. The groups will discuss how to achieve the vision drafted. Each group should be facilitated by an appointed facilitator and notes of the proceedings will be recorded by an appointed reporter.

The Second Plenary

Each group makes its report to the plenary. This is followed by discussion to validate, prioritise, and build consensus. Again a good facilitator, supported by two writers, is assigned to draft the mission statement.

Community Consultation, Validation and Endorsement Process

This provides a draft vision and mission statement of a community for its development through sustainable use and management of its watershed. This is a continuous process.

10. A case study on community envisioning

Following paragraphs outline a case study carried out in one community, in the Philippines by the Farmer-centred Agricultural Resource Management (FARM) programme.

Steps

1. Through a stakeholder workshop, a draft vision and mission for sustainable resource use for community development was undertaken.

2. The draft vision was discussed, validated, and endorsed as a collective community vision and mission.

The Vision

Promoting protection and conservation of the ecosystems providing life sustaining means for community members.

The Mission

It was recognised that the agricultural resource base was essential for survival and livelihood. The community made the following commitment:

- adopting sustainable agricultural practices,
- increasing food production for food security,
- conserving environment, and
- involving people in planning, implementation, and decision-making.

11. How do we know we are making progress with our mission to attain our vision?

To be able to do this we need some milestones that give us an indication of the progress of our vision. These milestones are known as indicators.

- One group of indicators - priority given to the care and conservation of natural resources
- The second group of indicators - changes in agricultural practices
- The third group of indicators - improvement in household food security
- The fourth group of indicators - people's participation in the local decision-making process.

12. What are the benefits of the community envisioning exercise?

Three distinctive groups of benefits can be observed

- A very effective way of bringing a community together for a common purpose
- An excellent medium for community empowerment
- A powerful motivational mechanism for collective commitment and initiation of action

CONTEXT PAPERS

Context Paper One

Concept of Participatory Development

Participation and Development

The word 'participation' has been part of the development vocabulary since the 1960s. Back then, however, it was usually understood to mean people's involvement in only some specific kind of problem. Today, participation is viewed as integral to the overall development effort. Global changes have had a major influence on this shift in approach: increasing democratisation and more open political systems, more open economies and trading systems, higher levels of education in developing countries, and increased human resource capacity, improved communication and information flow, and increasing concern about environmental and poverty issues.

Participation is a 'means' to more effective poverty reduction, a window of opportunity for accelerating social and economic progress.

A growing body of evidence shows that participation can help bring more development to more people. Participation implies nothing less than a transformation in the traditional approach to development.

"Through participation, we lost control of the project, and in so doing gained ownership and sustainability, precious things in our business"

Sandstrom, World Bank, 1994

Participation is a process in which beneficiaries collectively discover solutions to their own problems. This process mobilises and empowers. Hence, participation seeks institutional arrangements to support authority, responsibility, resource mobilisation and profit-sharing. Power and control are pivotal to participation. If control of a project and decision-making power rests with the planners, administrators, and the community elites, participation for ordinary users becomes listening to what is being planned for them and what will be done to them.

Participation Means Fundamental Behaviour Change

Participation is a process through which stakeholders influence and share control over development initiatives

and the decisions and resources which affect them. It is not that we should simply seek new and better ways of managing society, the economy, and the world. The point is, we should fundamentally change how we behave. Certain situations require behavioural changes on the part of people within a given system. How and why does their behaviour need to change? Intended beneficiaries of development programmes, the poor and others who are disadvantaged in terms of wealth, education, ethnicity or gender, usually lack a voice in the development process. It should be recognised that different stakeholders have different access to power, different interests, and different resources. A suitable environment needs to be created to enable different stakeholders to interact on an equitable and genuinely collaborative basis.

Poor people face many barriers to having a real stake in development activities. Special arrangements and efforts are required to reach and engage them and to progressively empower them. The type of participation is highly influenced by the overall circumstances and the unique social context in which action is being undertaken. Participation should be a learning process from the people about their situation and what they feel they need. Participatory approaches increase the effectiveness and impact of resources flowing from development agencies to the poor. At the same time, they cost less than expert studies, because participation involves local people rather than foreign consultants.

Participatory processes create a conducive environment for stakeholders taking part collaboratively to:

- identify strengths/weaknesses,
- decide and articulate what is needed,
- decide directions, priorities, responsibilities, and
- develop aspects needed to move from the present to the future.

Arguably, building sustainable development services for poor men and women is high on the agenda of development agencies. From the perspective of poverty reduction, the case is even more compelling.

Participation Situations

Participation is an interactive sociopolitical process, motivated by the desire to meet an individual's needs

through collective action. This collective action must ensure mutual benefit for parties involved.

People's participation can take place under four different situations.

- **Initiation** - This is the process that unfolds naturally bringing people together for a common action. It is an indigenous initiative of the people, by the people, and for the people.
- **Facilitation** - This is a process catalysed often by an outside agent. It is a planned intervention to create awareness and motivate action by a group or a community to change a situation or redress the cause or causes of problems.
- **Co-optation** - This is a process through which a project or programme has been decided upon, designed, and packed for implementation in the community. It is a top-down process of decision-making. The implementation requires people to participate.
- **Induction** - This is a process in which power, social sanctions, and propaganda are used to brainwash people into participating in a certain project or programme.

Principles of Relationship Involved in People's Participation

- **Mutual Respect** - All people must be accepted as they are, with their weaknesses and strengths.
- **Active Involvement** - This is a prerequisite to participation. The participation patterns must continue from planning through evaluation.
- **Agree to Disagree** - Participation requires an implicit and explicit understanding to agree and disagree and to accept common interest above personal interest.
- **Building Consensus** - Collective responsibility for decisions made
- **Commitment to Action** - All participating partners must commit themselves to action on the basis of agreed upon decisions and plans.

Participatory Development includes the following.

- Formation of social capital
- Equitable meeting of present needs in Safeguarding interests of future generations
- Creation of an enabling environment
- Access to equal opportunity
- Making the community's own choices
- Exercising active control
- Taking collective action
- Voluntary participation
- Increase of productivity
- Sustainability
- Empowerment
- Indigenous knowledge and value system

Communities' Participation

The recognition that rural people and their communities are the principal decision-makers on matters of resource management has led development programmes to emphasise the role of participatory methods and the analysis of gender issues. Experience with participatory methods has deepened and now emphasises community envisioning, tapping of indigenous knowledge and creativity, mobilising local resources and stakeholders, and platforms for local and equitable development and benefit distribution.

Meaning of Participation

Participation is about developing a mutually beneficial relationship in development that benefits all groups involved, to replace the frustrating 'one-sided relationships of the past.

Meaningful and effective development depends on successfully mobilising people. Hence, people's participation is an essential condition within a process whose objective is to achieve a better standard of living and an improved quality of life. True participation will only occur when sizeable representation is made of all kinds of groups, castes, ethnicities, religions, economic levels, women and men, and children living within the community in question. For this, an appropriate environment needs to be created so that powerless, voiceless, and neglected sectors of the community can be heard.

Objective of Participatory Development Approaches

The main objective of participatory approaches is to support and strengthen the capability of local people and their institutions. Enabling them and their institutions to establish working relations with other related organizations, including government and private sectors, is helpful in sustaining development programmes.

Participatory development approaches are designed to deal with planning, implementation, monitoring, evaluation, and management of development programmes at the local level with development agencies taking catalytic roles. They create an environment in which talents and resources available at the community level for local development are better utilised in sustainable ways.

Participatory Development Approaches Involve the Following

- People and spatial orientation
- Consideration of social values
- Dialogue, consensus, facilitating and motivating
- Decentralization

- Intersectoral and functional linkages
- Community and user orientation
- Human resource development
- Sustainability, internalisation, and replicability
- Resource orientation and multi-year planning
- Involvement of local representatives at all stages of development
- Transparency and communication

Local-level Participatory Development Planning (PDP)

Planning is a process of making decisions about what should be done, what work should be done, by whom the work should be done, how the work will be done, and when the work should be completed. Participatory Development Planning is an approach concerned with planning, implementation, monitoring, evaluation and management of development programmes at the local level.

Main Features of Local-level PDP

- Considers social structure and values in formulation and implementation of development programmes
- Stresses the concept of development by the people
- Development programmes are area- or location-based
- Seeks to promote intersectoral linkages

Major Features of Participation

- Participation continuum - Participation occurs along a continuum. On one end are beneficiaries who are the recipients of services and resources.
- Overcoming barriers - Overcoming the vulnerability imposed by continual reliance on subsidies by a market-based system that can operate on its own.
- Need for intermediation - Mechanisms must be created to bridge the gaps created by poverty, illiteracy, gender and remoteness. Local institutions must be built and nurtured and the skills and confidence of the poor must be developed.
- Use of local self-help groups - Group-based approaches have several advantages-groups' acceptance of joint responsibility which is more binding, self-policing mechanisms, bulk work where there is a sizeable unit to input supplying agencies, economical service, mutual socio-psychological support.
- Advantage for women: One of the most important aspects of a group is that it provides a legitimate 'social space' beyond the home, and it fosters a sense of solidarity that allows women to deal more freely with unfamiliar formal institutions and processes.
- Characteristics of successful groups - Characteristics of strong groups include self-selection of members,

literacy of at least a few group members, and membership of only one gender. Group enforcement of sanctions is strongest when there is a readily available system for calling on outside assistance to resolve serious conflicts.

- Criteria for successful functioning - If a community group is to function successfully, several criteria must be met:

- the group must address a felt need and a common interest,
- the benefits to individuals of participating in the group must outweigh the costs,
- the group should be embedded in the existing social organization,
- it must have the capacity, leadership, knowledge and skills to manage the task, and
- it must own and enforce its own rules and regulations.

Natural Resource Management through Participation

The management of natural resources for the production of food and other primary products has been a central concern throughout the evolution of human beings. The world has witnessed a per capita food production increase during the last thirty years. It is estimated that the present level of food production needs to be further doubled by the year 2025. It is argued that although this doubling can be achieved, regional disparities where the severity of hunger is concerned are likely to persist, with the most needy continuing to be the most affected. Despite success in raising food production and productivity, this has only been possible at the cost of significant environmental degradation. Meeting the ever-rising food needs in an environmentally-friendly way is a Herculean task and is only possible through people's participation.

Dynamics of Natural Resource Management (NRM)

In the process of meeting the needs and wants of the ever-rising population and the enterprises associated with it, the pressure on natural resources is expected to intensify during the next few decades. Because of continuous changes in underlying factors, tackling resource degradation and food insecurity can be like "hitting a moving target."

Major determinants of NRM

- Expanding and changing demands for natural resource products due to population increase and income growth
- Increasing scarcity of natural resources as a result of conversion to other uses, depletion, and degradation
- Intensifying commercialisation of both agricultural (and forestry) inputs and outputs
- Growing off-farm opportunities which promote labour-saving practices

- Changing agricultural and natural resource policies, sometimes fundamental, such as structural adjustments

Gender Issues in Participation

The equal participation of men and women in policy-making, in economic and sectoral analysis, and in project design and management may be impeded by cultural and legal constraints against women's participation and by women's relative lack of time and mobility due to their heavy workload and multiple roles. If participatory development is to benefit from women's contributions, and meet women's particular needs, a range of strategic and practical measures must be taken to overcome these barriers.

In a patriarchal society, it is inevitable that if a family must be represented by one member for any programme, it will be the male head of the household. Experience shows that women from different communities and castes not only have conflicting interests and priorities but often cannot even be brought together on a common platform due to deep-seated prejudices and beliefs about each other.

Experience in participatory development has made clear that, unless specific steps are taken to ensure the equal participation of men and women, women are very often excluded. As a result, projects fail to benefit from women's contribution and fail to meet women's particular needs and interests. The causes are deeply embedded in social and legal institutions. Men and women play different roles, have different needs, and face different constraints. Gender issues need to be addressed from the start of development projects.

Barriers to Women's Development

- Laws and customs stand as barriers to women's access to resources: property ownership, credit, productive inputs, employment, education, information, medical care, etc.
- Customs, beliefs, and attitudes confine women mostly to the domestic sphere.
- There are severe time burdens imposed by women's workload.

Gender Concerns in PWM

Gender refers not to biological differences but to socially and culturally constructed differences between men and women. Gender divisions are learned behaviour and change over time, as circumstances force communities to adapt to situations by changing gender roles. Several misconceptions prevent women from taking part in watershed planning and management programmes, either as contributors or as beneficiaries.

Prevailing Misconceptions are as follow:

- women only do domestic work,
- each member of the family shares benefits equally,
- technology will automatically benefit both men and women equally,
- women's voices will be heard through their male relatives, and
- women are incompetent at certain activities.

How Women's Needs Generally Get Overlooked

A Case of Drinking Water

In areas with a drinking water problem, women suffer the most as they are required to spend several hours a day fetching water for household needs. This adds tremendous pressure on women who are already over-burdened. Formal institutions run by men may not prioritise the drinking water issues because they cannot appreciate the burden. Consequently, the drinking water problem may be completely overlooked.

Two Case Studies in which Gender was Overlooked

Potato Farming

When potato farming was introduced as a cash crop on a large scale in the Almora hills, the income was misused by the male farmers, leaving the women and children worse off than when subsistence crops were grown.

Firewood/Fodder Collection

In a watershed area of Nepal, forest land was declared protected and the local villagers were forbidden to enter. As a result, farmers, especially women, faced serious problems. Collecting the necessary firewood and fodder forced women to work several hours longer than previously. They had to enter the forest at night to avoid the army.

Women's Access to Property through Inheritance

This depends on locality. In Sri Lanka, for instance, a young couple can opt to marry and settle in the wife's home, thereby ensuring that the wife will inherit land from her parents. In many other countries, like Nepal, women are severely constrained in inheriting property, though the PEWA system in Nepal does allow women to own property which can be transferable to her next marital home, e.g., goats. In India, though equal heredity rights exist, women are often forced by families to forgo their hereditary rights in favour of their male kin soon after marriage. Sisters give their claims to their brothers, often under severe social pressure.

Training Men or Women

In a case study, only men were invited to agro-forestry training on nursery skills, while in fact, women were the

ones engaged in homestead agro-forestry. Thus, men were trained to do women's work and the survival rate of the planted seedlings was very low.

Women are Better Managers

Women's Groups in a Watershed Project in Nepal

The Participatory Upland Conservation and Development Project in Nepal observed that women's groups were often more successful and active than mixed or male groups. The reasons for this were that women's groups made clearer financial statements: there was no conflict or problem with finances. Furthermore, women were responsible and faithful to one another.

Women Use Money Better

Grameen Bank in Bangladesh

Initially, the Grameen Bank in Bangladesh made a provision that 50% of its loans should go to women. Now 94% of its clients are poor women and the return rate is 97%. The Grameen Bank also found that women were better able to spend the loans in more useful ways and more productively than men. Women spent their money on food, health, children, home, and family matters. Consequently, gender relations improved and women gained respect.

Designing Community-based Development

When properly designed, community-based programmes can be highly effective in managing natural resources, providing basic infrastructure, or ensuring primary social services. Participation in community-based development depends on reversing control and accountability from central authorities to community organizations. Successful design requires responsiveness to local needs, understanding and building on the strengths of existing institutions, and defining the changes needed in intermediary implementing agencies to support community action.

There are two persistent beliefs about community-based programmes: they cost more and take longer. However, evidence increasingly indicates that when the institutional framework is right, community-based programmes actually cost less and are quicker to implement.

Participation in Forest and Conservation Management

The participation of local communities and other stakeholders in managing forestry and conservation projects can help improve forest productivity, alleviate poverty, increase environmental sustainability, and make rules governing forest access more enforceable. Introducing participatory management depends on

government commitment, and it requires time and resources to develop consensus among stakeholders, establish new institutional arrangements, decentralize finance and administration, ensure appropriate rules and incentives for local involvement, and build organizational capabilities at the local level.

There has been a fundamental shift over the last decade in approaches to forestry and conservation - from a focus on centralized planning and management by government agencies to a more participatory approach that balances social, environmental, and economic objectives.

Benefits

One of the most compelling reasons for seeking the participation of forest users in the management of forest resources has been the governments' inability to police forest areas effectively and to enforce their own rules of access and use without local public support. When local communities and private companies share in the design, benefits, costs, and management responsibility of forestry projects, they have incentives for cooperating in enforcing rules they have themselves agreed upon.

Poverty Alleviation

The majority of the people who occupy forest areas, or the agricultural fringes that surround them, are poor and vulnerable populations. Many are indigenous people or landless people who have migrated from other areas. Enabling them to share in the benefits, as well as the management of forestry development and commercialisation, helps alleviate their poverty and diversify their sources of income.

Forest Productivity

With the benefit of local knowledge and participation, the value of non-timber forest products to different users - for food, fibre, medicines, oils, and gums - can be more fully exploited. Indigenous productive technologies can enrich scientific research and serve as potential sources of new products.

Sustainability

The important role played by forests in preserving biodiversity and protecting critical watersheds is obvious. Especially in regions with large and growing populations, participation is often the only viable way to conserve forest areas for sustainable use or for keeping their environmental values intact.

Limitations

The following situations may prove to be limitations to a participatory approach: i) when conflicts over forest resources are particularly intense, ii) when forest resources are abundant relative to a small, dispersed population

near the forest, iii) when powerful interests at the national level are opposed to policy reforms in the sector or to decentralization of authority, or (iv) when extreme social inequalities at the local level reinforce the control of forest benefits by local elites.

Participation in the Irrigation Sector

The irrigation sector provides a rich source of experiences and lessons in user participation. Participation by farmers in system design and management helps ensure the sustainability of the system, reduce the public expenditure burden, and improve efficiency, equity, and standards of service. Mobilising support at all levels and establishing the participatory process, however, involves costs and also demands knowledge of the incentives facing each group of stakeholders and of the essential elements in building effective users' organizations.

Benefits

Efforts to increase user participation have been spurred by poor performance in terms of efficiency, equity, cost recovery, and accountability of many large-scale irrigation systems managed by government agencies. Greater participation by farmers, through water users' associations, has helped overcome many of these problems.

The overriding reason for increasing participation in irrigation is to improve system performance. Clear gains in efficiency in the standard of service are achieved when design and management of the irrigation system is transferred to farmers. System design benefits from local knowledge, and farmers have the means and incentives to minimise costs and improve services.

Building irrigation systems which are wanted, supported, and owned by users themselves provides the best assurance of sustainability. More equitable organizational arrangements and water delivery have been noted when participatory approaches are followed.

Collaborative Decision-making

Workshop-based methods

Appreciation-Influence-Control (AIC)

Encourages stakeholders to consider the social, political, and cultural factors along with the technical and economic aspects that influence a given project or policy. AIC i) helps identify a common purpose, ii) helps recognise the range of stakeholders relevant to the purpose, iii) creates an enabling forum for stakeholders to collaboratively pursue that purpose.

Objective-Oriented Project Planning (ZOPP)

Helpful to set priorities and plan for implementation and monitoring. The purpose of ZOPP is to undertake participatory, objective-oriented planning.

Main Features of ZOPP

- Encourages 'social learning'
- Promotes ownership
- Produces a visual matrix of the project plan
- Stakeholders establish the rules of the game
- Stakeholders establish working relations

Community-based Methods

Participatory Rural Appraisal (PRA)

Emphasises local knowledge and enables local people to do their own appraisal, analysis and planning. PRA uses group animation and exercises to facilitate information-sharing, analysis, and action among stakeholders.

SARAR

A participatory approach to training which builds upon local knowledge and strengths and local capacity to assess, prioritise, plan, create, organize, and evaluate. The five characteristics of SARAR are: Self-esteem, Associative strengths, Resourcefulness, Action planning, and Responsibility.

Purposes of SARAR

- To provide a multi-sectoral, multi-level approach to team-building through training
- To encourage participants to learn from local experience rather than from external experts
- To empower people at the community and agency levels to initiate action

Main Features of SARAR

- Based on interactive, often visual tools, which enable participation regardless of literacy levels
- Demystifies the research and planning process by drawing upon everyday experience
- Participants feel empowered by their participation and the sense that their contributions are valued

Beneficiary Assessment (BA)

A systemic investigation of the perception of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated in project and policy formulation.

Purposes of BA

- To undertake systemic listening in order to give a voice to poor and other hard-to-reach beneficiaries
- To obtain feedback on development interventions

Social Assessment (SA)

A systematic approach to prepare a programme action framework

Purpose of SA

- To identify key stakeholders and establish the appropriate framework for their participation
- To ensure that the project objectives and incentives for change are appropriate and acceptable to beneficiaries
- To assess social aspects and risks and
- To minimise or mitigate adverse impacts

Gender Analysis (GA)

Focusses on understanding and documenting the differences in gender roles, activities, needs, and opportunities in a given context. It involves the disaggregation of quantitative data by gender and highlights the different roles and learned behaviour of men and women, based on gender attributes that vary across culture, class, ethnicity, income, education, and time.

Conditions for Effective Participation

PRA techniques are intended to enable local people to conduct their own analysis and often to plan and take action. Villagers have a greater capacity to map, model, quantify and estimate, rank, score, and diagram than outsiders have generally supposed (Chambers, 1992). This technique itself will not always work unless the practitioner understands the situation and creates an environment to involve people. A certain level of community organization skills are essential. Local people must be socialised to bring them to the stage of participation. It is a process of learning, with decentralization and empowerment of the oppressed poor as primary goals and values. Poor village people who have been struggling and spending their lives in their own villages know the best coping strategies for survival. As Chambers (1995) convincingly argues, there are no real experts in social development, except possibly poor people themselves. Development workers should simply facilitate the process of their discovery.

Communities Have the Best Answers

An example from Nepal shows how local people cope with food insufficiency. People reveal that *Jand* (liquor soup) from one *pathi* (about 4kg) of corn lasts more than a week, whereas, if they make only *Chekhla* (broken maize grains used as rice), it lasts only three or four days for a family of seven members.

Benefits and Costs of Participation

Participation makes development more people-centred, yet it is not a panacea.

Benefits of Participation

- Increased quality and sustainability of development options

- Increased stakeholder ownership of policies and projects
- More willingness to share costs and help with maintenance
- Increased equity by involving the poor and other groups in planning and implementation
- Increased local capacity-building
- Increased transparency and accountability
- Institutional performance

Costs of Participation

- Participation sometimes entails painstaking collaboration.
- The process may not be captured by a small group of intermediaries intent on advancing their own agenda.
- The risk of raising expectations that may prove impossible to fulfill.
- Possible cultural and political constraints.

Case Studies of Participation Illustrate Some of these Benefits

- Pakistan's Orangi Pilot Project provided sewage facilities to nearly one million people in a poor area of Karachi with costs only one-eighth of conventional sewage provided by city authorities. This was due to changes in technical design and elimination of payoffs to intermediaries.
- In Gujarat, India, during the 1980s, an average of 18,000 forest offences, which included timber theft, illegal grazing, and fires, were recorded annually. Twenty forestry officials were killed in confrontation with communities and offenders, and assaults on forestry officials were frequent. In response, an experiment in joint management with communities was initiated by the conservator. This included community meetings, widely-publicised creation of forest protection committees, and profit-sharing of 25 per cent of timber returns with local groups. As a result, conflicts between officials and community groups diminished, community groups assumed responsibility for patrolling forests, and productivity of land and returns to villages increased sharply.
- In Cote d'Ivoire, a national rural water supply programme established community water groups which managed maintenance of 13,500 water points and reduced breakdown rates from 50 to 11 per cent at one-third the cost. The results were sustained in those villages which had a high demand for the rehabilitated water point and where well-functioning community organizations already existed.
- In Tamil Nadu, India, a community-based nutrition outreach programme in 9,000 villages resulted in a one-third decline in severe malnutrition. Earlier programmes focussing only on the creation of health infrastructure made no difference in the nutritional status of children.

- The Philippines: Beginning with a pilot project in 1976, the approach to irrigation was expanded in 1980 to cover all communal systems, and later extended to large-scale national irrigation systems. A 1993 study of three irrigation systems reported substantial improvements in performance after ownership and management responsibility were transferred to farmers.
- In Nicaragua, local supervision of a barrio upgrading project contributed to a rate of return 50% above what had been anticipated, and the project was completed in 3.5 instead of 5 years.
- In South Korea, over 52,000 kilometres of village access roads have been built over the past two decades as part of a community self-help effort.
- In Nepal, Baglung district, communities constructed 62 suspension bridges using mostly local materials

and labour inputs, the cost to the government was only about \$ 50,000.

Conclusion

Development programmes will bring desired results only if they are people-centred, environmentally-friendly, participatory, and build local and national capacities for self-reliance. For this, human and institutional capacity-building must be supported. Also, it is essential to learn, understand, and respond to rapidly changing rural systems with the purpose of boosting productivity, eradicating human deprivation, and eliminating resource degradation. It is equally important that farm women, men, and children should be respected as intelligent, knowledgeable, and forward-looking resource managers.

Context Paper Two

Participatory Watershed Management (WM) and Key Elements of Its Processes for Planning, Implementation, Monitoring and Evaluation

Introduction

This paper first defines a watershed with special reference to uplands, and it then defines participatory watershed management. A discussion is made about conventional and modern thinking on participatory watershed management. Since participatory watershed management is based on a process rather than on targets, the key elements of the participatory processes for integrated watershed management are described. In addition to natural resource management activities for overall human development, these elements of the participatory process must be planned, monitored, and evaluated in a participatory manner in order for successful integrated watershed rehabilitation to occur.

Upland Watersheds

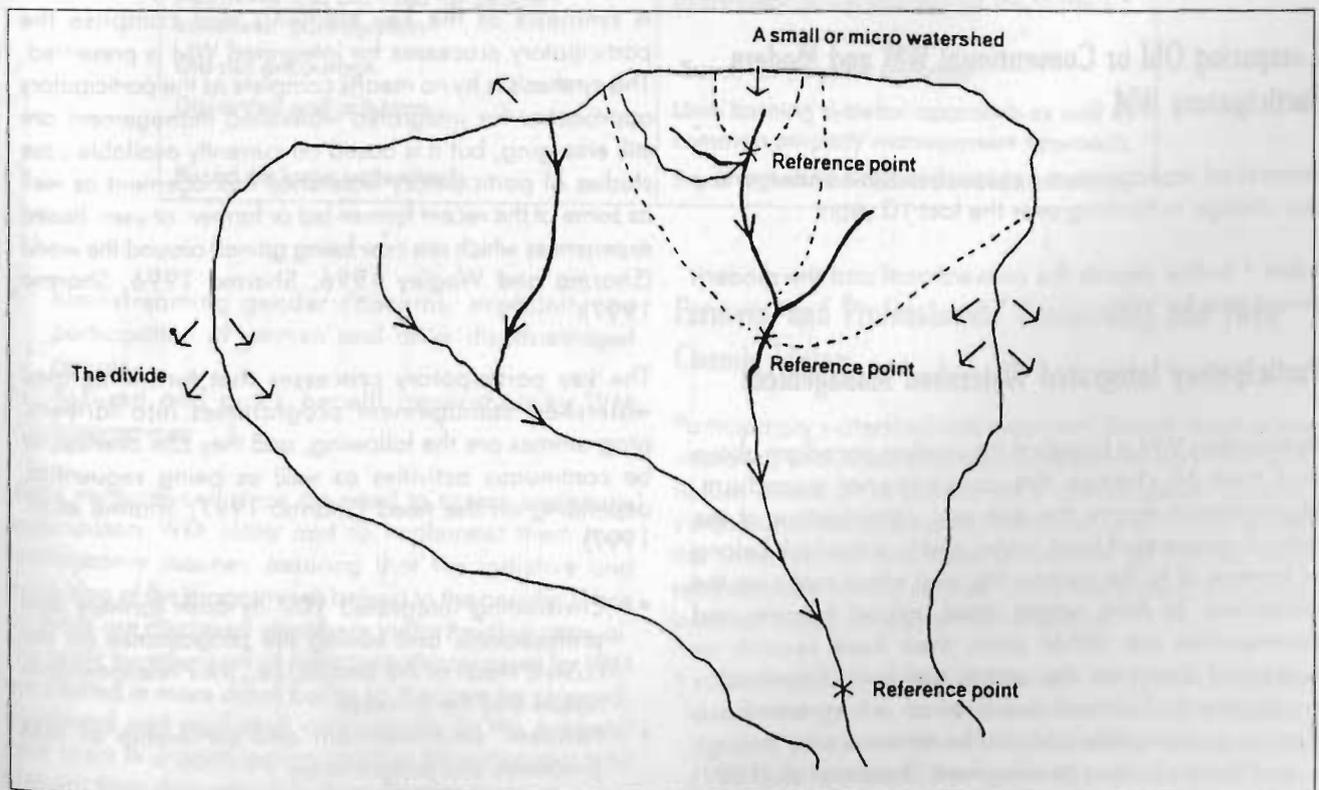
The dictionary meaning of *watershed* is the boundary which divides an area draining separately; *catchment*

means the area itself which drains separately in a natural manner. However, the words *watershed* and *catchment*, as well as *drainage basin* or *river basin*, are commonly used interchangeably. Thus, a hydrologic unit or area draining separately is called a *watershed*. The extent depends on its point of reference so that an area draining to a particular point becomes the upstream watershed of that point.

Upland watershed generally refers to the upper sloping areas of a watershed which often are mountainous or rainfed. While large-scale irrigation in these upper areas is often not feasible, water harvesting or small local irrigation schemes may be possible. Mountain specificities apply to the mountain watersheds.

Integrated Watershed Management

Watershed management may mean different things to different people, but "sustainable participatory and



integrated watershed management" (WM) deals with the use and conservation of natural resources to meet the needs of land users. Thus, modern watershed management is 'people-friendly' and 'process-based' rather than physical target-oriented (as was the case in many past government programmes), so that it fits into the pace of life of farmers and not that of donors, governments, or non-government organizations.

Integrated WM could, in the widest sense, include everything in a watershed - both human and non-human. In practice, however, the scope of WM is location-specific and geared to solving the problems and needs of the local people. In a given watershed, the activities to be undertaken have the following common primary aims:

- natural resource management (NRM) for human development within a target group,
- poverty alleviation through capital and income generation, and
- distributional equity among men, women, and all social groups, classes, and castes.

Prioritising integrated WM activities, therefore, is carried out locally through any suitable mechanisms of farmers' groups or organizations capable of expressing and representing farmers at the grassroots' level. For successful WM in any situation, a participatory and integrated multi-disciplinary and multi-sectoral approach is essential. Gender issues, the needs of disadvantaged groups, and distributional equity should be considered and the ownership of the people ensured. Good communication skills at all levels are crucial to achieve the aims of participatory integrated WM.

Comparing Old or Conventional WM and Modern Participatory WM

Watershed management approaches have undergone a sea change in thinking over the last 10 years.

Table 1 below depicts the conventional and the modern paradigms for WM.

Participatory Integrated Watershed Management

Participatory WM is based on the modern paradigm above and tries to change the conventional paradigm. Management means the use and conservation of the natural resources of land, water, and forests which belong to farmers or to the community, and which make up the watershed. In Asia, where most upland farmers and communities are rather poor, their food security or livelihood becomes the prime concern. Continuous improvement of natural resources on a long-term basis signifies sustainability and can be attained only through overall holistic human development. Sharma et al. (1997)

defines participatory integrated WM or sustainable WM as follows.

Utilisation and conservation of land, water, and forest resources at farm household and community (or given watershed) level for continuously improved livelihood and human development.

Thus, participatory watershed management (WM) consists of farmers' and community's natural resource management for poverty alleviation and farmers' overall development. Since farmers and other land users are the main stakeholders in watershed management, they themselves must take charge of the processes for development of watershed resources, if it is to succeed. A farmer-led approach is also needed to achieve their empowerment and self-reliance. It forces all technical assistance agents (government or non-government researchers, extensionists, trainers) to become facilitators of the participatory processes for integrated WM rather than agents of transfer of technology for WM.

Participatory Processes in Watershed Management

New thinking is required to achieve the goals of participatory watershed management as defined above (Sharma 1997, Sharma et al. 1997, Sharma and Krosschell 1997). Farmers must become equal partners in development; their local knowledge and capability for continued experimentation and innovation need to be recognised. Such an approach lays the basic foundations of participatory or, more specifically, farmer-led integrated WM.

A synthesis of the key elements that comprise the participatory processes for integrated WM is presented. This synthesis is by no means complete as the participatory approaches for integrated watershed management are still emerging, but it is based on currently available case studies of participatory watershed management as well as some of the recent farmer-led or farmer- or user- based experiences which are now being gained around the world (Sharma and Wagley 1996, Sharma 1996, Sharma 1997).

The key participatory processes that turn integrated watershed management programmes into farmers' programmes are the following, and they can overlap, or be continuous activities as well as being sequential, depending on the need (Sharma 1997; Sharma et al. 1997):

- Envisioning integrated WM by both farmers and professionals and basing the programmes on the cosmic vision of the people, i.e., their relationship to nature and the universe
- Farmers' empowerment and ownership of WM processes and programmes
- Land use titling/tenure to the land users

Table 1: Comparison of Conventional and Modern Participatory WM Approaches

| Conventional approach | Modern approach |
|---|---|
| Executing agency-driven | Participatory, farmer-driven |
| Target-based | Participatory process-based |
| Aimed only at soil, water and forest conservation | Aimed at poverty alleviation and overall human development through NRM |
| Transfer of Technology (TOT) extension method | Farmers' first approach married to TOT |
| Extensionist and scientist-led | Farmer-led |
| Based on imported technology and ideas | Based on indigenous technology, traditions, and culture and cosmic vision of the local people/farmers/land users |
| Top-down planning, monitoring and evaluation (M & E) | Participatory planning, M & E |
| Land use based on land capability | Land use based on land suitability and people's needs/preferences |
| Did not consider structural issues, e.g., land ownership, farmers' organization, etc. | Land use titling and farmers' organization at forefront of participatory WM |
| Aimed at long-term benefits | Aimed at quick net benefit generation (economic, environmental, and social as well as political) |
| Empowered the agents of technology transfer, i.e., officials | Aimed at people's empowerment |
| Attended to selected generally better-off farmers | Aimed at marginal, small and poor farmers with special emphasis on equity between genders and among disadvantaged classes |
| Tended to be taken over by single sectors/departments | Multi-sectoral and multi-disciplinary |
| Engg. structures prioritised | Biological, agro-forestry methods prioritised |
| Incentives and aid used for people's initiatives' participation | Investment at the disposal of the farmers |
| Did not encourage | Based on people's initiative |
| Disjointed and arbitrary | Uses farming systems' approach as well as common property management approach |
| Based on large watersheds | Small watershed-based people's initiatives |

- Mainstreaming gender concerns, especially the participation of women and other disadvantaged groups
- Assured and quick benefit generation by WM programmes

Many methods and steps are used to assess and make participatory WM plans and to implement them in a participatory manner, assuring that the initiative and ownership of the programmes belong to the people. These methods are discussed elsewhere in this training manual. The basic key elements of participatory processes for WM are treated in more detail below so they can be planned, monitored and evaluated continuously by the farmers/land users in a participatory manner for successful WM through their own overall human development.

Farmers' and Professionals' Envisioning and Their Cosmic Vision

Participatory watershed management should result in an improved livelihood and social lifestyle in harmony with nature based on a community's cosmic vision. Cosmic vision is defined as people's relationship with nature and the universe. An envisioning exercise by farmers and professionals can be carried out in many ways. The steps involved could consist of the following.

- Understanding the philosophy of life of a given community, i.e., cultural practices, beliefs customs, rules, cosmic beliefs and relationships, as well as the farmers' vision of development in relation to modern integrated WM

- Finding the best-fitting dominant cultural slot in the lifestyle of a particular watershed community in which to base the participatory integrated WM programmes
- Searching for common as well as special moral values of the particular community to be used as the entry point for farmers' WM programmes
- If moral decay and degradation is found within the community or among professionals, a process of moral revitalisation and regeneration should be started by identifying appropriate leaders who could be religious persons, local community leaders, or development practitioners. Emphasis should be laid on reviving old traditions of caring and sharing to revitalise and strengthen the collective and community spirit which can further be used for participatory integrated WM.
- As most Asian cultures emphasise moral duties at an appropriate stage, a call to the people at large can be given for the common good and respect of nature and for integrated WM for their own welfare.
- Learn from examples of success and failure, both of the concerned community and of others, in order to build on success.
- Extension agents/technocrats and village/community leaders may be sent for a spiritual retreat to inculcate moral virtues and a righteous attitude in their day-to-day dealings and behaviour.
- After careful examination and assessment of the community, a need-based curriculum for training of trainers should be developed for both professionals and farmers.

A particular community's dominant philosophy should be used to spread the message, while moral inputs could be added to ensure that moral knowledge and practice combine to make the community healthier and happier. Once the people attain a certain level of awareness, some sort of voluntary code of conduct regarding community and society could be established and a structure (e.g., farmers' organizations) created to sustain it. If a social organization already exists, it could be used for this purpose.

Generally, envisioning is a continuous activity which should not be used in isolation of the objectives of integrated and participatory WM. Neither should envisioning be misunderstood as religious conversion or abstract preaching. Successful WM requires that the facilitators/trainers themselves demonstrate high moral and ethical standards in order to impress upon local people the virtue of fostering beneficial moral practices. The envisioning process should result in farmers' or community's and professionals' awakening and mobilisation for their own integrated watershed management. More detailed exposure to the participatory planning and M & E of envisioning is covered elsewhere (Singh 1997) in this manual.

Farmers' Empowerment and Ownership

Empowering farmers and institutionalising their ownership of integrated WM programmes and processes require that

they have their full constitutional rights (individually or as a group) and are facilitated to use them. Empowerment is linked to control over resources, which in turn relates to ownership. Land ownership thus becomes an important aspect facilitating people's participation. Different types of land ownership (public, private, and community lands; tenure-ship, e.g., absentee landlords, etc) allow differently for empowerment and therefore require different approaches to management. Giving rights to people to use resources is an important means to empowerment.

Lack of mission and vision within implementing agencies as well as among farmers can be a serious constraint. All concerned must have the attitude of enabling the empowering process to help farmers handle pressures from vested interests better. Farmers' group formation and networking into federations helps institutionalise the empowerment process. It requires an integrated and well-coordinated approach at field- and community-levels by all implementing agencies. Experience has shown that lack of investment is not necessarily the problem. However, improving farmers' receiving mechanisms with proper checks and balances and avoiding the abuse of funds are key in farmers' ownership of investments. Resources from local banks/district programmes and other local resources must be made available for integrated WM programmes.

The strategy for farmer ownership of the WM programme therefore requires facilitation of the empowerment process (not imposition), guaranteed long-term ownership or user rights in land and other resources to the farmers/people, changes in attitude of government departments from target-oriented to process-oriented watershed development programmes, farmers' capacity building, investments made available to farmers (both public and private), and, based on this new vision, technical support. There should be a meeting place for the exchange of ideas between farmers and government officials. This requires GO/NGO technical agents with persistence, commitment, innovation, dedication, and better communication skills to assist farmers in alternative institution building. Such planning and implementation would be based on farmers' traditional processes and, as far as possible, on indigenous technologies. Subsidies, if any, should be replaced by investments if the WM programmes are to sustain themselves.

The following three aspects are very important for empowerment of the farmers/land users of a watershed.

- The right to organize, i.e., Farmers' organization
- Right to use/own land and other resources, i.e., land use titling
- Equity among all sections of society, especially relating to gender concerns and disadvantaged groups, i.e., mainstreaming gender and other social concerns

The first aspect above is further explained below and the other two aspects will subsequently be discussed as key elements in the process.

Farmers' Organization Network-building

Various models of farmers' organization (FO) are seen in Asia today. This includes farmers' traditional (formal or informal) institutions, e.g., successful village-level panchayat organizations in India and official men's and women's farmers' organizations in Sri Lanka, Vietnam, and China. There are also users' groups for community forestry and conservation committees for soil conservation in Nepal, farmers' associations in many Latin American countries, and farmers' saving and credit unions elsewhere.

Likewise, many efforts are being organized for people's participation in WM/NRM in the Asian region. Most recent efforts consist of some type of farmers' group formation or village-level committees representing either an entire village or only certain beneficiaries, e.g., in the case of users' groups in Nepal. With these experiences as a basis, the FARM programme in Nepal and elsewhere is successfully trying farmers' organization-building for WM by networking homogenous farmers' groups in a small watershed or village (Sharma 1995, Sharma et al. 1996). This is the initial effort to network farmers' groups into a higher level organization. Other methods of FO building, e.g., traditional village organizations, farmers associations or farmers' credit unions, farmers' associations, etc, should be encouraged if found more convenient.

Minimum funding needs are to be met as loans (not incentives or subsidies) from a farmer-managed savings and loans' rotating fund or from other investments available through established channels, e.g., agricultural credit banks. The farmers themselves decide on the management of these funds according to rules developed during the constitution-making process of the FO. The whole process empowers the farmers, strengthens the farmers' organization, and their institutional capabilities.

Land Use Titling/Tenure

Control over land resources by both men and women has been amply demonstrated by many case studies of successful participatory WM programmes to be a prerequisite to farmers' participation in NRM/WM programmes (Sharma and Wagley (eds) 1996, Sharma 1996). Land tenure systems vary in different countries. Individual governments in the region have been or are now experimenting with various approaches to land use titling with limited success. Good examples are available, e.g., community forestry in Nepal (Kanel 1997), CARL in the Philippines (Escano 1997), the family contract system in China (Deyi 1995), etc. Although different cultural traditions, beliefs, and political environments preclude there being a universal model for addressing the issue of land use titling/tenure for all the countries in Asia and the Pacific, the following considerations must serve as the basic foundation for exploring how to provide various

types of land rights, ranging from long-term leases to full ownership, either individually or communally.

- Security of land title/tenure, whether on a lease-basis or complete ownership, if long-term plans for improving and protecting the land are to be implemented.
- Support services of the government, such as technical assistance and capital inputs for development, should be clearly defined for successful land allocation.
- Where problems exist about titling land to the users or giving them land on a long-term basis, a participatory approach to land allocation with the consensus of the people could be the best way of handling the problem.
- In societies where women do not have land titles, land titling to women will improve land use, since this will give women long-term security and control. This requires legislation from the policy level.
- Topics on watershed protection, reforestation, erosion control, watershed rehabilitation, socioeconomic, and policy aspects should be discussed comprehensively with potential end-users as prerequisites for evolving land titling/tenure policy.

Integration of Gender Concerns

Most farmers in upland watersheds are women. In most Asian countries, women spend long hours on agriculture as well as on other natural resource management activities in addition to managing their households. However, until very recently, the WM policy-makers, planners, and technicians failed to realise this. Many WM/NRM professionals working in the field are not fully aware of the gender issues, which have not yet percolated to the implementation level. Urgent action is needed to correct the problems caused by lack of awareness. Failing to integrate gender concerns resulted in WM programme designs that were insensitive to women's needs as well as to the needs of other disadvantaged social groups. There are many myths about women farmers (Krosschell 1997), e.g., that they only do domestic work, that a given technology is good for both men and women, that women cannot work as well as men, that women's concerns can be expressed correctly by their male relatives, and so on. These myths must be seen through so that the real farmers/land users, both women and men, in upland watersheds can participate in a WM programme.

Mainstreaming Gender-Sensitivity into WM Programme Design

Gender-sensitivity and remedies for alleviating inequalities vis a vis disadvantaged classes/castes must be built or 'mainstreamed' into watershed development programme designs. Some steps that assist in this process are as follow.

- Design WM programmes with the realisation that both women and men farmers/land users are managers of the watersheds.

- Design capacity-building for women and other disadvantaged groups into the programmes in all aspects of WM/NRM.
- Assign staff positions to women and other disadvantaged groups in the programme at all levels. These staff should be especially trained in communication methods with farmers.
- Sensitise the organizational structures and laws governing them so they provide a friendly environment for women and other disadvantaged groups.
- Design WM/NRM activities which save time, reduce workloads and risks, but increase income quickly.
- Design control over resources by women and disadvantaged groups. Particularly plan on land-use titling, equitable control over water resources and ownership of forest resources for women and other disadvantaged groups. However, allocation of land and other resources should be designed in a participatory manner rather than imposed. This also requires that the WM/NRM agencies have the authority to allocate the resources.
- Design gender audits in WM programme planning, implementation, monitoring, and evaluation; i.e., ask at every step if women (as well as other disadvantaged groups) are better off with the WM programme implementation or not.

Facilitation of Women's Participation at Field-Level

For integrating women's concerns in WM, field-level training in methods for quick and direct benefit and income-generation should be held as near as possible to women's residences. As many women are illiterate, unorthodox and non-formal methods (e.g., posters and other visual materials) should be used for their training in WM action planning, implementation, and monitoring. Training and using local women facilitators can be helpful with local educated women leaders acting as liaison personnel. The training, as well as other surveys (e.g., PRA), should not be so long that busy women cannot participate. Using existing women's groups or informal networks, or encouraging new groups and networks which can be merged later to mixed groups once women feel more confident, can help their empowerment and participation in WM programmes. If women's participation is found wanting, use of affirmative action (e.g., quotas) may be helpful, at least in the beginning. However, it should not result in pushing women in ways that are culturally insensitive - such as speaking in public forums.

Gender-Sensitisation Training at Institution Levels

Most development organizations in Asia are not very gender-sensitive. They need to be made more attractive to women so they can encourage more women graduates, especially in government jobs for which stronger linkages between education and implementation agencies are needed. Similarly, at the design stage, development

project activities need to be segregated for women and men. Gender analysis training must be imparted to both women and men at all levels and also should be introduced in formal and informal education/in-service training curricula so that gradually and subtly attitudes can change and gender concerns be institutionalised. Women professionals likewise need to be sensitised and their constraints removed as they often work in institutional frameworks designed for men only. Men should be encouraged to recognise their responsibility to play key roles in supporting women so that the impact of WM programmes can be for the whole household rather than the men only.

Assured and Quick Benefit Generation

It has become clear that unless WM/NRM activities result in quick (preferably within one crop season or one year) net direct benefits to participating farmers, participation cannot be expected. Lacking such immediate benefits, on-farm level watershed management or conservation and better utilisation of natural resources will not occur. Similarly, if common property resources are to be managed better by the people, they must produce visible benefits. Thus, gender sensitive processes and activities that assure quick economic, as well as environmental and social, benefits are needed. If a WM/NRM activity does not quickly lead to such benefits, the people will not implement it.

Such quick income-generating activities could be a combination of both mechanical and biological (agro-horticultural-forestry) activities for land, water, and forest conservation. As far as possible, they should result in little loss of land, and should be labour and input-saving (e.g., by cover crops, compost, crop rotations, hedgerows of income-producing/soil improving plant materials, etc). There are many examples of activities which produce direct benefits within a crop season. Incorporation of better agronomic practices, cash crops, animal husbandry, off farm-income-generation, better storage of farm produce, value-added products, marketing and rural infrastructure (e.g., farm roads, rural roads) require attention. Community facilities (e.g., ponds, community forestry) leading to direct farmers' income-generation need to be strengthened. Farmers' capacity for investments must be promoted. Rather than subsidies, incentives, or other forms of government-determined funding, promotion of investment from both farmers and government programmes result in quick economic, environmental, and social benefits.

Other Important Aspects of Participatory WM

To facilitate implementation of the above key elements of the participatory processes for integrated WM/NRM and other WM/NRM activities, the following aspects (Sharma and Krosschell 1997) must also be planned, monitored,

and evaluated. This brings about farmers'/land owners' empowerment and true ownership of the WM/NRM programmes.

- Farmer-led facilitation
- Farmers' capacity building
- Farmer-led planning
- Farmer-managed funding
- Farmer-led implementation
- Farmer-led monitoring and evaluation

These aspects of the participatory process dialogue are important for achieving true participatory watershed management. Farmers need opportunities to express their views and opinions, to identify problems, and to share their ideas with researchers, extensionists, and managers. Local (or farmers') organization and institutional strengthening is an important development objective. Such an approach boosts farmers' confidence and helps spread innovative ideas from farmer to farmer (Sharma and Krossschell 1996).

One serious problem is that GO/NGOs dealing with farmers may be unable to cope with poverty alleviation and participatory approaches. As the farmers or the affected communities are the direct beneficiaries of a WM programme, only they can alleviate their own poverty. GOs/NGOs are needed to facilitate the processes for farmers' capacity-building.

Role of Government, Non-Government Technical/Extension Personnel

It is frequently said that participatory approaches, especially farmer-led approaches, allow no role for technical/extension agents. In practice, however, the process usually generates so much demand for farmers' capacity-building, technical assistance, and research that the existing extension services may be insufficient. The technical/extension/administration is put at the service of the people, on their demand. This requires a thorough change in the attitude of these personnel as they become facilitators and motivators of the processes. Once this happens, the participatory process will also empower the GO/NGO personnel as they gain more trust and respect from local communities.

Participatory Watershed Planning, Monitoring and Evaluation of What?

Despite the recognition that participatory WM/NRM should be process-based rather than target-based, a recent expert consultation of the Participatory Watershed Management Training in Asia (PWMTA) programme of the FAO/Netherlands/UNDP, GCP/RAS/161/NET (Sharma (ed.) 1996), revealed that most WM/NRM-related professionals do not know the processes involved in sustainable WM/NRM. Shortly thereafter, the process

elements explained above were derived from recently-conducted case studies (Sharma and Wagley 1996, Sharma 1996, Sharma 1997).

While previous watershed planning, monitoring, and evaluation were generally carried out in a top-down manner by the concerned officials, the advent of participatory methods and tools such as RRA and PRA and assessment tools for gender analysis began to make it more participatory. However, participation remains limited to WM/NRM social and biophysical resource assessment and activity planning and M & E of the same, and thus it is still affected by the target-based approach. Many process elements were also known but in a disjointed and unrelated manner to WM/NRM. Once again these were like planned activities that fell under the jurisdiction of different departments and sectors rather than forming a continuous process. It is thus urgent that these processes be understood carefully and that the entire process be planned, implemented, monitored, and evaluated. The same tools and methods, e.g., RRA, PRA, and gender analysis tools, can be used for planning, monitoring, and evaluation of the process elements also.

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Context Paper Three

Modus Operandi for Participatory Land Suitability Activities - PALSA: A New Approach

Background to Land Suitability and Land Capability

The present methods of classifying land in terms of its suitability for a particular land use or crop have been in existence for many years and have been to a very large extent used by land use planners who have been part of a formal government structure such as a ministry or department, or who have been employed on a donor-funded project.

The purpose of these systems is to identify areas that are more or less suited to either a land use type (LUT) or a particular crop. First, a classification system is formulated. Work is then carried out in both the office and the field to identify the characteristics that affect the land use in the area. Finally, a map is drawn – to show distinct areas – marked by colours or particular symbols, each area being more or less suited to a different LUT.

The objectives of the suitability or capability classification systems have been:

- to achieve a higher sustainable agricultural or horticultural productivity,
- to choose the best use for a particular area of land, and
- to protect and conserve those areas where long-term production is not possible.

In very simple terms, land capability classification systems have been generalised in terms of what type of land use a particular area is suited for – e.g., irrigated or rainfed agriculture, forestry, pasture, recreation. Land suitability can also be much more focussed on the specific crop that has potential in any given area of land.

Traditionally, the work on the simple land capability or the more complex land suitability has been the mid-way point between land resource surveys and land-use plans. All the data collected from land resource and soil surveys are documented and analysed using the capability/suitability classification, from which a land use plan can be drawn up and presented to the donor, the ministry, or the local authority.

You may have noticed that one very important element is missing from this profile of what is largely an academic exercise - the missing link upon which the success of the resulting land use plan is based is the community which owns or has user rights on the surveyed land.

This session, therefore, presents a method of investigation that attempts to put people first in land resource surveys.

PALSA

What is PALSA?

What is presented here is a form of land suitability activity that includes the traditionally missing link - the farmers and communities. It is a form of land suitability (not land capability) in that it is carried out at the watershed or village level and specifically targets the needs of the communities and the individual farmers - their needs from the environment in which they live. Among many others, these needs can include:

- food, fodder, fuelwood from the forests and areas of scrub and shrub,
- staple food and cash crops from the fields,
- water from the hill or valley streams,
- grazing areas, and
- urban centres and recreational areas.

The most renowned and well-used system for classifying land in terms of its suitability is the FAO Land Suitability Classification developed introduced in the 1970s. This can be used as a highly complex or a relatively simple system. In its simple form, it is described in Table 1. In Participatory Land Suitability Activities (PALSA), there is a strong possibility that it can become very complicated, depending on the needs of the community or farmer, but this is a reality of life in agrarian communities from which we should not shy away.

Ideally, PALSA is a meeting of minds from the inside and from the outside.

The Insiders are those that live, work, and make their living in the target area; these are the people who know

the history of the land, the capabilities of each area in terms of production, from where the fuelwood and fodder is collected, and which source of water is good for the livestock. But, in many areas of the HKH, these are also the people who are under great pressure in terms of land resources and sustainability, whose aspirations are increasing, and who run into trouble as these pressures build at the household and farm levels.

The Outsiders are a group of trained specialists, ideally with experience of the survey area or type of environment and knowledgeable of village life in rural communities.

The Outsider group would ideally consist of four persons, with specialist knowledge in the following fields:

- 1 x soil scientist (also with a good knowledge of geology),
- 1 x agroforester (also with a good knowledge of forestry),
- 1 x irrigation engineer (also with knowledge of ground water), and
- 1 x agronomist (also with knowledge of horticulture and fodder species).

PALSA - The Modus Operandi

It is essential that the Outsiders do not go blind into an area. It is important that both RRAs or PRAs are undertaken beforehand and that community leaders in the area have already been met. The Outsiders must be furnished with basic information, both social and geographic.

This is also true of the Insiders. It is therefore necessary for a number of meetings to be held between the Insiders and Outsiders, so that they know what to expect from each other.

Meeting the People

These formal and informal meetings between the Insiders and Outsiders are important as they will set the tone and collaborative spirit for the survey work to come. It is necessary in most HKH societies to start at the hierarchical top by meeting the sub-district or village leaders first. Once the leaders, preferably both male and female, understand the modus operandi, and the Outsiders have confirmed what are the major concerns of the community, larger groups can gather for the main presentation of the survey objectives and procedures.

Presenting the Case

When the larger village or sub-district/watershed groups is gathered, the Outsiders must explain what they can provide in terms of advice and options. Photos, slides, and even videos are useful at this stage to show cash crops, crop options, A-frame use, SALT and other agroforestry systems, fodder farms, polythene technology, EM composting, etc., in other words the possibilities of what the Outsiders can provide if farmers are interested.

A simple presentation of the FAO Land Suitability classification must also be presented at the meetings so that, when the surveys begin, the end product is understood.

Raising Awareness

A number of these meetings will be required if the task is to produce a land use plan for the watershed as a whole. Preparation for each meeting is essential as the interest of different groups will differ. For example, high-altitude yak herders, farmers upland rainfed lands and lowland paddy farmers will have some similar interests,

Table 1: Structure of the FAO Land Suitability Classification

| | | |
|----|--------------------------|---|
| S | Suitable | The land can support the land use indefinitely and benefits justify inputs. |
| S1 | Most suitable | Land without limitations that will significantly reduce productivity or require extra inputs. It is useful to include the best 20-30 per cent of suitable land as S1. This land is not perfect but is the best that can be hoped for. |
| S2 | Moderately | Land that is clearly suitable but which has limitations that either reduce productivity or increase the inputs needed to sustain productivity compared to S1 land. |
| S3 | Marginally | Land with limitations so severe that benefits are reduced or inputs needed to sustain production are increased so that this cost is only marginally justified. |
| N | Not suitable | Land that cannot support the land use on a sustained basis or on which benefits do not justify necessary inputs. |
| N1 | Currently not suitable | Land with limitations to sustained use that cannot be overcome at currently acceptable costs. |
| N2 | Permanently not suitable | Land with limitations to sustained use that cannot be overcome. |

but they will also face particular problems and challenges with which they may require assistance.

It is also a good idea to target the schools in the area or watershed in which the PALSA is to take place. Children in school are a captive audience, and a lively presentation will inspire their interest. First, they define the problems their families face; then the Outsiders provide a description of the objectives of the survey, following which they, as a group, air some possible solutions and options. Again photos, slides, and videos can provide an added dimension.

Survey - Village Resources' Mapping Method (Including Problem-Solution Charts)

Brief Explanation

This method consists of two steps. The first entails requesting the villagers to draw a map showing the important resources they use. These may include land, water, fodder, timber, firewood, trees, land use and land types, soil types and productivity, cropping patterns, and erosion and degradation. Other resources and infrastructures may also be indicated.

The main task of the 'facilitator' is to copy the map on paper (if done on the ground/floor), listen to the explanations, and ask questions afterwards. The facilitator should not intervene in the mapping exercise.

The second step requires making a problem-solution chart. After completion of the map, the villagers should be asked to explain how the village resources are managed. Problem areas, management and control measures, tried-out solutions, and planned or possible interventions could be indicated or discussed.

Considerations

Instructions should be very general, leaving as much as possible to the initiative of the villagers. The group could appoint one person to draw. The map could be drawn either by starting the drawing at the point where the group is located, or by first drawing the boundaries of the village and/or the position of adjoining villages, roads, ridges or rivers.

One can either involve a group of 6 to 10 villagers in drawing the map or involve many more villagers.

In the latter case, one could start with a first group of some 8-10 villagers and request them to draw a map showing the important village resources. Others can join the group later and additional resources can be added and/or modifications can be made. Villagers continue to modify the map and add features until they are satisfied with the map. Alternatively, especially if many villagers are present at the start of the exercise, one could split the villagers into two or more groups, each making their own

map. In this case it may be useful if each group is composed of one type of resource user, e.g., a group of women and one of men, or one of land owners and one of share-croppers. The latter approach may give a better indication of the importance of certain resources for each user group.

Villagers may join the group on their own initiative. As long as this does not disturb the process, no intervention from the facilitators is required. If needed, the facilitator may intervene in order to help find solutions in case of major disagreement.

If one works with one group of villagers only, the group should include representatives of all major resource user groups. Care should be taken so that all user groups participate in the exercise. The views of landless share-croppers are as important as those of big land owners.

When the villagers consider the map to be complete, the facilitator may use his checklist and ask the villagers if the specific checklist topics that are not indicated on the map are not very important for them or if they were overlooked.

After completion of the map, the villagers should be asked (by using a stick) to indicate the different resources and explain how these are managed. Persons selected for this step should include representatives of the different resource user groups who can or will speak freely. The facilitator could ask open-ended questions to make sure all resources have been considered.

For each resource, the management practices, constraints, tried-out solutions, and planned or possible interventions could be indicated or discussed. The group can select one member or one can ask the first person to indicate a constraint to make a sketch or draw a symbol for that particular constraint on a separate sheet of paper (this will speed up the problem identification step).

Materials

Local materials may be used to draw the map. The villagers may use their imagination in choosing the materials. Drawing on the ground with a stick or knife may be the starting point, followed by the use of sticks, stones, flour, leaves, etc, to indicate different resources/land uses.

Sheets of paper, pencils, felt-tipped pens, etc should be taken along and provided if the villagers feel comfortable using them. However, these materials may make it more difficult and time-consuming to make modifications to the map.

The final choice of the materials should be left to the villagers.

Sheets of paper, pencils, and coloured markers should be provided to make the sketches or draw the symbols for each constraint.

Time

The required time is 1 to 2 hours for the mapping exercise, 1 to 2 hours for the constraints-solutions diagram.

Products

- A village resource map
- A diagram indicating the important resources of the village, their management, their constraints, the solutions tried and other possible solutions (Table 2)
- Papers with symbols or sketches of the constraints encountered

Different Steps To Be Taken

- Briefly explain the purpose of the exercise
- Request the villagers to select 6 to 10 representatives of different user groups to participate in the exercise, or some groups of 6 to 10 villages who will make their own maps. In the latter case, each group should consist of one type of resource user.
- Select a suitable place to make the drawing.
- Explain to the selected group that you would like them to draw a map showing all the important village resources, and request them to use their full imagination.
- Ask the group which materials they would like to use to draw the map.
- When the group has finished the map, request another group (if more groups of villagers have been

Table 2: Example of Constraints-Solutions Diagram for Pungshi (Pakshipungshi), 'Mewang Gewog, Thimpu Dzongkhag

| Resources | Constraints/ Problems | Solutions Tried/Tested | Solutions Suggested by Villagers |
|-------------------|---|--|--|
| Wetland | Tshochum (potamogeton) weed problem, Lack of irrigation water | Hand weeding twice Wait for rain, leave land fallow | Herbicide use Improve water distribution according to land holding (RGOB action) |
| Irrigation water | Irrigation channel broken by landslide | Hollow trunks used to pass the washed-out area, trunks need to be changed every three years | RGOB assistance |
| Wetland + Dryland | Crop damage by wild animals (boar, deer) | Dead brush fencing, 5 strand barbed wire fences reinforced with branches: ineffective; nighwatching, fires | Chemicals, RGOB to take action |
| Orchard | Insects and diseases | Use of chemicals, but insufficient knowledge; manual removal in insects Ashes on infested twigs and branches: ineffective Use water from drinking water supply | Village-level training on pest/disease control for farmers at the appropriate time of year Chemicals |
| Tseri | Fallow due to lack of manpower | | |
| Livestock | Low milk yield from local cattle, no knowledge of Jersey-cross or other improved cows | | Receive a Jersey-cross cow on trial to find out if it would be advantageous or provision of Jersey bull for cross-breeding |
| Forest | Forest policy/act too strict/cumbersome Insufficient firewood (50 loads/HH/year) | | Improve forest act: easier access to forest products for HH use by rural HH |
| Drinking water | Broken water pipes | Tried to join the pipes by heating the iron, tried to join the pipes with rubber strips: unsuccessful | Repair with RGOB assistance (train people on maintenance/repair, provide tools) |
| Houses | No electricity No latrines | Reported 6 times through Gup: no result Temporary structures built | Send copy of our report to responsible dept. (Advised to put through GYT/DYT) Latrine with cement, pipes (DWH support) |
| Infra-structure | Not enough good cattle tracks | Tracks improved by villagers, but many big rocks | Tools + materials required to blast the big rocks/stones (PWD assistance) |

- identified) to join them and suggest additional information or modification.
- When the map is finished, identify topics on the checklist which may have been overlooked and ask the villagers if these missing topics are important for them and if they should be indicated on the map
- Copy or photograph the map that is finally produced, if it is not done on sheet(s) of paper.
- Ask one representative to indicate the different resources on the map
- For each resource discuss
 - its management,
 - its constraints,
 - the solutions tried, and
 - other possible solutions and potentials.
- Request the group to choose one member to make a sketch or draw a symbol for each constraint identified.

Problems

- Hesitation or unwillingness to draw a map. This may happen especially if no group member knows how to write. When using pencils and paper, you can hand out pencils and paper to all group members and ask them to draw some rough figures/shapes on the paper to familiarise them with the material.
- The person drawing does the job without involving the other group members. Ask the person who draws to explain to the group everything that is put on paper and its position relative to other resources indicated on the map. Hopefully this will stimulate discussion.
- The mapping and resources' constraint diagrams are executed as two separate exercises. Request the person presenting the map to indicate one resource at a time and have the diagram filled in for this resource before the next resource is presented and discussed.

- Villagers may want to draw their own individual maps rather than one communal map. This should be allowed for a while, though it does not lead to discussion on the village resources. So, after a while, see if the villagers can appoint one or two drawers and start drawing a group map of the village, having everyone provide inputs from their own maps.

The Transect Walk Method

Brief Explanation

This method serves to explore the village territory in detail together with the villagers. It should take the group through most of the different land use types distinguished by the villagers in their village territory.

Observed or indicated land uses, soil, slopes, vegetation, crops, cultural practices, infrastructure, water availability, erosion, special sites, etc, are noted down. The constraints/problems related to the different land use systems and related solutions are to be discussed.

Considerations

Transects can be chosen, based on the village resources' map. Using the local soil classification as a basis for the selection of the transects is often very useful. Transects may be loops or a trail leading up and down the forest area above the village.

Teams consists of a multidisciplinary team and a number of villagers representing the different major resource user groups. It is most feasible to limit the group size to about 5 to 8 people. If the group becomes too large, communication may become more difficult. Splitting up into two or more groups should be considered if all want to participate.

DO's and DON'T's

- Make the group feel relaxed and comfortable
- Explain the purpose of the exercise
- Explain that the input of all group members is important
- Let the group decide where to do the mapping exercise
- Let the group decide which materials to use for the mapping
- Ask if any important resources are missing before going through the checklist
- Ask the participating villagers if they want to write their names on the map
- Let the group select someone to present the map
- If possible, have the group select a member to fill in the resources-management-constraints-solutions diagram
- Make sure all group members participate in the problem-solution identification (Ask open-ended questions to specific group members if necessary)
- Do not help the villagers with the drawing
- Do not ask any leading questions
- Do not interfere in the exercise, unless major problems arise
- Do not ignore certain group members

The time of the day chosen to walk the transect should be such that representatives of all resource user groups can participate.

Depending on the variation in the terrain and its user, one or several walks may be undertaken. Each walk should cover as many different land-use types as possible. The villagers could indicate which transect(s)/trails/loops may be the best choice.

The group could produce a diagram indicating different resources, characteristics, management, constraints, and solutions. However, it may be necessary that literate group members take on this task. Symbols should be used as much as possible in order to make the diagram as understandable as possible for all group members.

The sheets of paper could be divided into columns and rows, leaving space for a diagram on top. The topics to be addressed could be indicated in the first column, leaving room for other topics to be added by the group.

The team walks the predetermined transects. On the way the team writes down observed or indicated land uses, soils, slopes, vegetation, crops, cultural and local (indigenous) practices, infrastructure, water availability, erosion, special sites and any other characteristics they judge important.

Some characteristics such as slopes (flat, medium, steep), vegetation, etc, may be noted down without much discussion, but questions may be asked as to how the slope influences the farming methods used or for which purpose the vegetation in the area is used.

Along the transect, the constraints of the different land-use categories and natural resources should be discussed together with tried-out solutions, their results, and other possible solutions. A lot of emphasis should be put on this point.

The facilitator may need to ask questions to ensure that all necessary points are discussed. He/she should ask open-ended questions (e.g., which solutions were tried?, did they work? why? etc) and not leading questions (in which direction is given to the group concerning possible answers: e.g. "Did you have crops damaged by wild

boars?" instead of "Which other factors caused damage to your crops?"). Make sure all participants give their input.

Materials

Sheets of paper and pens or pencils

Time

The time needed to complete one transect may range from one to 3 hours.

Products

- Transect walk diagram(s) of the village indicating resources, characteristics, constraints, and solutions. An example is given in Table 3.
- Sheets of paper with symbols or sketches representing the constraints encountered

Different steps to be taken during the transect walk include the following

- Asking the village to select a representative group of resource users
- Asking the group to select a good transect route
- Ask the group to select one group member to fill in the transect characteristics. If this proves to be difficult, one of the outsiders may take on this task.
- Request the group to observe physical characteristics, such as slope, local soil names, soil characteristics (stoniness, depth, fertility), erosion, etc, and their effects on management practices and productivity and relationship with actual land use. Note this down in the diagram, together with crops and vegetation, yields, infrastructure, and livestock information.
- Problems related to each resource or its management should also be discussed. Problems, constraints, tried solutions and their results, possible alternative solutions, and potentials are noted down in the diagram.
- If needed, ask open-ended questions in order to ensure that all characteristics, problems, and potentials are discussed.
- The reporter notes the characteristics, observations, and remarks on the transect profile sheet.

DO's and DON'T's

- Explain the purpose of the exercise
- Explain how the exercise should be done
- Ask the villagers to select a representative transect
- Take notes, especially if a group member fills in the diagram
- Promote discussion among group members
- Ask open-ended questions (what, when, where, why, how)
- Do take notes, especially if a group member fills in the diagram
- Do not advise
- Do not state opinions

Table 3: Example of Transect Map: Darlung Kha Village, Mewang Gewog, Thimphu Dzongkhag (Source : LUPP, 1994)

| Land Type | Forest | Sokshing | Kamzhing | Orchard | Creek | Village | Kitechen garden | Chhu-zhing | Pan-zhing |
|--------------------------------|--|---|---|--|---|--|---|---|--|
| Soil name charact Slope Aspect | Masa Red soil clayey Steep W | Masa Red soil loamy clay Medium W | Samape loamy clay Medium W | Byesa Red soil, sandy loam, sandy Medium (steep/flat) W | Byesa Sandy soil | Samape/ Byesa Red soil, sandy clay loam Flat NW/SW | Samape Red soil, sandy clay loam Flat/medium W | Byesa Sandy loam Medium W | Samatay-Byesa Medium W |
| Vegetation Crops | Blue pine, grasses, shrubs (wild berries), Medicinal plants (Sansa Kachu-incense, Kapisang: Berberis spp.-dye, local medic. Water tank, Irrigation channel | Wheat, buckwheat, peas, apple, potato, vegetable, willows | Apple, walnut, pear, plum, peach, intercropped vegetables (Asp, Chl, Pot), grasses, young blue pine | Shrubs, bracken | Weeds, willow, vegetables | Fodder wheat, vegetables, weeds | Paddy nursery, wheat, fodder, grasses, weeds | Blue pine, wild berry shrubs, grasses, medicinal plants (Sansa Kachu incense) | |
| Infrastructures | Irrigation channel | Irrigation channel, willows as wind breaks | Irrigation channel, drinking water, houses, watchman's house | Irrigation channel, drinking water | Houses, ruins, chortens | Irrigation channel, drinking water | Irrigation channel | Grazing | Grazing |
| Livestock | Grazing cattle | 5 chickens, 2 cows, 1 pig | 10 cattle, 3 chickens deer | Some grazing | 1 pig, 3 chickens | 1 calf | Grazing | Grazing | Grazing |
| Products | Water, timber, firewood, leaf-litter, fodder | Leaf-litter, firewood, fodder timer | Crops, fodder (crop residues, willow leaves). | Water | Shelter, eggs, crops | Crops (dried chillies for the whole year) | Crops | Incense plants, firewood, fencing fodder | Privately owned |
| Land owner-ship | Government, communal grazing rights | Private + communal | Privately owned | Communal | Houses + land priv. Owned | Privately owned | Privately owned | Privately owned | Privately owned |
| Others | Branches from thorny trees for temporary fencing, mapche: torchwood | Potatoes are the main source of income for non-orchard owners | Firewood (pruned branches), Track blocked by thorny shrub-fence (Taksay gang, Kapisang) | Channel blocked by branches/weeds: Dirty drinking water | Windbreak (willows) traditional mustard oil press, drinking water | Cattle grazing after veg, harvest | Playing cattle herders, FYM-heaps in the fields | Land left fallow, 1 langdo converted to wetland - 5 yrs ago, not cultivated | Wild boar: Difficult area to fence: Lack of manpower |
| Pro-blems | Forest law (against clearing near agr, land Erosion along irrigation channel in summer, Wild animal habitat | Wild boar habitat Afraid to collect leaf-litter due to wild animals | Crop damage by wild boar and cattle (some fields left fallow) Low fertility, Lack of manpower, Pests and diseases | House destroyed after 3 deaths, new construction started, lack of manpower/funds | Lack of seeds for vegetables; Crop damage by cattle; Pests/diseases (possibly caused by FYM application); IHH has no cattle for FYM | Crop damage by boar/cattle Tshochum weed; | | | |

Table 3: Example of Transect Map: Darlung Kha Village, Mewang Gewog, Thimphu Dzongkhag (Source : LUPP, 1994) (Cont'd)

| Land Type | Forest | Sokshing | Kamzhing | Orchard | Creek | Village | Kitechen garden | Chhu-zhing | Pan-zhing |
|------------|-------------------------------------|--|---|---|--|--|---|--|-----------|
| Solutions | Shouting before entering the forest | Temporary fencing, night watching esp. at crop maturity FYM application | NPK application; Night watching; Temporary fencing; Cow dung pasted on apple trees; Informal discussion with Gup/ Chimmi/tshokpa: owner made a very small trail Apple orchard management; Barbed wire fencing, electricity; Discuss again with Gup | Annual maintenance; Let water stand to let dust/soil settle in drum | Work as casual labour, construction on labour exchange basis | Annual fencing; | Thorny branch fences, night watching; Weeding | Land kept fallow | |
| Potentials | DOF to take action | Barbed wire fencing | | Rural Water Supply scheme | Help from RGOB as "Kidu" | Supply of vegetables seeds; (composting suggested) | Barb. Wire fencing, killing wild animals; electricity | Fencing; Converting land to apple orchard | |

- One of the participating villagers, upon returning to the village or in the evening, could present the result to other villagers who can then give their comments and observations.

Problems

Bad weather: Do another exercise, postpone the exercise if possible, or use umbrellas.

The village territory is very large and the time available does not allow walking through all resource areas of the village. Try to select a mark from where the resources which are far away (forest, grazing areas) can be seen, and discuss them. Some resources, which can neither be visited nor seen, such as a land in another Dzongkhag, can be discussed towards the end of the exercise.

Evaluation of Collected Information

The study findings must be reviewed with all the participants, including both the Outsiders and Insiders, to reveal gaps, to clear misunderstandings, and to correct misconceptions. Villagers are the experts and understanding their views will greatly increase the researcher's perceptions. These reviews may redirect plans for gathering new sources of information. People who live in the area should be consulted to check whether the researchers (Outsiders) have understood the situation. Then Outsiders and Insiders can be merged to become Bothsiders for preparing participatory land suitability activities that will have long-term implications for sustainable resource allocation and management.

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Context Paper Four

Underlying Principles of Participatory Planning, Monitoring and Evaluation

Introduction

The participatory approach to planning, monitoring, and evaluation is not new. The history of human civilisation reveals that the process of development is based on this approach. In developing countries, participatory approaches are used regularly by the poor in rural communities as they pursue day-to-day activities. In fact, most social, cultural, financial, and development work in villages is undertaken using the participatory approach.

Participatory Approach

There is no fixed universal mode of participatory action since this approach is simply the involvement of a group of people in all stages of the development process, including initiation, planning, implementation, monitoring, evaluation, and follow-up. At the more dynamic level of mobilising people for development, the participatory approach involves the active involvement or collaboration of all groups including policy-makers, officials, and beneficiaries. In other words, the participatory approach is a model for action with a range of techniques designed to:

- develop self – reliance,
- share responsibility,
- create awareness,
- mobilise for self-help,
- empower the poor,
- use human resources,
- organize for collective action, and
- make people feel part of the process.

The participatory approach requires

- willingness to work voluntarily;
- dedication and contributions of time, energy, and labour; and
- commitment to and responsibility for participatory action.

Participatory Planning

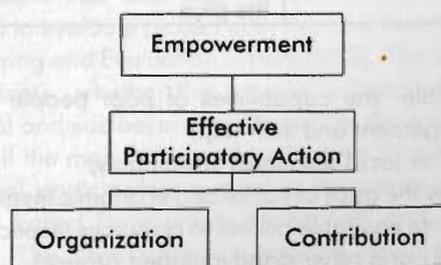
In participatory planning, the beneficiaries and other participating groups act as decision-makers. In other

words, farmers and other local people are invited to decide what community-level development interventions should be made. Each decision is made on the basis of the consensus of the members, men and women, young and old, and disadvantaged majority and minority groups. Participatory planning has the following advantages:

- helps a community to make a plan to meet its needs;
- emphasises mobilising local resources;
- helps translate a plan into reality;
- fosters interaction among local farmers;
- helps identify real problems and their solutions; and
- assists in recognising reality and avoiding the pitfalls, irregularities, and discrepancies associated with misapprehensions.

Key Elements of Participation

Participatory groups should be fully authorised to ensure that they benefit fully from the participatory work. They should be action-oriented and responsibly committed to the development process. To fulfill these aims effectively, a combination of the following elements is necessary:



Effective participatory action requires empowering people and organizing them to contribute collective action to achieve a common goal.

Empowerment

Delegating rights and authority to participatory groups in decision-making, planning, implementation, evaluation, and monitoring makes the groups more democratic and authoritative. Empowerment is necessary to :

- strengthen the capability of the participatory groups or organizations;

Processes Involved in Participatory Planning

| Process | Purpose | Tools | Who does | Participants |
|---|---|--|----------------|--------------------------------|
| a) Participatory Rural Appraisal (PRA) | to identify community resources, problems, constraints, etc | Transect walk, time-line, land-use mapping, | Planning group | beneficiaries/ UG/ communities |
| b) Participatory Social Appraisal (PSA) | to assess social and local institutions and their set-up, community dynamics, historical background, gender roles and issues, division of labour, etc | Seasonal calendar, social mapping, time-line, venn diagram | Planning group | " " " |
| c) Participatory Needs Assignment (PNA) | to identify problems and solutions and proposed actions | Asking questions | Planning group | " " " |
| d) Community Envisioning Exercise (CEE) | to discover visions, perceptions, through interests, demands, expectations, etc | meeting/ workshop | Planning group | " " " |
| e) Participatory Community Planning (PCP) | to propose a draft PCP plan generated by discussion and interaction | meeting/ workshop | Planning group | " " " |
| f) Community Consultation (CC) | to submit a draft plan for discussion, suggestions, comments, queries, concerns, etc | " " | Planning group | " " " |
| g) Replanning | to replan, readjust | meeting/work shop | Planning group | " " " |
| h) Endorsement | to present the plan to the community for endorsement and commitment to implement the plan | " " | Planning group | " " " |

- stimulate the capabilities of poor people in self-management and self-help;
- mobilise local resources sustainably;
- narrow the gaps of social and economic inequalities;
- promote equitable access to resources (especially for women and other disadvantaged groups);
- evaluate people's priorities based on their needs and choices;
- make development initiatives more sustainable; and
- develop people-centred organization.

Organization - Organizing participatory groups to express the needs and demands of poor sectors of the society helps prevent development activities from overlooking or exploiting the rural poor. It provides an equal chance for all to participate in meetings, make decisions, and plan activities. It also helps the poor to win greater access to resources and to improve the quality of their services.

Contribution - Contribution and dedication are the key elements of effective participation. Members of participatory groups or organizations can contribute in terms of labour, skills, materials, money, time, and energy.

Modes of Participation

The term 'participation' is used by different people in different ways. Some people think 'participation' is just a tool for implementing development activities by mobilising local people to provide free labour while others view it as a contribution or cost-sharing by local people in government programmes. Some definitions and modes of people's participation based on these ideas are as follow.

- Initiated Participation

Initiated participation means participation which originates with people themselves. It is an indigenous initiative in which people act by themselves for themselves.

• Facilitated Participation

Facilitated participation is that which is initiated by agencies, usually NGOs or donors, not by the people. Agencies work to stimulate participation by participatory groups; outsiders intervene in order to create awareness and to motivate the participatory groups to act. This type of participation is not self-generated.

• Co-opted Participation

Co-opted participation is participation forcefully arranged by outsiders like NGOs and donors. In this case, the participatory groups are often persuaded to participate through the provision of incentives. This type of participation is not driven by people's demands.

• Induced Participation

Induced participation is often arranged by government-line agencies. Various propaganda, extension, and incentives are used to attract the participatory groups to participate in government programmes.

Indicators of Participation

Indicators of participation have to be defined so that the level of participation can be measured. Indicators are generally based on the key elements of participation: empowerment, organization, and contribution. Indicators include:

- the number of local groups or organizations,
- the presence of farmers' representatives in local governing bodies,
- attendance at group meetings,
- participation in decision-making processes,
- level of local planning,
- attendance at implementation and planning activities,
- representation of men and women,
- amount of group finance from local sources,
- amount of savings mobilised, and
- capacity to maintain and manage local facilities & co-operatives.

Strategies to increase people participation

- Sharing decision-making in groups
- Strengthening internal leadership
- Introducing participatory planning and implementation
- Monitoring and evaluating participation
- Sharing benefits equitably

Participatory Monitoring

Monitoring is a continuous process which checks to see that everything goes according to plan as far as possible. It involves the periodic review of each activity at every level of implementation. This continuous process of

collecting information and providing feedback should ensure that the following goals are met:

- plans are followed,
- people are informed,
- inputs are provided on time,
- resources are used properly,
- adjustments or corrective action are taken, and
- problems are identified and solutions proposed.

The system by which participatory groups or beneficiaries themselves monitor is termed participatory monitoring. This type of self-monitoring system is usually simple because it is designed by participatory groups for their own use. Participatory groups should be responsible for measuring, recording, collecting, processing, and communicating the information as well as for using it to facilitate decision-making.

Participatory Evaluation

Evaluation is the systematic analysis of data or information collected by monitoring. It is usually carried out at regular intervals. Participatory evaluation differs from project evaluation. Participatory evaluation is an evaluation carried out by local participatory groups or beneficiaries themselves, whereas project evaluation is normally non-participatory and is carried out by an expert or a panel of experts. In participatory evaluation, participatory groups are responsible for making decisions based on their analysis of the information gathered from participatory monitoring. Participatory groups design an evaluation system which they can use easily.

Participatory Monitoring and Evaluation (PME)

The system that facilitates the continuous monitoring needed to evaluate project activities and their impact is a Monitoring and Evaluation System (MES). The system may also assess whether the process is sustainable in the physical and socioeconomic as well as the sociopolitical sense. If the monitoring and evaluation is carried out by the local participatory groups or the beneficiaries, the MES is called Participatory Monitoring and Evaluation (PME). The PME system is usually designed by the participatory or beneficiary groups for their own use.

A monitoring and evaluation system, whether it is participatory or non-participatory, should be designed to answer the following fundamental questions about a project :

- effectiveness,
- efficiency,
- relevance, and
- impact.

In a PME system, the members of a participatory group should actively participate in designing a PME system

which includes :

- indicators,
- a data collection system,
- the tabulation and analysis of data, and
- reporting.

The monitoring aspect of a PME system assesses inputs and outputs, whereas the evaluation aspect examines impacts.

A model of the number and kind of inputs, outputs, and impacts that are considered essential elements of monitoring and evaluation is given in Figure 1.

- **Inputs:** Goods, services, persons, technology and other resources provided to an activity with the expectation that they will produce outputs.

Examples: Seedlings, seeds, water, fertilizer, wire, cement, stones, sand, soil, bamboo, participation, labour, meetings, money, time, skill, knowledge

- **Outputs:** Specific products or services which an activity is expected to produce from its inputs in order to achieve the planned objectives.

Examples: plantation done, check dam constructed, nursery established, water sources protected, embankments constructed, roads constructed, area fenced, user groups formed, forest handed over, forest demarcated, terraces improved

- **Impacts:** Overall outcome of the specific effects of projects or programmes. The expressions of the results are directly associated with the project. Impacts may be defined as the ultimate change in the condition of things resulting from the project or programme.

Example: Physical environment stabilised, soil erosion controlled, critical area rehabilitated, income of local farmers increased, productivity of land increased

Participatory Monitoring and Evaluation (PME)

PME is a monitoring and evaluation programme or activity conducted by the participatory groups (farmers, beneficiaries, user groups or communities) themselves. Since it has to be done systematically and independently, PME is a simple way of collecting and processing data. PME increases a target group's control over project designing, planning, implementation, monitoring, and evaluation. In sum, PME has the following characteristics:

- demonstrative, not instructive;
- collaborative, not individualistic;
- explanatory, not persuasive;
- listening, not lecturing;

- discussing, not dominating; and
- farmer-oriented, not project-oriented.

The Purposes of PME are

- to assess information or generate data at the grassroots' level,
- to help grassroots' beneficiaries monitor and evaluate a project,
- to increase beneficiaries' commitment to and understanding of designing, planning and implementing a community-based project or programme,
- to promote self-help and self-reliance,
- to increase people's control over programmes, and
- to hand over the measuring stick to farmers' communities.

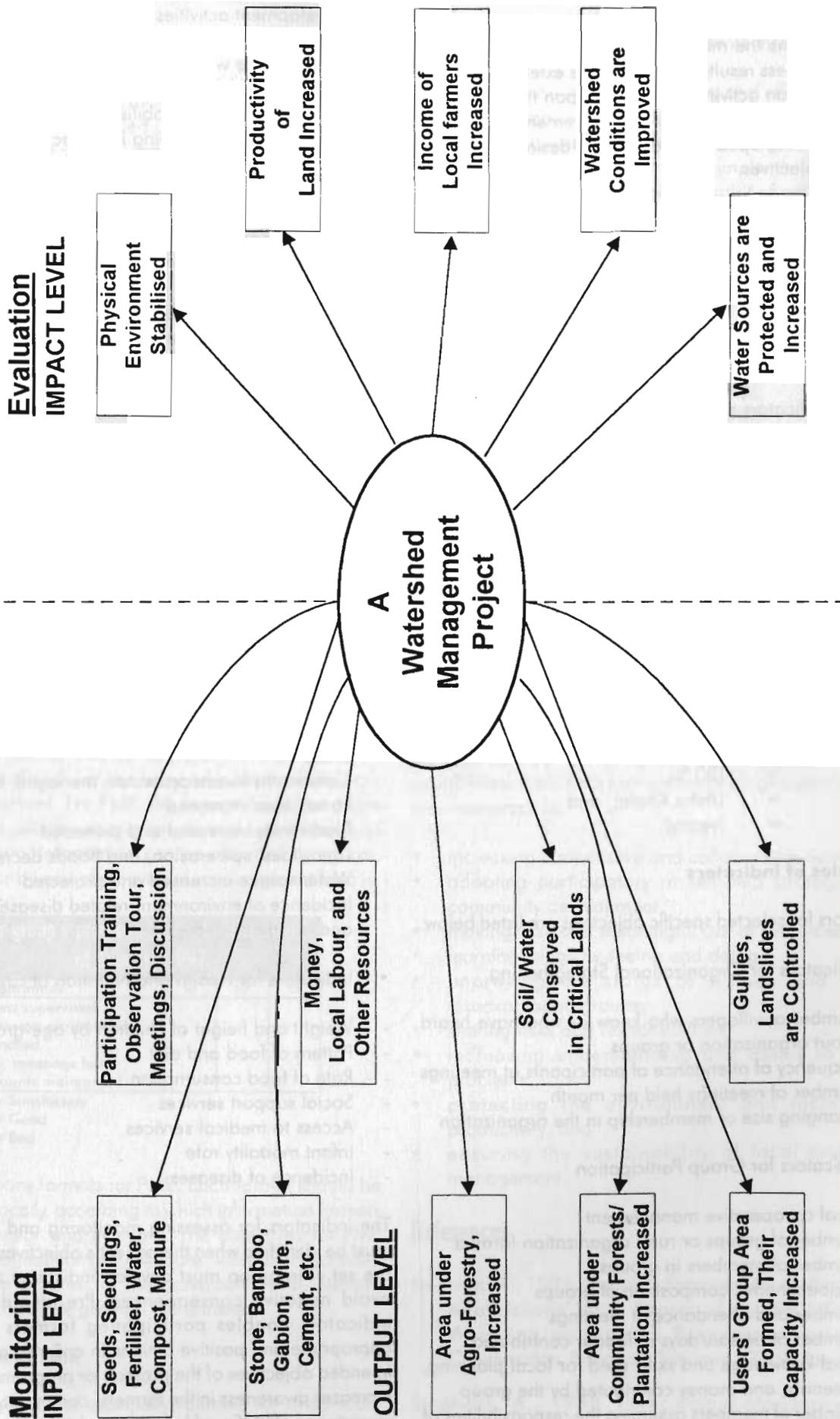
A tentative list of activities to be performed by farmers and development facilitators under a PME system is as follows.

| | | |
|----------|---------------|-------------|
| Organize | | Rank |
| Present | | Score |
| Indiate | | Quantify |
| Mobilize | | Improve |
| Collect | Participatory | Map |
| Assess | Group | Sketch |
| Discuss | or | Write |
| Report | Farmers | Diagram |
| Control | or | Act |
| Reject | Beneficiaries | Implement |
| Change | | Decide |
| Study | | Analyse |
| Develop | | Demonstrate |
| | | Select |
| | | Plan |
| | | Learn |
| | | Facilitate |
| | | Catalyse |
| | | Listen |
| | We | Watch |
| | or | Respond |
| | Development | Converse |
| | Facilitators | Inquire |
| | | Obey |
| | | Establish |
| | | rapport |

Steps in PME

- Understand the project's goal and objectives
- Identify activities needed to achieve these objectives
- Develop indicators to measure each activity
- Develop tools to measure the indicator
- Present the information in simple formats
- Develop charts for each activity including its plan of action, target, and achievement

Figure 1: Essential Elements of Monitoring and Evaluation to be Carried out in a Watershed Management Project



Indicators

An indicator is the measurement employed to measure changes, assess results, or to show the extent of progress achieved by an activity. Depending upon the objectives, there can be many kinds of measurements. Indicators should be developed for each activity desired to achieve specific objectives.

Indicators should be SMART

S = Specific
M = Measurable
A = Attainable
R = Realistic
T = Time-bound

and the indicators should reflect

- target group,
- quantity,
- quality,
- place, site, or location, and
- time.

For example, the specific objective is "The incomes of 100 farmer households in the Jhiku Khola watershed are to increase by 20 % yearly." In this statement the indicators to be measured are:

| | | |
|--------------|---|----------------------|
| target group | = | (farmers household), |
| quantity | = | (100 farmers), |
| quality | = | (20 %), |
| site | = | (Jhiku Khola), and |
| time | = | (yearly). |

Examples of indicators

Indicators for selected specific objectives are listed below.

- Indicators for Organizational Strengthening
 - Number of villagers who know or who have heard about organization or groups
 - Frequency of attendance of participants at meetings
 - Number of meetings held per month
 - Changing size of membership in the organization
- Indicators for Group Participation
 - Local co-operative management
 - Number of groups or rural organization formed
 - Number of members in groups
 - Socioeconomic composition of groups
 - Number and attendance at meetings
 - Number of person/days of labour contributed
 - Local knowledge and skills used for local planning, materials, and money contributed by the group
 - Number of members assuming the responsibilities of office-bearing

- Number of times the members supervised or inspected development activities
- Funds collected from local sources and used for maintenance work
- Participation of farmers
- Amount of savings mobilised
- Capacity for maintaining local facilities

- Indicators for Gender Issues (Women in Development)

- Funds allocated for women in development activities
- Budget spent on women's activities
- Number of households headed by women
- Programme directly benefitting women
 - Women receiving credit
- Proportion of benefits shared with women
- Participation of women in decision-making, meetings, extension, motivation services, and rural organization
- Women trainees, employment, and remuneration
- Women trained in various activities
- Changes in literacy rate of women, health, and nutrition
- Changes in time spent by women on domestic and farm activities (division of labour)
- Change in women's income, expenditure, and savings
- Position of women in different statuses
- Women as land-owners and loan-takers

- Indicators for Environmental Issues

- Degree of rehabilitation of degraded and critical areas
- Community forests protected, managed, and utilised
- Forest area increased
- Biodiversity increased and protected
- Landslides, soil erosion, and floods decreased
- Water source increased and protected
- Incidence of environment-related disease, disasters, and accidents decreased

- Indicators for Health and Nutrition of Children

- Weight and height of children by age-group
- Pattern of food and diet
- Rate of food consumption
- Social support services
- Access to medical services
- Infant mortality rate
- Incidence of diseases

The indicators for assessing monitoring and evaluation must be identified when the project's objectives and goals are set. The group must develop indicators in order to avoid negative consequences. Pre-identification of indicators enables participating farmers to follow appropriate and positive actions in order to achieve the intended objectives of the projects or programme. It also increases awareness in the farmers' community about the importance of PME and helps them change their priorities

and actions, which, in turn, helps to sustain the projects and the programme.

Tools

After designing the indicators, tools to measure the indicators should be decided upon. Some PRA tools can be used to collect data and information for PME. Participatory mapping, pie-charts, SSI, wealth-ranking, participatory group discussion, and field observation are some of the important PRA tools. At the community level, the beneficiaries, user groups, or farmers' community can also collect the data through discussion among themselves and direct observation of activities at the site.

Data should be collected in a simple form, in the local language, and at regular intervals (monthly, quarterly, half-yearly or yearly, etc).

Since monitoring and evaluation is an on-going and regular process, appropriate tools for participatory monitoring and evaluation of any field-level activities include:

- participatory field visits,
- discussion among farmers, and
- interviews with individual farmers.

PME Charts and Formats

Data once collected should be presented in an accessible and readable format, with charts and graphs, on a regular basis. This format should represent the progress or achievement of each activity designed to meet the project's specific objectives. For PME, the format should be made as simple as possible so that any farmer can understand and fill in data. Information can be recorded by figures, diagrams, or by any other symbol, as suggested below.

| User group's progress report for the month of January 1997 | | | |
|--|---|---|---|
| Programmes | ☺ | ☹ | ☹ |
| Forest supervised | | | |
| Extension programme launched | | | |
| U.G. meetings held | | | |
| Accounts maintained | | | |

☺ = Satisfactory
 ☹ = Good
 ☹ = Bad

There are many formats for PME. Each format should be developed locally, according to which information farmers want to monitor and evaluate. The objectives for PME should be to monitor and evaluate work-plan activities and to trace progress at the grassroots' level. Sample formats for PME are given in the annexes.

Application of PME

PME has been found especially valuable for small-scale rural development projects in many developing countries.

Participatory monitoring and evaluation of a project is entirely the responsibility of the farmers' community. It is a self-reliance and self-help oriented practice for project monitoring and evaluation. PME serves three purposes:

- improves the farmers' efficiency and effectiveness in project management and decision-making;
- increases awareness and understanding of the various aspects of project planning and implementation; and
- strengthens and enhances the spirit of collaborative action and networking among farmers to make the project more beneficial for meeting their requirements.

PME is generally used to

- maintain records of progress;
- assess inputs, outputs, and impacts;
- obtain visible signs of achievement;
- indicate the timeliness of inputs;
- provide a data-base for discussion, review, planning, and decision-making;
- develop a basis for constructive changes in policy and for planning project activities; and
- justify the evidence of a project's effectiveness.

Advantages of PME

PME is a participatory process that not only improves the capability of individual farmers to plan and manage their own resources but also empowers and equips groups of farmers to make appropriate decisions about management by increasing their knowledge, skills, and capabilities. It will help farmers and their groups manage their resources by:

- increasing cooperative and collaborative action;
- adopting participatory or self-help strategies for community development;
- making wise and meaningful use of resources;
- learning things by seeing and doing;
- improving the status of women and other disadvantaged groups;
- sharing risks and responsibilities;
- increasing understanding and ability to solve problems;
- protecting the environment and increasing productivity; and
- ensuring the sustainability of local resource management.

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PME is generally used to

- maintain records of progress
- assess inputs, outputs, and impacts
- obtain visible signs of achievement
- indicate the timeliness of reports
- provide a data-base for discussion, review, and decision-making
- develop a base for constructive criticism and for planning projects between and among communities
- justify the evidence of a project's effectiveness

Advantages of PME

PME is a participatory process that has the capability of individual farmers to plan and manage their own resources but also empowers and equips farmers to make appropriate decisions about management by increasing their own capabilities. It will help farmers to use their resources by

- increasing confidence and awareness
- increasing participation in decision-making
- increasing the sustainability of local resources
- ensuring the sustainability of local resources

References

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Data should be collected in the local language and in a format that is easy to use. Data should be collected on a regular basis (e.g. weekly or monthly) and should be used to monitor and evaluate the progress of the project. The format should represent the progress or achievement of each activity designed to meet the project's specific objectives. For PME, the format should be simple or as simple as possible and should be easy to use and fill in. Data should be collected on a regular basis, or by agreement with the community.

PME Cards and Formats

Data once collected should be presented in a readable format. The format should be simple or as simple as possible and should be easy to use and fill in. Data should be collected on a regular basis, or by agreement with the community.

| PME Cards and Formats | |
|-----------------------|---------------------|
| Account monitoring | U.C. meeting lists |
| Forest registers | Community registers |
| Local level | Local level |
| Local level | Local level |
| Local level | Local level |

There are many formats for PME. Each format should be developed locally according to which information is needed to monitor and evaluate the progress of the project. The format should be simple or as simple as possible and should be easy to use and fill in. Data should be collected on a regular basis, or by agreement with the community.

Annex: PME Workplan and Activities Monitoring Format

**Name of the Programme: Adult Education
Target Sixty Adult Male/Female Farmers**

Location: _____

Village, Ward No: _____

VDC: _____

| Work Plan Format Activities | Months | | | | | | | | | | | | Status | Rem. | |
|--------------------------------------|---------|--------|--------|---------|--------|-------|--------|---------|-------|------|--------|---------|--------|------|---|
| | Baisakh | Jestha | Ashadh | Shrawan | Bhadra | Aswin | Kartik | Mangsir | Poush | Magh | Falgun | Chaitra | | | |
| 1. Site selection | ✓ | | | | | | | | | | | | | | ↔ |
| 2. Participant selection | ✓ | | | | | | | | | | | | | | ↔ |
| 3. Arrangement of teachers | | ✓ | | | | | | | | | | | | | ↔ |
| 4. Arrangement of teaching materials | | ✓ | | | | | | | | | | | | | ↔ |
| 5. Arrangement of class/ lectures | | | ✓ | | | | | | | | | | | | ↔ |
| 6. Class start | | | | ✓ | | | | | | | | | | | ↔ |
| <u>Activities Monitoring Format</u> | | | | | | | | | | | | | | | |
| 1. Site selection | ✓ | | | | | | | | | | | | | | ↑ |
| 2. Participant selection | ✓ | | | | | | | | | | | | | | ↑ |
| 3. Arrangement of teachers | | ✓ | | | | | | | | | | | | | ↑ |
| 4. Arrangement of teaching materials | | ✓ | | | | | | | | | | | | | ↑ |
| 5. Arrangement of class/ lectures | | | ✓ | | | | | | | | | | | | ↑ |
| 6. Class start | | | | ✓ | | | | | | | | | | | ↑ |

✓ = Work of Schedule

↔ = On Time

⇒ = Delay

Annex: PME. Workplan and Activities Monitoring Format

Name of the Programme: Gully Control
Target: Three gullies

Location: _____

Village, Ward No: _____

VDC: _____

Work Plan Format

| Activities | Months | | | | | | | Status | Remarks | |
|-------------------------------------|---------|--------|-------|--------|---------|-------|------|--------|---------|---|
| | Shrawan | Bhadra | Aswin | Kartik | Mangsir | Poush | Magh | | | Falgun |
| 1 Group meetings | ✓ | | | | | | | | | |
| 2 Site selection | | ✓ | | | | | | | | |
| 3 Users group formation | | ✓ | | | | | | | | |
| 4 Survey, design estimate | | | ✓ | | | | | | | |
| 5 Meeting with UG | | | ✓ | | | | | | | |
| 6 Agreement with UG | | | | ✓ | | | | | | |
| 7 Construction start and continue | | | | | | ✓ | ✓ | | | |
| 8 Completion of work | | | | | | | | ✓ | | |
| Activities Monitoring Format | | | | | | | | | | |
| 1 Group meetings | | ✓ | | | | | | | ⇨ | Lack of decision Users not identified Absence of OS Farmers busy Farmer's busy weak participation |
| 2 Site selection | | x | | | | | | | ⇨ | |
| 3 Users group formation | | x | | | | | | | ⇨ | |
| 4 Survey, design/estimate | | | ✓ | | | | | | ⇨ | |
| 5 Meeting with UG | | | x | | | | | | ⇨ | |
| 6 Agreement with UG | | | | ✓ | | | | | ⇨ | |
| 7 Construction start and continue | | | | ✓ | | | | | ⇨ | |
| 8 Completion of work | | | | x | | | | | ⇨ | |

✓ = Work Done on Schedule

x = Work not Done

⇨ = Delay

⌋ = On Time

Annex: PME Workplan Format and Activities Monitoring Format

Name of the Programme: Community Plantation

Target: 60 ha.

Location: _____ **Village, Ward No:** _____ **VDC:** _____

| Activities | Baishakh | Jestha | Ashadh | Shrawan | Status | Remarks |
|----------------------------------|----------|--------|--------|---------|--------|---------|
| a. Site selection | ●⇕ | | | | | On time |
| b. Users group formation | | ● | | | | On time |
| c. Estimation | | ● | | | | On time |
| d. Site preparation for planting | | ● | | | | On time |
| e. Plantation | | | ● | | | On time |

Activities Monitoring Format

| Activities | Baishakh | Jestha | Ashadh | Shrawan | Status | Remarks |
|----------------------------------|----------|--------|--------|---------|--------|----------------------------------|
| a. Site selection | ○ | ● | | | ⇐ | Slow in decision making |
| b. User group formation | | ● | | | ⇕ | On time |
| c. Estimation | | ● | | | ⇕ | On time |
| d. Site preparation for planting | | ○ | ● | | ⇐ | Lack of labour/ participation |
| e. Plantation | | | | ● | ⇐ | Busy period of farmers community |

● = Complete,
○ = Delay,

○ = Partially Complete,
⇕ = On Time

Annex: PME Workplan and Activities Monitoring Format

Name of the Programme: Agro-forestry
Target: Fifty households

Location: _____

Village, Ward No: _____

VDC: _____

| Work Plan Format | Months | | | | | | | | | | | | Status | Remarks | |
|-------------------------------------|---------|--------|--------|---------|--------|-------|--------|---------|-------|------|--------|---------|--------|---------|---------------------------------------|
| | Baisakh | Jestha | Ashadh | Shrawan | Bhadra | Aswin | Kartik | Mangsir | Poush | Magh | Falgun | Chaitra | | | |
| 1. Group meetings | | | | | | | | | | | | | | On time | |
| 2. Farmers' selection | | | | | | | | | | | | | | On time | |
| 3. Farm survey | | | | | | | | | | | | | | On time | |
| 4. Design/estimate | | | | | | | | | | | | | | On time | |
| 5. Group formation | | | | | | | | | | | | | | On time | |
| 6. Agreement | | | | | | | | | | | | | | On time | |
| 7. Farmers' meeting | | | | | | | | | | | | | | On time | |
| 8. Seeds/seedlings distribution | | | | | | | | | | | | | | On time | |
| 9. Planting/work completion | | | | | | | | | | | | | | On time | |
| Activities Monitoring Format | | | | | | | | | | | | | | | |
| 1. Group meetings | | | | | | X | | X | X | | | | | | Farmer's busy |
| 2. Farmers' selection | | | | | | | | X | X | | | | | | " |
| 3. Farm survey | | | | | | | | | X | X | | | | | " |
| 4. Design/estimate | | | | | | | | | X | X | | | | | Lack of participate & resource person |
| 5. Group formation | | | | | | | | | | | | | | | Arrangement delay |
| 6. Agreement | | | | | | | | | | | | | | | |
| 7. Farmers' training | | | | | | | | | | | | | | | |
| 8. Seed/seedlings distribution | | | | | | | | | | | | | | | |
| 9. Planting/work completion | | | | | | | | | | | | | X | | |

..... Work Schedule
 X Not on Schedule

Annex: PME Formats for Target Monitoring and Evaluation

Plantation (Fodder and fuelwood)

| Sites | Area of Plantation | No. of fuelwood trees planted | No. of fodder trees planted | No. of seedlings survived | No. of seedlings dead | General condition of plantation | | | |
|-------|--------------------|-------------------------------|-----------------------------|---------------------------|-----------------------|---------------------------------|------|--------------|------|
| | | | | | | Excellent | Good | Satisfactory | Poor |
| A | --X | OO▲ | OO▲ | OOO | OO | | | ✓ | |
| B | --/ | OOO⊖ | OOO | OOO ⊖ | OO | | ✓ | | |
| C | -- | OOO ⊖ | OO⊖ | OO | OOO ⊖ | | | | ✓ |
| D | --/ | OOO O | OOO⊖ | OOO OO | ⊖ | | | | |

Legend

- /x = Area [_./, X = whole, half, quarter etc.]
- OOO▲ = Example = 5+5+2.5+1.25 = 13.75 ha./Ropani/any local unit
- ✓ = Number of plants (= Whole number; = Half; = quarter, = Half quarter, Example = 1000+500+250+125 = 1875 seedlings

Annex: PME Formats for Target Monitoring and Evaluation

ii. Gully Control

| Gully Site | No. of Check dams | No. of loose stone check dams | No. of galvanized wire check dams | No. of brush wood check dams | Area protected | General condition of work | | | |
|------------|-------------------|-------------------------------|-----------------------------------|------------------------------|----------------|---------------------------|------|--------------|------|
| | | | | | | Excellent | Good | Satisfactory | Poor |
| A | | | | | - / | ✓ | ✓ | | |
| B | | | | | - / X | | | | |
| C | | I | | | - X | | | ✓ | |
| D | | | | I | - | | | | ✓ |

Legend

- || = Numbers
- /, X = 10 ha., 5 ha., 2.5 ha., etc.
- = Grading

Annex: PME Formats for Target Monitoring and Evaluation

iv. Social Programme

| Months | No of Lecturers | Female Participants | Male Participants | Male & Female Participants | General condition of the work | | | |
|--------|-----------------|---------------------|-------------------|----------------------------|-------------------------------|------|--------------|------|
| | | | | | Excellent | Good | Satisfactory | Poor |
| 1 | | ○○○ | ○○ | ○○○○ | ✓ | | | |
| 2 | | ○○ | ○ | ○○○ | | | ✓ | |
| 3 | | ○ | ○ | ○○ | | ✓ | | ✓ |
| 4 | | ○○○ | ○○○ | ○○○ | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |

Context Paper Five

Mainstreaming Gender in Participatory Watershed Planning, Monitoring and Evaluation

Background

The moment the issue of participation in watershed management is mentioned, a question arises: who are the participants? Krosschell (1997) discusses this in detail and attributes achievement of sub-optimal results to gender-blind project formulations. She lists five myths about gender in watershed management which are responsible for the invisible position of women in the ecosystem.

- Women only do domestic work
- Each member of the family shares benefits equally
- Technology will automatically benefit both men and women equally
- Women's voices will be heard through their male counterparts
- Women are incompetent at carrying out certain activities

Disproving this hypothesis are some bare facts about women

- Women constitute half the world's population
- Women perform two-third of the world's work hours
- Women receive one-tenth of the world's income
- Women own less than 1/100th of the world's property

The debate on women in development started in the 1970s when development projects failed to yield desired results. At this time the complete absence and invisibility of half of the world's population on the development project design forum was recognised and accepted by planners and policy-makers. Gradually, women in development (WID) programmes were replaced by the 'gender and development' concept in which gender-related activities and impacts are examined from a broader perspective and not restricted to women only.

All over the world, commonalities amongst gender roles and responsibilities are affected by the circumstances of women's lives (Thomas-Slayter, 1993). These include the following.

- environment
- economic conditions
- occupation

- class
- culture
- national history
- household circumstances
- legal structures
- religion

As resource productivity declines across the globe, the cash economy pushes people towards wage earning, in both rural and urban areas. This global phenomenon affects rural communities through:

- extensive out-migration,
- more time-intensive work for those left behind,
- growing number of women-led households,
- newly-acquired responsibilities of women without access to resources,
- new norms and expectations in fragmented families,
- changes in gender and generational perspectives, and
- shifts from exchange work groups to wage labour.

The transformations are driven by a number of localised variables and watershed inhabitants have a very special role in ecological balance:

- transforms gender roles,
- leads to out-migration,
- increases the hours women work,
- pushes rural men and women to find new methods for protecting and stretching their livelihoods, and
- precipitates further decline of the resource base.

Examples Where Needs Are Generated

The following case studies outline increases in women's drudgery due to ecosystem degradation.

- Karnataka, India - Social forestry was designed to reduce the pressure for biomass on the forest. The forest department afforested degraded lands with exotic cash species after consulting 'people'. Women subsequently had to travel further to collect fuelwood for daily use.

- Garhwal, India - Biogas plants were commissioned to save women's time. The slurry had to be moistened with water. Carrying this extra water to the biogas plants takes more hours of women's time than was required to collect fuelwood for household use.
- Machakos, Kenya: Women previously got water from sand. Nairobi builders removed sand for construction purposes and women had to travel five hours further to collect water.

Why Design Gender-sensitive Plans?

Identifying the problem is the first step in the process of evolving gender-sensitive strategies to address development concerns in watershed ecosystems. A set of tools has been developed to carry out exercises leading to facts about 'what is' and 'what could have been' in a logical way, respecting the existence and giving weightage to women's opinions. Some questions arising out of women's invisibility are discussed below.

- Where are the women in upland watersheds?

It is important to identify the lacunae and gaps in knowledge about the presence of women in watershed management plans. Women are the most important vectors of watershed ecosystems as resource users and resource losers. Any planning intervention affects them directly (and not indirectly, as many authors state). Often the managers unconsciously leave out women during participatory planning sessions. At the same time, women, due to set norms and traditions, do not notice being left out. Their direct concerns with the watershed may be: replenishing the supply of water from streams and visiting the forest for fuelwood, fodder, medicinal plants, and non-timber forest produce for subsistence.

- What are the basic or practical needs and strategic interests?

Starting with the planning process, women's linkages with natural resources must be identified. Supplying and collecting household water, fuelwood, and fodder are basically women's jobs. Any intervention that alters the supply, consumption, or management patterns of these resources directly impacts the time women spend. Basic needs may be fulfilled by short-term plans while fulfilling strategic needs requires bringing about structural changes over a long period of time. Where long-term structural changes are intended, identifying and analysing all possible linkages of development interventions are crucial.

Caselet – from Garhwal, India

The introduction of a hybrid variety of cow yields more milk. This leads to economic upliftment, but supplying hybrid bulls is far from helpful in subsistence

agriculture. This is because the small cropping terraces in the hills need bullocks with humps which can jump up and down easily. The bulls from hybrid cows without humps cannot jump, and so a parallel army of native bulls has to be maintained. They are also fed fodder, thereby multiplying the burden of fodder collection on women. This is why women's participation in planning is required before introducing such interventions. Forest areas have also been put under pressure for more fodder.

This intervention was clearly designed to address a strategic interest. It has increased economic outputs for men from selling the extra milk; at the same time, however, it has increased the time consumption of women. This caselet answers the first question: What is getting better and what is getting worse as a result of a development intervention? The assumption that people do not respond enthusiastically to this disproportionate distribution of resources may also be answered by this example.

- Division of labour between genders - The division of labour between men and women is very peculiar in the developing world. Women's work includes most of the economically unproductive household activities which go unnoticed because no price is paid for this work. Tradition assumes them to be women's duty. During planning meetings, one of the following situations may arise regarding women's active participation.

- Women do not come at all because the scheduling is such they are busy elsewhere and do not prioritise the meetings over and above their other occupations.
- Women come and participate in neutral or passive ways, neutral when no one bothers to communicate with them and passive when certain gender-specific programmes are thrust upon them.
- Women follow what is happening and can express themselves when people are willing to listen to them. This is an ideal situation out of which the most productive results are obtained.

- Barriers to Women's Participation:

The barriers to participation in expression and communication apparent in the first two situations above result from three causes.

- Situational - Women are busy with household chores and find participation inconvenient because ultimately this will add extra working hours for them. They want to finish their work quickly.
- Dispositional - Traditions restrict women from talking before their elders, unknown and outside persons, and even in the presence of their adult sons. They live with the notion that they remain

under the protective cover and natural advice of father, father-in-law, brother, husband, and son. They feel no need to overcome these social boundaries.

Institutional - Managers and facilitators of the programme planning process often use slogans loaded with words like 'people', 'below the poverty line', 'beneficiaries', or 'children' without internalising these words to always refer to men and women, boys and girls. This is a major reason why women remain invisible during the planning or monitoring stages of watershed development programmes. In addition, these managers see women as resource-depleting agents and over time have developed a certain aversion to their presence. This hinders them from taking the initiative to include women in the processes. These factors hamper successful implementation of watershed development projects aimed at equitable delivery of social goods and services. Thus, women's drudgery is not reduced and female literacy rates, food quality, or health status are not improved. Legal provisions favouring women generally turn to be neutral or passive. In most Indian states, equitable distribution of land between male and female offspring is provided for by law, but the practice of sisters waiving rights to their shares in favour of their brothers is based on deeply-ingrained traditional understandings. Contrary to this, the provisions in Nepal are heavily male-biased, leaving no room for claims on family land by women (Anonymous 1994).

Tools of Gender Analysis

Various usable tools have been developed to identify and measure the participation of women in development interventions. Kabeer (1994) developed the Gender Analytical Framework (GAF) to work out causes and effects in terms of institutional sites against vectors as rules, resources, practices, and people involved. The concept of socioeconomic gender analysis floated by Thomas-Slayer (1995) also holds good for explaining the impact of several vectors working in tandem with the social status. Kabeer's explanation, however, is simple and the objectivity is greater for testing the strength of any intervention at various institutional sites.

Different strategies planned to address structural changes desired in the current system may be analysed through the GAF to test their success and identify lacunae which need further probing and redress. One instance of a development intervention providing a biogas plant to a village is worked out below to highlight the issues of what went wrong and who lost from this long-term solution which was envisaged in plans to alleviate women's drudgery.

The instance quoted above reveals the gap between goals envisaged in the plans and the results achieved in reality.

Kabeer's concept of GAF has provided an acid test designed to authenticate the practical value of development interventions while other authors have offered a number of profile analytical tools which directly test their dispositions. The presence of various factors, contexts, resources, and gender roles at these institutional sites results in a musical chair-like game. This is especially evident in the context of developing nations where interventions aimed at rural support and empowerment from within are important vectors of much sought-after sustainable means of development. Wilde and Vainio-Mattila (1995) and Thomas-Slayer et al. (1995) have hypothesised the objectives of using these tools. In the context of participatory watershed management, the objectives of gender analysis may be as follow.

- To multiply the effectiveness of integrated development by using gender-disaggregated information on the separate linkages of men and women with different components of a watershed.
- To lead to positive social impacts of watershed management in terms of the access of men and women to resources derived or used from watersheds.
- To increase the possibility of success as targets are singled out, complex webs of interactive institutional sites identified, and then specific strategies designed to address development needs.
- To SEE the three principles of Sustainability, Equity and Effectiveness.
- To help make efficient use of scarce, limited resources by the community - the most significant reason.

The Gender Analytical Framework refers to answers developed to key questions related to the process of investigating the roles played by men and women in any

Table 1: Gender Analytical Framework

| Institutional Site | Rules | Practice | Resources | People | Power |
|--------------------|--|----------|-----------|--------|-------|
| 1. State | To install a biogas plant in homes which can't afford fuelwood | | | | |
| 2. Community | To install it in less affluent households | | | | |
| 3. Household | Women will maintain it | | | | |
| 4. Market | | | | | |

given place at a given time. One framework may not be suitable for different places at the same time or for the same place at different times. Four major steps are identified in this exercise.

First Step - Context Profile or Force-Field Analysis or SWOL Analysis

In a watershed ecosystem, the major patterns affecting development are as follow.

- Environmental: topography, biomass, water resources, soil erosion, recharge
- Social: education, health, population
- Institutional: what development agencies are visiting the area and with which schemes and programmes? to whom do they talk? with men or/and women?
- Political: Community dynamics amongst people, class, caste, power, leadership and usufructuary sharing
- Economic: income, tools and technology and access to work types by men and women

This analysis answers who gets what and who needs what.

Before querying gender roles, looking at the context in which the probe is carried out gives an overview of vectors working in the physical and biological environment along with their enabling and hindering intensities. A number of further findings are correlated with these vectors.

Second Step – The Gender Analysis Activity Profile (GAAP) describes the context of the watershed where one is trying to analyse who does what? where? and when? GAAP is designed to probe the linkages of each gender with the time and location of the activities they carry out. Knowing the sites where the two genders work makes planning programmes easier. The site of these activities may be one of the following.

- State holdings like government-owned lands, forests, uplands, and lowlands where common property resources of fodder fuelwood, and water are distributed. These are the seats of productive as well as reproductive activities.
- Community common lands with rights and reservations of the community, yet whose uses are decided by community activities.
- Markets where economic forces are working to decide barter returns and returns for other productive activities.
- Households where mostly reproductive activities related to maintenance are carried out and significant time is consumed.

GAPP answers the questions who does what in terms of gender. This profile can also draw out the amount of time invested by each sex on a daily basis.

Third Step - Resource Access and Control Profile

This defines which resources of a watershed are available to women and men separately and who uses them, who derives benefit from them, and who controls them. The resources may be the means of agricultural and animal production, land, capital, labour, knowledge or skill, opportunities for income and employment, health services, etc. It is also necessary to differentiate between access and control as women's access to small wood from an agroforestry plantation may not imply that they control the plot for its economic returns over a rotation period.

The locations in terms of institutional sites of these resources may also restrict their use or control by women. For instance, most of the resources and services of the state and market are apparently inaccessible to women unless designed for a woman-specific use (like sewing machine and stitching training schemes). This indicates who needs what and who gets what.

Fourth Step - Programme Action Profile

For strategic planning, information generated through steps I, II, and III is used as raw material and projected in the framework to address the desired activities with special reference to participation from men or women. This step also defines the course of action desirable to make their specific participation possible at intended work sites. Individual opinions on future action plans from men and women may yield useful recommendations referring to changes in the primary project structure in order to make it viable and beneficial, especially to women (Anonymous 1994).

Means of Analytical Framework

RRA tools help in collecting gender-disaggregated information. These tools may help identify the perspectives in which participatory watershed management has to be carried out and the vital linkages to focus on, e.g., livestock, forestry, and agriculture. RRA also identifies five gender-specific aspects:

- Co-operation
- Complementarity
- Co-existence
- Competition
- Conflict

With these strengths, the gender analysis provides a strong base for planning, implementing, monitoring, and evaluating interventions addressing upland watershed ecosystem needs.

Various tools of PRA can be tested in this framework for the four aforementioned profiles.

Table 2: PRA Tools for Gender Analysis

| S. No | Profile Tool | Framework of PRA as a tool for GA | | | |
|-------|-----------------------|-----------------------------------|----------|----------|--------|
| | | Context | Activity | Resource | Action |
| 1. | Mapping/modelling | ✓ | | ✓ | |
| 2. | Transect | ✓ | | ✓ | |
| 3. | Seasonal Analysis | | ✓ | ✓ | |
| 4. | Trend diagramming | ✓ | | | |
| 5. | Matrix Ranking | | ✓ | ✓ | ✓ |
| 6. | Wealth Ranking | | | ✓ | |
| 7. | Chapatti/Venn Diagram | ✓ | | ✓ | |
| 8. | SWOL | | | | ✓ |

These tools may simultaneously elicit information required for more than one analytical framework. Since it is an almost foolproof method of appraising resources, conditions and services, it is used widely in GAF.

Bangladesh: Chandpur Irrigation Project (CIP) - The CIP was designed to (i) increase agricultural production, (ii) increase agricultural employment, and (iii) improve the living standards of the people in the area. It finally resulted in (i) increase in paddy output -> increased poultry raising by women -> marketing by husbands and sons. (ii) People had to buy home food ten times more than their neighbours as winter crops were not grown for subsistence in CIP villages. (iii) Women in non-CIP villages derived 20% of their income from vegetable sales compared to 5% in CIP villages. (iv) Investments on male child education went up while dowry rates increased for girl children. (v) Continuous electricity supply failures hampered farmers' plans, causing deduction in expected outputs (Overholt 1991).

This case study strongly suggests what happens to development interventions and can be tested on gender analysis profiles for:

- what is getting better?
- what is getting worse?
- who does what?
- who has what?
- who needs what? and
- how to bridge gaps between the needs of men and women and what development delivers?

India: Adgaon and Kamalpur - The Participatory and Integrated Development of Watersheds (PIDW) showed a few striking patterns emerging in both locations. In both, different castes and communities have had different starting points of advantage and lack of privilege. The absence of women in core areas of watershed management has resulted in a skewed capacity base between men and women. Organising Sanghas by MYRADA in Kamalpur offered opportunities for women to be introspective about their issues and created platforms for sharing. This enabled them to achieve representation in district-level committees. It also enlarged the work universe of men with stronger empowerment. In Adgaon, women were not included in plans and the amount of work carried out by them increased, while economic gains

to men increased. The striking fact is that there was no assumed change in their identity (Ramaswamy and Vasudevan).

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Context Paper Six

Developing Communication Skills for Participatory Upland Watershed Planning, Monitoring and Evaluation

Introduction: Power of Communication

Communication, based on the process of sharing information, is the chief medium giving the human species control of the planet. The unfortunate part of resource management at bureaucratic levels is that the word 'sharing' is eliminated; during planning, monitoring, and implementation stages, information remains to be 'delivered' only, meaning one-way communication. The paradigm shift to participatory approaches today has opened the gates of the concept of sharing. The importance of sharing information now occupies the centre stage of the planning process. Some of the key routes to successful methods of communication are outlined below.

Hearing and Listening

Communication will be effective if messages are provided to suit the social, cultural, and professional interests of the audience. Hearing refers to mere audible receptions on a physical basis without internalising the underlying messages. Often it depends on some of the factors listed below.

- Perceptions of the speakers
 - Seriousness given to speech
 - Depth of objectivity
 - Relevance for speaker
 - Physical environment in which it is delivered
 - Size of audience to whom it is addressed
 - Target audience
 - Manner of speech delivery: gestures and postures
 - Emphasis on words, phrasing and paraphrasing
 - Structure and design of delivery
- Perception of the audience
 - Seriousness of listening
 - Relevance realised
 - Physical environment - time and space of the day
 - State of mind
 - Level of interest

All these factors together have a strong impact on the success of communication between two parties. The watershed programme managers may have outstanding packages for delivery, but the general 'officialdom' culture becomes a barrier in the smooth transfer of the messages and intentions of programme managers to the people at the receiving end. Well meaning officials in the government sector may be able to design plans for integrated watershed management without any participation from the beneficiaries. This attitude leads to the failure of people to come forward to receive such plans unless they get a direct benefit, and that too, visible cash benefit.

In cases where participation of men and women has been sought at the planning stage by using an easy and strong communication channel, the people have come out with novel ideas to support plans on many mundane issues which were invisible to official planners.

Body Language: Gestures and Postures

The physical positions taken by everyone exchanging information are important, as they become a deciding factor in getting information through. The movement of hands and eyes plays a significant role in the reception and delivery of information. Levels of standing and sitting are also significant in deciding the acceptance. Listening is the art of instantaneously internalising messages by the audience. Different culture have different gestures, while some have none. Active listening includes:

- nodding,
- paraphrasing,
- eyeball movements,
- gestures of hands, palms, and
- shirks and empathising with the speaker

The factors affecting the listening of the audience are:

- perception: the clouds around them
- physical environment - time and place
- interest and curiosity
- shirks and empathising with speaker

The level at which the audience participates in communication is a direct indicator of listening. Their interest can be reflected by their eyeball movements, nods, comfort, and ease of sitting or standing postures, etc. Listening, in short, carries messages right from the ears to the mind and initiates a thought process to reflect back on the message.

These examples are visible during PRA or APA sessions in which people shred their physical barriers and become involved in the planning process with all their effort and efficiency to highlight the processes of importance for themselves.

Empathy

The meaning of empathy, stepping into another's shoes, if internalised by trainers and programme managers, can bring about the process of delivery and acceptance much more easily. Ice-breaking and further meetings are essential starters for inviting participation. Fortunately, empathy requires no extra investment or burden on the project cost! It is very easy to speak the language of the people for whom the planning package is being designed. Also, it contributes to bridging the identity gap between officials and people and the two-way flow of ideas and information starts.

Communication in Participatory Planning, Monitoring & Evaluation

If the person trying to sell a programme package is aware of these clouds, the communication delivery yields better results.

Some of the tips for better feedback on participatory communications are as follow.

- Be of interest
- Be timely
- Be understandable
- Be simple
- Be convincing
- Be participatory

Watershed Management Programmes in the Shivaliks have divided the major tasks required of the three main participating agencies, as summarised in Table 1.

And finally, this has resulted in excellent achievements at social and personal levels for the people involved. Rambai of Rishikesh glows with happiness: "Look at these wedding invitation cards on my rack. This directly reveals the respect and recognition I have received from villagers, for whom calling me, a widow, to functions was previously taboo. Now with my hard work delivering the message of integrated watershed development, as a woman from among them, all this has changed." During the planning process, participation is desirable to enable people to think about:

- what we have?
- what we need?
- how much and from where we will get it?

Developing a Communication Support Programme (CSP) for Watershed Management

Communication support is the coordinated use of different communication methods for the purpose of focussing attention on and offering a solution to a specific problem (Assifi and French 1984). This tool must be developed for the clientele it is meant to address and should include the following elements.

- Formulating specific objectives aimed at solving significant problems, like (checks for) excessive soil erosion and how PRA can be semi-structured to discuss this during joint sessions.
- Focus on a few critically important messages, e.g., how much fertile soil is lost annually, decreases in water recharge, declines in household water availability.
- Expressing these messages in live, attention-holding ways to leave an impact on the audience.
- Using a variety of communication channels to break the monotony and to reach the audience.
- Repeating important messages in various ways over a sustained period of time.

BOX 1 Cloud Model

The perceptions of the cloud model help people identify the background and state in which people are living and contribute to the instantaneous development of empathy. These clouds are as follow.

- | | |
|-----------------|--------------------------|
| • National | • Cultural |
| • Environmental | • Family |
| • Physical | • Nutritional |
| • Gender | • Residential |
| • Educational | • Individual Preferences |
| • Economic | • Social |

Table 1: Watershed Management Programmes in the Shivaliks

| S. No | Project Agencies | Facilitators, NGOs and Consultants | People's Groups (Gramin) |
|-------|--|--|---|
| 1. | Motivating and counselling people to develop small groups | Training and documenting activities and process | Forming cohesive groups with delegated leadership within |
| 2. | Encouraging joint planning and implementation through large-scale PRA | Developing methodology and refining skills | Carrying out an inventory |
| 3. | Developing operation and maintenance methods and procedures | Case studies and facilitation carried out | Sample surveys developed and reporting for monitoring the project, frequent reviews with project people |
| 4. | Utilising information, exchange and direct communication for feedback through reporting and meetings, identifying further training needs | Developing training materials, extending suggestions and views on the process to officials | Planning and participation in meetings, workshops, and study tours |
| 5. | Introducing the private marketing sector to assist farmers and entrepreneurs for homestead industries required | Organizing meetings and training as people's programmes, sharing their views and extending solutions to their problems | Disseminating positive feedback to other villages in the area, sharing secrets of success with them |

- Messages should not only inform but should also motivate people to take action.
- The entire process should be planned well in advance and the perception of the audience should be carefully kept in mind.
- Systematic monitoring and evaluation of whether the objective of delivering the message is being achieved.
- The effort should be carried out by a team and administered by a single manager to eliminate overlaps.

Steps in Planning CSP

- Problem/Policy Analysis
- Situational Analysis
- Audience Analysis
- Communication Objectives
- Communication Strategy
- Inventory of Activities
- Management Plan
- Media Production Plan
- Staff Training Plan
- Monitoring and Evaluation Plan

There are three main stages in CSP

- Planning
- Preparation
- Implementation

The message for the target groups can be reached through the following media channels.

- Flip-Charts (most simple speaking tool)
- Boards (portable, effectively conveying message)

**BOX 2
Thailand**

Mae On Irrigation Project with Joint Management emphasised:

- Joint problem-solving
- Maintaining open and active communication
- Establishing joint decision-making mechanisms and procedures that allow both parties to express opinions and address problems
- Sensitising the parties to each other's problems and limitations
- Equitable sharing of accountability, benefits, and opportunities
- Maintaining appropriate attitudes towards each other
- Stimulating improvement in each other's capabilities
- Sharing risks of actions required for sustainability and efficiency

- Models (simulating real forms, effective)
- Slides (depiction of actual objects)
- Transparencies (can combine objects with messages)
- Blackboards (most widely available in village scenes)
- Videotape (very effective for attracting crowds)
- Films (strongly effective for attracting all age groups)
- Audio tapes (only after initial segregation has occurred)
- Games (directly involves audience, DIY theory works and full participation achieved)
- Wall Charts (can stay and speak afterwards too)
- Extension kits (can be handled behind also)
- Drama (staging and copying things that are and can be)

Communication Objectives in Participatory Watershed Management

The ABCD approach (Assifi and French 1984) for identifying and defining communication objectives may be applied for effectively achieving desired levels of participation.

- **Audience:** The target group for communication is going to be:
 - the people during PRA, and
 - the officials and NGOs as partners.
- **Behaviour:** The expected changes to be reflected at the end; certain indicators may be developed for this, e.g., if a man or woman from the group can ask a question, this reflects changed behaviour.
- **Condition:** To determine when and under what conditions this change is expected to occur, the time and physical environment in which communication is carried out must be defined. For instance, very powerful means of communication may fail to invite women's participation if carried out during the prime hours of her productive roles and responsibilities.
- **Degree:** The extent of change expected should be specific and means of verifying this level of change should also be defined. If communication is successful, it can invite up to 70 per cent of women's

participation in rural areas, a high level for developing countries.

Organizing Monitoring and Evaluation in Watershed Management

The bureaucratic structure and cultural barriers to a transparent and unbiased communication of monitoring and evaluation outcomes are still far from being eliminated from South East Asian cultures. Without compromising with straight statements of facts, some suggestions to achieve successful communication of sensitive evaluation findings are outlined below.

- Direct personal communication is more appropriate than public exposure and sharing information with everyone.
- Smaller group discussions prove to be better than larger meetings.
- Self evaluation of shortfalls should be encouraged.
- Officials should be educated about the role of evaluators.
- Culturally appropriate channels need to be identified and suitable terms of communication may be evolved.

On communication of results and monitoring parameters, it is necessary to focus on who needs it.

- Project beneficiaries: Persons or groups who participate directly with the project
- Project staff: Field staff, administrators, trainers
- Community: Including non-beneficiaries
- Other communities: Close by, fringing the target
- National Headquarters: Country and programme managers
- Donors: Sponsors of the project
- Other development agencies: Those working in related fields, line departments

The field staff should facilitate and help out by suggesting tools, if and wherever, necessary. These may be to establish:

- the purpose of participatory monitoring and evaluation,

Table 2: Staff of a project in Thailand described leadership traits to distinguish a Participatory Style from an authoritarian one

| | Authoritarian | Participatory |
|-----------------|---|---|
| Information | Keep for one's own use | Share & seek |
| Judgement | Judging alone, use experts | Seek advice from people |
| Decision-making | Decides/consults superiors | Jointly deciding on a rational basis |
| Commitment | By pressure, sanctions | Through persuasion and delegation of authority |
| Co-ordinate | Distributes assignments, works with each person, keeps overall picture out of other's reach | Seeks commitment to overall objectives and agreement from those who implement |

- what will be monitored,
- how the variables will be monitored,
- who will monitor and conduct ongoing evaluation,
- when the monitoring will be done,
- the tools that will be used to monitor, and
- who will want the information and how it should be presented.

Initial identification of the existing style is essential to outline the desired changes in personal behaviour.

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Context Paper Seven

Participatory Tools and Techniques of Participatory Rural Appraisal (PRA)

A Critical Review of Development Paradigms

Development has been defined and understood in various ways at different points of time. Following the Second World War, in about 1950, it came to be understood as growth in income where the focus was on transferring western aid to Third World countries. Development in this era was defined as growth in per capita income; the belief that higher transfers of capital from developed countries to developing countries would lead to faster changes in per capita income in the latter countries. The result of this approach was that poor people were not reached at all. By 1960, the focus shifted to social progress through transfer of technology from the west to the east. The focus was, however, not only on increased per capita income but also on health, education, and other social factors. This time the attempt was to achieve development through social rather than economic means. But, as people were considered to be passive recipients as in the previous model, this approach also failed to benefit people much; the poor were rather further marginalised.

In view of the past experiences, development in 1970 came to be centred around the concept of integration where development was to be achieved through economic as well as social means. The idea this time was to benefit more people; and thus people were asked to participate in integrated activities by contributing labour and/or cash. Though this approach was relatively more people-oriented than the earlier ones, the problem with this development paradigm was that the plans were top-down and focussed more on local elites or so-called 'leaders'. As such, the rest of the people in the programme area felt neglected and the benefits were taken by a few people only.

Only in 1980 did the real focus of development shift to people, the emphasis was more on people's participation and mobilisation of local resources in all development activities. Accordingly, plans were developed along bottom-up approaches in which local people and NGOs had a major role to play. The development in this era was expected to be achieved through human, economic, and social means. The result was much more positive than before as people could contribute a great deal and realise their potential. Evolving from the liberation concept

of development of 1980 the concept of dialogue as a means to development was realised in 1990 where the focus was on improving the quality of people's lives. This concept is completely a people-centred approach in which the focus for development is on cultural, environmental, human, economic, and social aspects. The approach is based on a participatory process in which it is believed that unless and until the people themselves are involved in all stages of development activities, such as need identification, planning, designing, implementation, and monitoring and evaluation, development is not possible and, even in cases where it seems to be happening, because of significant inputs it will not be sustainable.

Understanding Participatory Approaches and Their Differences from Other Research Techniques

Before discussing the philosophy of participatory approaches it might be useful to develop an understanding of the word 'participation' itself. The concept of participation varies from individual to individual and institution to institution as in the case of development. For simplicity, and to set a proper context in this paper, participation is defined as a learning process by which communities control and deal with change and development and incorporate new knowledge into their existing management system. In other words, the opposite of doing 'for' people is participation 'by' people. With this understanding of participation, a participatory approach can hence be defined as one which deeply respects the knowledge of the local people and creates an environment in which local people can understand their potentials, their capacity, and their power and come to develop their self-esteem.

Certain assumptions of the participatory approach are as follow.

- Development should not be imposed from outside but should flourish from within the concerned community itself.
- Development is possible only through bottom-up planning and should evolve around people's felt needs and aspirations.

- Local people know more than 'development experts' and should be considered as partners in the development process rather than mere beneficiaries.
- A reversal of role between local people and outsiders is needed to empower local people and increase the chances of development projects being successful.

At this point it might also be useful to mention briefly the following basic differences between participatory approaches and other traditional extension practices.

- A participatory approach believes in a global approach, rather than the sectoral approach of other techniques.
- A participatory approach believes that development initiatives should come from the community and not from outside, unlike the traditional approach in which initiatives usually come from outside.
- A participatory approach follows a group approach – to create group dynamics – and not an individual approach, which is mainly the focus of traditional extension practices.
- A participatory approach aims at reinforcing the capacities of local population rather than on the technology transfer of the traditional approach.

Meaning, Basic Components and Principles of PRA

The review of development paradigms presented above showed how the focus of different development approaches prevalent at different times has changed. More recently, the shift in focus has been from a centralized blueprint approach to a decentralized bottom-up planning process. In these changes, a major role has been played by two related families of approaches known as Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA). RRA, which emerged in the late 1970s and early 1980s, focussed more on quickly eliciting, analysing, and evaluating information and hypotheses about rural life and resources. Its further evolution spreading in the late 80s and early 90s, PRA focussed more on ways to empower local people so that they themselves could appraise and analyse their problems and resources, and plan, act, and monitor and evaluate programmes based on local capacity and knowledge. The major difference between RRA and PRA is that information is elicited and extracted to a greater extent by outsiders in the former case, while in the latter it is owned and shared by the local people. PRA originated in the Third World countries, and it has developed and spread rapidly with many innovations and applications over the years. Thus far, it has been more used by NGOs. Recently, its use is also being seen in government systems, especially sectors such as agriculture, forestry, and water.

The commonly-accepted **meaning of PRA** is that it is a way of enabling local people to analyse their living conditions, to share the outcomes of this analysis, and to plan their activities. It is a 'handing over the stick from

outsider to insider' in methods and action. The outsider's role is that of a catalyst, a facilitator and convenor of processes within a community which is prepared to alter its situation. This technique recognises that rural people have a vast pool of knowledge, experience, and expertise which must be used to assess and develop their own plans since such a plan has a higher chance of being effective, successful, and sustainable than plans evolved by outsiders. This method has been recognised as cost-effective and less time-consuming, able to gather information quickly and prioritise development activities, assess the feasibility of projects, monitor progress or evaluate a project. It is an important approach enabling outsiders to learn from rural people about their community. In other words, it is a methodological framework in which the knowledge of local people is taken as the starting point and the outsiders learn from them by using different locally suitable and appropriate methods. The ultimate goal is to identify some possible concrete actions based on a shared understanding of the situation at hand. It is also a means of making development efforts more tangible for the local people.

There are three basic **components of PRA**: facilitation, attitude, and behaviour of outsiders and culture of sharing. In PRA, outsiders act as facilitators and enable local people to do most or all of the investigation, mapping, modelling, diagramming, analysis, presentation, and planning. While applying PRA techniques, outsiders are expected to facilitate so as to try to maximise the effective use of local knowledge, experience, resources, and expertise. The process followed should raise a feeling of ownership on the part of the community towards the project, thus increasing the chances of the project being successful as well as sustainable.

The second basic component of PRA is that the facilitators are expected to follow local norms as much as possible so that local people can feel they are part of their own community. This requires the outsiders or the facilitators to pay attention on every activity such as where to sit, how to listen to local people without lecturing by themselves, appropriate visiting time, respecting local people's knowledge, skill and expertise, taking on an attitude of learning and embracing error.

Finally, continual sharing of information with local people, with other PRA team members, and with other institutions, NGOs, and government is another basic component of PRA that has to be considered by the PRA team members all the time.

The following are PRA's basic principles.

Triangulation: A form of cross-checking by varying team composition, sources of information, and application of tools and techniques. Each team should include both men and women members representing several different disciplines and areas of knowledge. Each phenomenon

should be illuminated from different points of view and studied using different techniques.

Flexibility and informality: There is plenty of flexibility and informality in the PRA process. As long as the PRA team is clear about the purposes of the exercise, the team has every freedom to be flexible and informal in the selection of key informants, sources of information, tools and techniques, and places and processes. The moment the PRA team feels like the selected people or tools or sources are not sufficiently representative, or capable, or adequate enough to get the required information, they can be changed. Similarly, the process is so informal that the team can meet people any time and anywhere suitable.

Iterative and progressive learning: The basic principle in PRA is that the whole learning is from the local people in the community itself. The PRA team listens, takes part in every day activities, and asks to be taught local skills. The team regards the knowledge of the local people as paramount and keeps updating itself as the field work goes on with different individuals and groups in the community. As far as possible, the PRA team should endeavour to see the problems through the eyes of the affected households. This is possible as the team stays in the community until a draft outline of what is to be done in the community is prepared.

Optimal ignorance: The other important principle of PRA is that the team should always try its best to ignore information that is not relevant and useful to the programme objectives. In other words, the whole focus should be given only to the topics and the areas that are of particular concern to the team. The ability to judge what is essential and what saves the time of both the local people and the PRA team also helps the former to contribute more to the whole PRA exercise.

On-the-spot analysis: PRA emphasises on-the-spot analysis that takes place at different times and which can help reach the best level of precision of the collected information. The first level of analysis takes place at the individual level through discussions with local people as individuals and in groups regarding the stated objectives of the exercise. The second level of analysis takes place in groups with other PRA team members and local people in smaller groups using different tools and techniques. The third and final analysis takes place while presenting the findings to a large group of local people in the community. This is when the PRA team will have every opportunity to add, correct, and verify the information collected earlier for its reliability and precision.

Offsetting biases: The process to be followed in PRA is also very well known for minimising or not repeating the biases which are often seen in other research techniques referred to as 'development tourism'. The biases reported in such development tourism include spatial bias, meaning visiting only nearby and easily accessible sites, project

bias, meaning seeing only sites where special efforts are being undertaken to produce some tangible results, and person bias, which means meeting only males who are educated and elites and bypassing the illiterate, poor, marginalised people, and women. Other biases seen in the conventional research technique are seasonal bias when outsiders visit only in the dry and cool seasons, overlooking what happens in the rainy and summer seasons – the time when real problems are exposed in the community, daytime bias, meaning seeing the village only at daytime and not in the morning and evening, and professional bias, which means seeing only that which is of professional interest to the outsiders.

Strengths, Weaknesses and Challenges of PRA

Strengths

The increased use of PRA all over the world in itself is a good indicator of its strength. Nonetheless, a few major strengths that have been commonly reported by researchers and practitioners have been presented below.

- **Raises feeling of ownership:** The process followed in PRA raises local people's feelings of ownership as they are involved from the early stage of need identification through all subsequent phases of project activities. This can then increase people's interest not only at the time of implementing project activities but also at the time of operating and maintaining them.
- **Data collected represent all segments of the community:** As the process involved in PRA tries to cover as much variation as applicable in the community, the collected data can be representative of all groups of people – rich, poor, resourceful, resourceless, men, women, marginalised, women-headed households, etc, so that the plans developed thereafter can meet the needs of all groups in the community.
- **Extensive cross-checking mechanisms:** Another strength of PRA is that it includes extensive cross-checking mechanisms. For example, the data collected from one gender or group is always compared with that of another sex or group. Similarly, information collected through one technique is also verified and cross-checked using another technique. All these mechanisms built in to PRA increase the reliability of the collected data.
- **Transparent:** The whole PRA activity is so transparent that local people will have no problem in understanding what is going on. This saves time of both the PRA team and local people while planning and implementing project activities.
- **Flexibility:** As discussed earlier, the PRA process involves a lot of flexibility as long as the facilitators are clear about their activities and aim for progressive learning.
- **Qualitative and attitudinal information:** Due to the use of different visual aids, diagrams, maps, and

modelling, local people involved in the PRA exercises take them as familiar routine activities. As the process gets into the heart of the local people, it can motivate them to express their inner feelings about the issues being discussed with them. This is seldom possible by the use of other research techniques.

- **User-friendly tools and techniques:** PRA tries to emphasise the use of local materials and resources such as locally available colour powders, seeds, sticks, and leaves as far as possible. Therefore, local people, including illiterate men and women, should have no problem in participating and contributing to the PRA activities.
- **Effective for micro-level planning:** Experience accumulated so far reveals that PRA is very effective for micro-level planning as local people have full knowledge of and control over the local resources. Since PRA believes that every community has a diverse situation, problems should also be dealt with through separate mechanisms. As a result, planning done with smaller groups becomes very effective in addressing group specific needs and problems.
- **Empowerment:** As local people are given every opportunity to initiate the PRA process, and as they are taking a lead in the whole PRA exercise, they feel deeply empowered – the key to successful development projects.
- **Informality:** The informality involved in the PRA process in terms of the use of tools and techniques, selection of key informants and location, and the methods themselves improve the quality of field work.
- **Sustainable:** As almost all PRA activities are carried out in the field itself, a good relationship between the local people and outsiders is built up, thereby increasing the chances of the project activities being sustainable.

Some Weaknesses

Some of the weaknesses associated with PRA are listed below. However, if the PRA process and techniques are used in a systematic way and following the principles of PRA, these weaknesses can be minimised or removed.

- **Not suitable for collecting hard/quantified data:** PRA does not aim to collect hard/quantified data and it is often criticised for this. However, experience has proven that local people are also capable of expressing themselves quantitatively, at least in proportionate terms. Such information is no less reliable than that derived through questionnaires where the information is mostly collected from individuals without any cross-checking provision.
- **PRA practitioners require a lot of skills:** The skill of obtaining accurate and reliable information from purposively selected individuals or groups of people in a short period of time requires building up a good relationship with the community. This depends on the patience, skills, and expertise of the PRA team. It is

therefore important that PRA team members be well-trained before going to the field.

- **Raises people's expectations:** As a number of people become involved in the PRA process at least in the beginning and in the end, it is natural that their expectations may be raised. It is therefore important to make the purpose of the exercise clear from the beginning. Reinforcement of such clarity about what the community can and cannot expect from such exercises may have to be made later.
- **Findings cannot be generalised:** It is often said that, as the key informants participating in the PRA process are purposively selected, the findings cannot be generalised. What is important to consider here is that the people selected to participate in the PRA activity always possess sound knowledge of the issues under exploration. Furthermore, all the information is passed through different sources of information, tools, and informants-following the principle of triangulation. Therefore, it can be safely argued that the findings of a well-planned PRA exercise can be applied to cover a larger area, though serious preparation and caution are required while doing so.
- **There is a heavy reliance on the practitioners in PRA:** The success or failure of a PRA exercise is solely dependent on the PRA team which may have no more than four to five members. Team members who are not committed and well-trained may affect the whole outcome of the PRA exercise, so careful attention must be paid when selecting the PRA practitioners. One other way of controlling such a problem is through regular interaction among the PRA team members to discuss the progress made in the field. Such frequent interactions and meetings can reveal in time any bias on the part of any PRA team member.
- **Not appropriate for macro-level research and planning:** The use of PRA has been seen more in micro-level planning so far. Thus, it is often said that it is not useful for large-scale studies and macro-level planning. However, a well-planned and systematised PRA can definitely fill in this gap, as some successful attempts have already been made in this regard in different parts of Asia and Africa.
- **Its relevance in monitoring and evaluation is yet to be seen:** Accumulated experience shows the use of PRA more at the need identification, planning and implementation stages, but many activities are already leading to the application of PRA at monitoring and evaluation stages. FAO activities in watershed management can be taken as good examples of this. Nonetheless, it remains true that work needs to be done to spread the use of PRA beyond need identification and planning.

Challenges to PRA

- High demand is leading to mediocre PRA practice.
- PRA use has become fashionable, resulting in poor quality.

- Donors and governments have still not been able to move away from target-oriented programmes.
- Poor quality of training given by some individuals has failed to change the attitude and behaviour of PRA practitioners.
- PRA use has been largely limited to individuals and not much institutionalised.
- There is sufficient experience of scattered PRA use, but there is very limited use in thorough and rigorous research.
- Limited use has delayed its scaling up.
- PRA use is more generally limited to NGOs and the time has come to spread it within government systems.
- Sharing of experiences is very limited, so there is a need to focus on networking.

Suggested PRA Tools and Techniques in Watershed Management

Time Line

A record of events and activities which occurred in the community in the past. This activity involves discussion with a group of local people (usually 4-8) about what they consider to be the most important past events in the community. This is a good ice-breaker for building rapport with local people and showing interest in their lives.

An Example of Time Line

The main purpose of the time line is to identify events in time to which local people can refer when discussing historical issues. If local people have an event to which they can relate their discussion, the recall is likely to be more accurate than trying to remember '15 years ago'. Examples of such events could be major earthquakes, disease epidemics, land surveys, or opening up of certain institutions like schools, health posts, or any government offices. In preparing such a time line, the year of the event is shown in the left hand column and the events are shown in the right hand column. One more column can be added under 'remarks' to report some other information that can qualify the events of the development activities reported by the informants. This time line can show how people's customs, practices, and matters close to them have changed. It could be a history of crops or livestock or land use practices or population.

Social, Resource and Land Use Map

A sketch of the community compiled in cooperation with a group of local men and women to identify physical and socioeconomic details along with the infrastructure available in the community. Depending upon the purpose of the exercise, different names can be given to such sketches such as social map, resource map, land-use map, etc.

An Example of a Social, Resource and Land-use Map

The aim of mapping is to allow local people to express their perceptions of location, usage patterns and changes, of local resources or facilities. Mapping can be carried out using a variety of media such as colour powders, counters and sticks, small pebbles and paper marks and even leaves and grasses and other locally available materials to show different features of the community. Though mapping can be done both on paper and the ground, it is better to let local people draw such a map on the ground so that many people can participate and contribute to the mapping process. A mapping exercise done on a paper can limit the participation of the person holding the pen, and it does not allow changes of mistakes or ideas easily. Once such maps are prepared they can then open up further investigations and analysis of the local situations. It is always advisable to copy the map in the notebook to give a permanent record of the information. However, it is important to keep in mind while copying the map that the meaning is not changed and accompanying discussions are also noted simultaneously. Immediate copying of the map from ground to the notebook can prevent the exercise from being spoiled or useless in case there is an onset of rain or strong wind or children playing or standing on them.

Transects

A systematic walk with a few key informants through an area, observing, asking, listening, discussing, identifying different zones, local technologies, seeking problems, solutions, opportunities, and mapping and diagramming resources and findings.

An Example of Transects

This technique has the advantage of leading to field observations and to discussion with local people. Transect diagrams can also be used to provide a historical picture of changes in resources or farming practices. A major past event taken from the time line can be referred to and the local people are then asked to draw a transect for the points in time. The transect also helps to determine whether there are sub-zones within the community that require special consideration.

Matrix Ranking

Matrix ranking also helps in gaining information about local people's preferences in tree species, types of livestock or cattle, varieties of crop, etc, and the criteria on which those preferences are based. The criteria are listed on the left side, the preferences to be compared with one another are listed on top.

The process of drawing up a matrix involves three main stages. First, the factors to be discussed in the matrix must be established in consultation with the key informants and listed across the top of the matrix. Second, an exhaustive list, given by the local key informants, is prepared down the side of the matrix of good points or qualities. Any other criteria not listed by the local people that the PRA team wants to investigate can be added at the end in the discussion with them. It is important for the criteria to be worded so that it is clear what the ratings mean. It is also useful to always list criteria in a positive way. Third, the criteria are then considered one by one and the key informants score each of the factors to be compared. If the key informants have problems scoring, it may help to start with the extremes, best and worst, and work backwards from each. Sometimes, two items can get the same score if the informants feel there is no particular difference between them on one criterion. For the convenience of the local people, use of pictures or symbols of the factors under comparison may be easier. For illiterate people, lines or small stones or seeds can also be used to show the relative importance of one factor over others. This exercise gives detailed information on what informants are basing their decisions and choices on and may illuminate areas in which research and extension activities need to be focussed, thus helping to prioritise directions for the future.

Wealth Ranking

A method for categorising households according to wealth or well-being in the community. Key informants first develop parameters that they think are important to consider while placing a household into any category and then keep on placing households into appropriate categories based on those parameters.

Seasonal Calendar

This important tool of PRA is applied to collect seasonal information such as the intensity of rainfall or soil moisture, land use or cropping patterns, migration patterns, food availability, income and expenditure patterns, etc, by month. Different lengths of sticks or straw along with counters like seeds can be used by local people to chart out on the ground the relative quantities of some variables. The seasonal calendar also helps to record village views of problems and opportunities.

Trend Line/Diagram

Trend lines are developed based on village perspectives, to show patterns of change along with the causes of such change in resource issues such as rainfall, crop production, soil loss, deforestation, livestock holding, and other matters of concern to the community. A group of local people knowledgeable of the issues to be explored are gathered for this exercise.

Venn or Circle Diagram

Venn or circle diagrams are used as a tool to discuss the relative importance or position of different factors, commonly institutional or social structures in a community. Key informants are asked to rank community institutions in order of importance and to construct diagrams that indicate the relationships between and among village units.

An Example of Venn Diagram

Circles of different sizes and colours are used to represent different organizations, institutions, or prominent people. Their relationship to each other and their relative importance in the community can be mapped out by placing these circles on the ground in relation to each other. Alternatively, the circles can be drawn directly on to paper. However, this does not allow easy movement of the circles when there is disagreement or changes in opinion following discussion.

Semi-structured Interviewing

This technique is considered to be the core of a good PRA. It is an open discussion with open-ended questions that can take place anywhere in the community, either with individuals and/or groups of key informants. It can be done using mental or written checklists and is thus also known as informal discussion. It can take place either on the path while observing community activities, over the garden fence, or in the field or homes. Due to their work load some local people may not be free to participate in activities such as mapping or diagramming, but they may be quite willing to chat while they get on with the task in hand. This technique is useful in building rapport during the initial involvement in the village. The outcomes of such interviews can provide pointers to areas needing initial investigation or at a later stage may indicate a need to change the direction of investigation.

General Training Techniques

Much of the PRA technique is based on concepts of embodied learning through social interactions, game playing, group dynamics, etc. Lectures, sharing of experiences, simulation exercises, use of relevant energisers, slide shows, and field practices form the main bases of PRA training techniques. Many PRA training courses and exercises will be guided by the following principles:

- don't lecture, don't dominate, don't interrupt,
- observe, listen and learn,
- relax,
- embrace error,
- probe and cross-check as much as possible,
- always start discussions with open-ended questions,
- show interest and enthusiasm in learning from others, and

- always use six helpers – what? when? why? where? who? and how?

Aids Required

Though the types of aids required while conducting training on PRA are based on the types of people being trained and the venue itself, some of the aids which could be useful in an ideal situation are given below.

- Posters/Flip-charts
- Overhead Transparent Sheets
- Overhead Projector
- Slide Projector
- Video Screen and Deck
- Coloured Powders
- Different Kinds of Seeds
- Other Locally Available Materials such as Counters and Sticks

Participatory Tools and Techniques

Introduction

Participatory Tools and Techniques (PTTs) are a set of methods used to facilitate the participation of rural people in the development process. These tools and techniques are designed to help rural people to identify their own needs and priorities, and to plan and implement their own development projects. The PTTs are based on the principle of 'learning by doing' and are designed to be simple, practical, and easy to use. They are designed to be used by rural people themselves, and are not intended to be used by outsiders. The PTTs are designed to be used in a variety of settings, including in the field, in the classroom, and in the community. They are designed to be used by a wide range of people, including men, women, and children. They are designed to be used by people of all ages and all levels of education. They are designed to be used by people of all ethnicities and all languages. They are designed to be used by people of all religions and all cultures. They are designed to be used by people of all social classes and all economic levels. They are designed to be used by people of all political affiliations and all ideological beliefs. They are designed to be used by people of all genders and all sexual orientations. They are designed to be used by people of all abilities and all disabilities. They are designed to be used by people of all ages and all stages of life. They are designed to be used by people of all stages of development and all levels of progress. They are designed to be used by people of all stages of change and all levels of transformation. They are designed to be used by people of all stages of growth and all levels of expansion. They are designed to be used by people of all stages of evolution and all levels of progression. They are designed to be used by people of all stages of development and all levels of progress. They are designed to be used by people of all stages of change and all levels of transformation. They are designed to be used by people of all stages of growth and all levels of expansion. They are designed to be used by people of all stages of evolution and all levels of progression.

The purpose of this section is to provide a brief overview of the various PTTs that are available. It is not intended to be a comprehensive list of all PTTs, but rather a guide to the most commonly used ones. The PTTs are listed in alphabetical order, and each one is described in a brief paragraph. The descriptions are intended to provide a general idea of what each PTT is and how it is used. They are not intended to be a detailed guide to the use of each PTT, but rather a starting point for further exploration. The PTTs are listed in the following order: 1. Focus Group Discussion, 2. Individual Interview, 3. Key Informant Interview, 4. Participatory Rural Appraisal (PRA), 5. Rapid Rural Appraisal (RRA), 6. Social Network Analysis, 7. Stakeholder Analysis, 8. SWOT Analysis, 9. Time-Motion Study, 10. Triangulation, 11. Village Meetings, 12. Visual Methods, 13. Women's Group, 14. Youth Group, 15. Zonal Meetings.

1. Focus Group Discussion

What is it?

A focus group discussion is a type of qualitative research method in which a group of people are brought together to discuss a particular topic. The group is usually made up of people who are familiar with the topic, and the discussion is facilitated by a researcher. The purpose of a focus group discussion is to explore the views and opinions of the group members on a particular topic, and to identify any common themes or issues. Focus group discussions are often used in the early stages of a research project, and are particularly useful for exploring complex or sensitive topics. They are also useful for generating ideas and hypotheses for further research. Focus group discussions can be conducted in a variety of settings, including in the field, in the classroom, and in the community. They can be conducted with a small group of people, or with a larger group. They can be conducted in a structured or unstructured manner, and can be conducted in a formal or informal setting. They can be conducted in a one-to-one manner, or in a group setting. They can be conducted in a face-to-face manner, or via video conference. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner.

How is it done?

Focus group discussions are typically conducted in a structured or unstructured manner. In a structured focus group discussion, the researcher will have a list of topics or questions that they want to explore. In an unstructured focus group discussion, the researcher will have a general topic or area of interest, and will allow the group members to discuss it in their own words. Focus group discussions are typically conducted in a group setting, and are facilitated by a researcher. The researcher will usually have a list of topics or questions that they want to explore, and will guide the discussion. The researcher will usually have a list of topics or questions that they want to explore, and will guide the discussion. The researcher will usually have a list of topics or questions that they want to explore, and will guide the discussion.

When is it used?

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2. Individual Interview

An individual interview is a type of qualitative research method in which a researcher interviews a single individual. The interview is typically conducted in a structured or unstructured manner, and is designed to explore the views and opinions of the individual on a particular topic. Individual interviews are often used in the early stages of a research project, and are particularly useful for exploring complex or sensitive topics. They are also useful for generating ideas and hypotheses for further research. Individual interviews can be conducted in a variety of settings, including in the field, in the classroom, and in the community. They can be conducted with a single individual, or with a small group of individuals. They can be conducted in a structured or unstructured manner, and can be conducted in a formal or informal setting. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner.

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How is it done?

Individual interviews are typically conducted in a structured or unstructured manner. In a structured individual interview, the researcher will have a list of topics or questions that they want to explore. In an unstructured individual interview, the researcher will have a general topic or area of interest, and will allow the individual to discuss it in their own words. Individual interviews are typically conducted in a one-to-one manner, and are facilitated by a researcher. The researcher will usually have a list of topics or questions that they want to explore, and will guide the interview. The researcher will usually have a list of topics or questions that they want to explore, and will guide the interview. The researcher will usually have a list of topics or questions that they want to explore, and will guide the interview.

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3. Key Informant Interview

A key informant interview is a type of qualitative research method in which a researcher interviews a single individual who is knowledgeable about a particular topic. The interview is typically conducted in a structured or unstructured manner, and is designed to explore the views and opinions of the key informant on a particular topic. Key informant interviews are often used in the early stages of a research project, and are particularly useful for exploring complex or sensitive topics. They are also useful for generating ideas and hypotheses for further research. Key informant interviews can be conducted in a variety of settings, including in the field, in the classroom, and in the community. They can be conducted with a single individual, or with a small group of individuals. They can be conducted in a structured or unstructured manner, and can be conducted in a formal or informal setting. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner. They can be conducted in a synchronous manner, or in an asynchronous manner.

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4. Participatory Rural Appraisal (PRA)

Participatory Rural Appraisal (PRA) is a type of qualitative research method in which a group of rural people are brought together to discuss and plan their own development projects. PRA is based on the principle of 'learning by doing' and is designed to be simple, practical, and easy to use. PRA is designed to be used by rural people themselves, and is not intended to be used by outsiders. PRA is designed to be used in a variety of settings, including in the field, in the classroom, and in the community. PRA is designed to be used by a wide range of people, including men, women, and children. PRA is designed to be used by people of all ages and all levels of education. PRA is designed to be used by people of all ethnicities and all languages. PRA is designed to be used by people of all religions and all cultures. PRA is designed to be used by people of all social classes and all economic levels. PRA is designed to be used by people of all political affiliations and all ideological beliefs. PRA is designed to be used by people of all genders and all sexual orientations. PRA is designed to be used by people of all abilities and all disabilities. PRA is designed to be used by people of all ages and all stages of life. PRA is designed to be used by people of all stages of development and all levels of progress. PRA is designed to be used by people of all stages of change and all levels of transformation. PRA is designed to be used by people of all stages of growth and all levels of expansion. PRA is designed to be used by people of all stages of evolution and all levels of progression.

Context Paper Eight

Participatory Tools and Techniques

(Appreciative Planning and Action: APA)

Appreciative Planning and Action (APA)

Introduction

Appreciative Planning and Action (APA) has been developed and piloted by The Mountain Institute (TMI) in Nepal, Sikkim, Tibet, Peru and the USA as an innovative approach to grassroots' village planning and mobilisation. This technique shows considerable promise as a mechanism for helping empower groups and communities to take positive action for their own development. Drawing on Appreciative Inquiry (AI) on a relatively new organizational development methodology, Appreciative Planning and Action is built on searching for the positive, for successes, for what works, as opposed to the problem-oriented focus of many planning and development strategies. APA also draws directly on Participatory Rural Appraisal (PRA) and other group dynamics' disciplines.

The paper on which this summary is based reviews the development and application of APA in Nepal under the Mountain Institute's Makalu-Barun Conservation Project (MBCP). APA programmes have been conducted in all MBCP operational areas with over 1,000 villagers in about three dozen settlements from tropical lowlands to mountain highlands. An evolutionary action-research approach has been used to develop and to refine the APA process.

APA is built on the following four basic elements.

- One goal
 - Seeking the root cause of success (not the root cause of failure)
- Two laws
 - What you seek is what you find (the questions help determine the answers).
 - Where you believe you are going is where you will end up.
- Three principles
 - If you look for problems, you find more problems.

- If you look for successes, you find more successes.
 - If you have faith in your dreams, you can achieve miracles
- Four 'Ds'
 - Discovery - Asking positive questions, seeking what works, what empowers
 - Dream - visioning what could be, where we want to go
 - Design - Making an action plan based on what we can do for ourselves
Making personal commitments
 - Delivery - Start taking action, now!

Through Participatory Monitoring and Evaluation (PME), this 4-D process leads directly back to the Discovery step, which is: reviewing with participants what has worked best, what might work even better, and what we can do to follow-up on our actions. The 4-D process is compatible with most standard project cycles which are based on a parallel 4-step process of problem identification and analysis, choice of alternatives, development of a plan, and implementation of the plan. APA thus can be introduced harmoniously into existing systems, giving new meaning and power to those systems rather than undermining or invalidating them.

Practical exercises in some villages in Nepal have shown that APA does the following.

- Empowers - helps groups celebrate, embrace, and learn from their successes instead of focussing on their problems.
- Mobilises - gives groups concrete actions they can start immediately.
- Energises - provides a future-focus that encourages groups to create a vision, to select steps that help move them toward fulfilling their vision, and to take the first step towards achieving it.

The APA process has helped community forest user groups to 'discover' that they can help fund community development activities. Villagers consumed with negative attitudes about themselves have celebrated their achievements and made plans to take positive action

together. Leaders have shown a commitment to cultural conservation and community development and have shared ancient dances. Local people in a small scruffy market centre at the confluence of two beautiful rivers imagined a vibrant bazaar and set to work to achieve their dream with a 'clean-up' campaign that same afternoon.

Like any new technique, APA risks the danger of becoming a fad, of being misused or oversimplified or, more seriously, not appropriately followed-up. Because of its focus on the positive, APA risks becoming trivialised by the momentum, power, and historical commitment of academic and professional disciplines which have traditionally drawn their validity from the search for, analysis, dissection, and articulation of problems and failures and the outward allocation of blame.

Mission Statement of Appreciative Planning and Action

- To empower communities and individuals to take pride in what and who they are and what they have achieved; to dream of what might be; to plan for what can be; and to feel the energy that comes from making commitments and completing the first step.
- To be simple enough for anyone to do it and profound enough to change people's lives.

APA

Appreciative Planning and Action is being developed and used by The Mountain Institute in Nepal as a tool to help promote sustainable and participatory conservation and community development in remote rural communities. TMI's basic global commitment is to advance mountain people and protect mountain environments. The goal of TMI's Makalu-Barun Conservation Project in Nepal is to protect the biodiversity of the Makalu-Barun National Park and Conservation Area through the establishment of an innovative management system that integrates national park management with participatory conservation area management. MBCP is based on a 12-year agreement between His Majesty's Government of Nepal (HMG) and The Mountain Institute which commenced in 1988.

From its outset, MBCP has been built on participatory planning with the local communities and support of community initiatives. Participatory Rural Appraisal (PRA) has been the basic tool for engaging communities in analysis, problem identification, and priority setting. Project activities include community forestry, village development, income generation, culture conservation, ecotourism, drinking water, trail and bridge improvement, irrigation, school building, sanitation, grain mills, and cottage industries.

Participatory Village Consultation and Planning

TMI and MBCP have been using PRA techniques for working in rural communities. They have also sought means of strengthening and enhancing these participatory processes in an effort to develop more PRA tools. The objectives of such efforts has been to make the tools more readily accessible to local staff and villagers and to seek new ways to encourage, empower, and to mobilise communities to take charge of their own development.

Appreciative Inquiry (AI)

Appreciative Inquiry was developed by the David Cooperrider, S. Srivastava, Jane Watkins, Diana Whitney, Barbara Sloan, and the faculty at Case Western Reserve University in Cleveland, Ohio. AI exercises have been introduced into MBCP's semi-annual planning and have brought workshops positive energy into what might otherwise have been a relatively dry and sometimes negative process of reviewing progress and problems and mapping out plans for overcoming obstacles during the year ahead. AI was introduced at a GEM workshop in India in 1996 and attracted attention among organizational development specialists in Nepal, including management trainers from South Asia Partnership and Karuna Management. They found that the method resonated with traditional philosophy and had potential applications for local and international organizations working in Nepal.

From Appreciative Inquiry and PRA to Appreciative Planning and Action (APA)

Some AI exercises were introduced into a PRA village consultation and planning programme for ecotourism in Sikkim as part of TMI's Sikkim Biodiversity Conservation and Ecotourism Project. These exercises asked the local people to examine what they valued in their culture and community, what they would like to share with others, and how they might begin developing ecotourism activities in their community. The results were very encouraging and resulted in participants starting a village clean-up campaign on the spot, at the end of their PRA programme.

In 1997, the project's PRA programme was reoriented to introduce the full range of AI techniques into village consultation and staff training. The AI approach was woven into various village PRA programmes in different ways, evaluated, and tried again through an iterative 'learning process' approach of trial and error. The work resulted, among other things, in the resurrection of an old plan to open new trekking routes to an attractive peak in the area. A second programme was also introduced in another half-dozen communities in Tamku Sector, the central part of the MBCP conservation area. Simultaneously, the APA approach was revised and tested further. A parallel Appreciative Inquiry programme was initiated and introduced into ecotourism planning programmes with local

communities. This approach was used in a dozen training programmes and over 50 workshops and meetings in more than 30 mountain villages. The result is that a new approach to community planning and mobilisation has evolved, one based largely on the Appreciative Inquiry framework. PRA exercises and techniques will continue to be woven into the application of APA as they work extremely well in combination with the appreciative model.

Report from the Field: APA in Action

The APA approach was applied in villages lying between the Arun Valley and Sagarmatha to issues of community development, culture conservation, income generation, ecotourism, participatory natural resource management, and people-wildlife conflicts.

The process was started by splicing some AI concepts on to the excellent, proven, and globally-recognised Participatory Rural Appraisal (PRA) process of village consultation. This process also provides a unique sense of ownership among staff since there is a feeling of being involved actively in programme design, evolution, improvement, and application. This process includes three critical ingredients: appreciation, planning, and action.

Most participatory development programmes have had little success in empowering rural communities. Empowerment, by definition, must involve people feeling a sense of power, not just participation. Empowerment involves self-confidence and/or self-generated initiatives. Yet, after decades of commitment to participation and empowerment by the full panoply of donors, governments, and NGOs, many communities and villagers remain ashamed of their lack of education, their poverty, and their powerlessness. What involvement they have had with development appears not to have empowered them so much as encouraged them to focus on their problems and often to train them to become little more than professional beggars. This tragically negative, self-deprecating attitude, and the dependency syndrome that seem to evolve from reliance on outside help is depicted in a remark by an old woman in Rasuwa District, Nepal.

"We are a village of ignorant, uneducated people. We need drinking water supplies, water to grow more vegetables, we need training. My sons are uneducated and working as porters, our men are carrying porter loads leaving us women to care for the fields....."

APA appears to offer an alternative to the low self-esteem and dependency which pervade Nepal's villages. It goes beyond the 'power of positive thinking' by giving specific tools and techniques for generating and keeping up the positive thinking and encouraging self-reliance and local initiative.

Efficiency, Time Management and Taking Action

The basic elements of APA include simplification, codification, and adaptation to make it possible to complete an entire process with a village in as little as two to four hours, ending up with a basic action plan for the years ahead, plus a set of action steps to start immediately. This initial action step is combined with empowering personal promises that draw their inspiration from other organizational development sources as well as from AI's own 'provocative proposition' concept. Where appropriate and needed, APA can be augmented with a full range of PRA tools and activities.

Scenes from the Field: Vignettes from Recent APA Exercises

Scene 1

Location - Sisuwatar market, several days' walk up in the mountains from Khandbari, Nepal. A dusty, dirty little collection of tawdry bamboo shelters that comes alive once a week as a local market. Wrap-up meeting with local staff and village representatives.

Discovery: Most exciting moments from the week's training and village exercises. "I really get this. I can do this.... and it really will make a difference in my work. And, besides, it's fun." This came from first one, then another, participant and clearly emerged as a consensus. They felt confident that they could use APA as a tool to work with people and villages without outside 'expert' help.

Hearing those enthusiastic remarks, facilitators asked whether they were ready to pull together a quick APA with people gathered at the market, remembering that in one or two hours' time they had to reach the next destination. The answer was, "No problem, we'll get right to it!"

Less than an hour later, an elderly villager said: "We just finished our meeting, made a plan for the development of this market for the year ahead, and have all decided to start right now by cleaning up this place." Minutes later, brooms were busy, piles of trash were mounting and fires had started to consume the refuse. Within 30 minutes, the place looked better and clean.

Scene 2

Location - Small village of Bala, winding up a three-hour APA meeting with three sub-groups: cultural conservation, community development, and income-generation. They have finished their appreciative review, shared their dreams and wishes, and drawn up a Future Map for their village development.

Group One: Cultural Conservation - committed to the resurrection of an ancient traditional dance representing local cultural links with the environment. The group

promised to present a folk dance at local fairs in the area during 'Visit Nepal 1998.'

Group Two: Community Development - outlines self-help plans to finish construction of the clubhouse they are building and roofing for their adult study centre, plus fundraising plans to support these activities. All members also promised that they would each build a latrine in the following week.

Group Three: Income Generation - pledged a new poultry project, vegetable/kitchen gardening, and collectively they all made a commitment to contribute self-help labour to the construction of a new trail to make the area a more attractive trekking destination. A follow-up exercise with these groups revealed that they had undertaken the activities they promised.

Scene 3

Location - Bung Sector, a place known for its traditional *allo* (stinging nettle plant) industry, which had no organizational structure. At the end of the meeting, they collectively decided to start repairing and rehabilitation of an old trek route that would bring trekkers into the area.

Scene 4

Location - Navagaun, Seduwa Sector, a Sherpa village where traditional values are of great importance to the local people. At an APA meeting they discussed implementing the action plan they had developed for their village. Villagers decided to protect a sacred water source that was being polluted by livestock. This mini-project was completed by a group of 30-40 people in 15-20 minutes.

Scene 5

Location - Chepuwa village, Hatiya Sector. A three-hour APA meeting had just finished. The participants decided to build latrines as a first step in their village development. A few hours after the meeting, the APA team passing through the village observed a number of villagers already busy making their latrines. This shows that local communities can do a lot if they make commitments and take small steps to fulfill them. It is possible to bring about all the development in rural communities if local people take collective action.

Appreciative Planning and Action Process

Having reviewed the application of APA and its promise, it seems appropriate to provide some details on the actual APA process. In short, APA follows a framework of 4 basic elements, including a modified '4-D' planning and action process.

Appreciative Planning and Action

- One goal
 - Seeking the root cause of success (not the root cause of failure)
- Two laws
 - What you seek is what you find (the questions help determine the answers).
 - Where you believe you are going is where you will end up.
- Three principles
 - If you look for problems, you find more problems.
 - If you look for successes, you find more successes.
 - If you have faith in your dreams, you can achieve miracles.
- Four Ds

| | |
|--|---|
| DISCOVERY (Success Map) What gives life to this village? What are your successes? The best.. --Seeking Success | DREAM (Future Map) Vision of the future. Looking ahead 10 years, 20 years. 5-year plan 1-year action plan |
| DESIGN (Group dialogue) Constructing the future. Next steps | DELIVERY (Delivery) Enjoy. Actions we can take now to be done. Immediately: same day, same place, Tasks to start now in 10-30 minutes |
| RE-DISCOVERY (Monitoring) What was the best? What can make our vision even better? Sharing and reflection | |

- i. Discovery Asking empowering, positive questions about the best, about what gives life to this organization, this village.
 - Seeking and understanding successes, analysing them for what they teach us. 'The answers we get depend on the questions we ask'. The key is good questions.
 - Share "Success Maps" - among the entire group.

Discovery is tailored to the group and/or situation. It replaces the familiar 'problem identification' step in the normal planning process. Discovery often starts

with personal introduction. Simultaneously, leading questions seeking successes and feelings of empowerment are then used to one or more small groups to create their own 'Success Map'.

When asking questions, do not rush or push for answers; wait 30 seconds before rephrasing a question; then if no response comes, ask a new question. Move on, do not belabour a question that does not generate a good response.

Discovery typically reveals that the favourite, most empowering projects, have been those the community has done on its own rather than those initiated and supported by outsiders.

ii. **Dream:** Creating a positive vision of what might be, what we would like to achieve.

- Close our eyes for one minute; imagine what we would like to find here in 10 or 20 years or so... think of what is needed to help make our dream come true...for our children...
- Prepare a 'Future Map' or diagram that illustrates our dream of the future.
- Share our 'Future Map' among the entire group (if subdivided). Dreams are shared briefly in the full group and then discussed in small groups to achieve a reasonable consensus on an exciting, yet achievable, vision for the future that can be illustrated by the group in a map or diagram form.

iii. **Design:** Turning our picture of the future into an action plan to realise it.

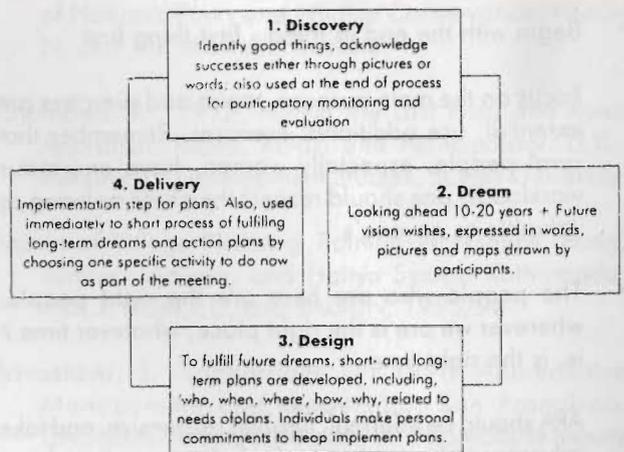
- Prepare short- and medium-term (1-year, 5-year) action plans that we will do ourselves to start implementing the dream - to turn wishes into action steps, requests, promises.
- Develop a programme to start implementing that plan this month or this season, including who, what, when, where, why, how - as appropriate to time and complexity of tasks.
- Make personal commitments on tasks from these plans that each of us will take as part of implementing the action plan.
- Share our action plans among the entire group (if subdivided).

iv. **Delivery:** 'Action Now'-starting now on the path to achieve our vision

- What are we going to do to start this process? Start now. This is the classic implementation phase of the standard project planning cycle. Action generates energy, provides a real sense of achievement, is fun, and crystallises the meaning and lessons of the entire APA process.

v. **Re-Discovery: Concluding Discussion** Participatory monitoring and evaluation of what we have just done.

- Share impressions, learning, informal evaluation, accompanied by some speeches by local people in which they share the meaning of the meeting and talk about issues on which the next steps are to be taken.
- Enjoy! Finish up with a light touch, relaxing and fun activity. Participants form a circle and are encouraged one by one to share a thought on the process, what was learned? what was the best? what might have been even better? This should be informal, light, and fun - well-sprinkled with laughter and concluded with some relaxing enjoyment such as dancing, singing, tea, snacks, jokes, etc. The well-equipped APA team always brings a drum and flutes.



Some Basic Principles for APA Practitioners

Appropriate Planning and Action activity programmes are conducted using the basic approach developed for Participatory Rural Appraisal (PRA), complemented by principles borrowed from other relevant programmes.

- Put the last first - put the first last
- Empower those usually left out, including those who are illiterate. All activities and materials should be visual: using pictures, maps, and diagrams drawn by the participants themselves.
- APA must involve women and disadvantaged groups directly and ensure that they have prominent roles in meetings.
- Hand over the stick (marker and / or map)
- Average people should be at the front of the meeting showing and explaining; facilitators, staff, local leaders, should be at the back listening and learning.
- All 'Success Maps', 'Future Maps', and 'Action Plans' must be left with the people who created them. These

are their planning tools to be kept and referred to, not to be carried away by facilitators.

Trade-offs: Time Constraints and the Use of Other PRA Techniques

While APA exercises should never be rushed or hasty and time should always be spent with villagers when it is reasonable to do so, there are times when efficiency is valuable. Because of time constraints, experience shows that a full APA cycle can be performed in as little as a 35-minute briefing. A training programme on the concepts with a practice session of the full 4-D cycle can be completed in one hour, and village meetings in 2 to 4 hours. This attention to efficiency can work well for local people who have busy agricultural schedules. Besides, APA can be energising, especially when people see what comes out of it in terms of actions and commitments. Also it can be enjoyable.

Raising Expectations and Mobilising Local Initiative

APA celebrates success, and successes, best moments almost always come from things people have done themselves (self-help) on their own. This leads to planning for more of the same, avoiding the old trap of village meetings which turn into a long list of problems, needs, requests, and thus contribute directly or indirectly to the promotion of dependency on outside support. Raising false expectations has been a problem. When communities are asked to summarise, analyse, and rank their problems and indicate what they can do themselves and what needs outside help, the tendency is to focus on what help might be forthcoming and from whom, rather than on what the community can do for itself. This does not yet appear to be a problem with APA, given its focus on discovering the empowerment inherent in activities undertaken by the people themselves and on the short-term action plan which is built around self-help initiatives. There is a potential risk, however, in the Dream step. It could be seen as encouraging an unrealistic vision of the future which can be discouraging if no movement is evident or likely towards achieving the Dream. Thus, it should be stressed that the Dream step of APA is a dream for the future with the remark that the achievement of dreams demands real commitments coupled with real belief. Some successful examples of dreams come true are: installation of several community-level, micro-hydro operations, village electrification, VHF telephones in rural communities, etc. These were considered impossible only a few years ago. While APA should not raise false expectations, neither should it squelch hope. The power of dreams in which people place real faith is often both surprising and empowering.

Conclusion

Experience in developing, testing, and using APA in MBCEP suggests that the technique might offer a breakthrough in the realm of community development and empowerment in rural areas. Although one has to be cautious of likely pitfalls

- They are the experts, we are here to learn
 - Facilitators use APA not to teach but to learn, as a tool to understand the richness, value, and utility of indigenous knowledge and to help local people appreciate, acknowledge, and honour who they are and the wisdom, know-how, and contributions they have made and can continue to make towards their own advancement.
- Ready - fire - aim or plunge and reflect
 - Learn by doing; take action, try something and then see how it works; adjust the process through reflection after trials; never stop learning, never stop improving the process.
- Begin with the end in mind - first thing first
 - Focus on the main purpose, topics and exercises are essential; use additional exercises. Remember that rural people, especially women, have enormous workloads; one should respect their time as being as valuable as anyone's.
- The people who are here are the right people, wherever we are is the right place, whatever time it is, is the right time.
 - APA should be informal, flexible, responsive, and take advantage of opportunities for being proactive; doing first things first, working with those who step forward to start with. Build in follow-up to ensure that balance is achieved over time.
- Take time
 - Don't rush. APA should be relaxed and informal; meetings should be publicised in advance. The APA team should preferably arrive at the site the night before for the meeting next morning.
- Turn problems into opportunities
 - APA does not avoid or ignore problems, but instead recognises and embraces problems by seeking positive ways of looking at them and turning them into constructive learning experiences and action steps.
- Enjoy
 - A successful APA programme should contribute to joy and work. Keep sessions light and enjoyable, include a celebration at the end. Essential tools – a drum and flute!

in this system as in others, nevertheless, when taking an appreciative look at the process as it has evolved in Nepal, the following emerge as elements of the APA process worth exploring further.

- It is Empowering - APA seems to generate power, energy, enthusiasm, and positive action, on the spot. It seems to be a powerful antidote to the low esteem in which many communities and villages hold themselves.
- It is Positive - APA looks for the root cause of success, not the root cause of failure. It builds up catalogues of successes and reminds people of what they have achieved rather than what they have failed to achieve.
- It is Quick - Experience has shown that a full APA cycle ending with a concrete action plan initiate immediate action, commitments of key people, and implementation of first step(s) and can be completed within from 2 to 4 hours. Demonstration training sessions, incorporating theory, methodology, and a full practice session, have been completed in 1-2 hours. Time should be taken wherever necessary and appropriate, but efficiency has merits as well, including the ability to make follow-up easier and more frequent.
- It is Easy - Field experience has shown that scouts and village leaders with little or no formal education can run these sessions on their own after as little as one day of training.
- It is Replicable - APA is relatively easy to practice in almost any setting, and can be implemented in the field without elaborate preparation. APA will require continuing follow-up to become fully operational but its simplicity and efficiency make such follow-up a replicable reality.
- It is Flexible - APA was first started with ecotourism and is now being used for community forestry, cultural conservation, income generation, market-place development, people-wildlife conflicts, team-building for staff, and organizational development. Modifications are relatively easy and straightforward.

It is APA's simplicity that gives it important advantages over some other approaches. This is a good start, but is only a beginning, and the approach has only some of the answers we will all need over the long-haul. APA has been receptive to ideas and will continue to be looking for new ideas and information that will help develop something that can survive, adapt, change, and grow over time. It is difficult to visualise the long-term sustainability of the APA method in the village setting without a long-term programme of testing, monitoring, and follow-up. Several steps may be required before our vision materialises.

'Appreciative Planning and Action' has sound roots and has shown itself to be a valuable tool with a promising

beginning in The Mountain Institute's programmes in Nepal, Sikkim, Tibet, Peru, and the USA. The Makalu-Barun Conservation Project and its 100 villages and 32,000 people are proving receptive to the approach.

APA offers a potential breakthrough for mobilising and empowering rural communities, and it is worthy of further development, testing, utilisation, and assessment.

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Context Paper Nine

Community Envisioning: Definition, Purpose, Dynamics, Process and Benefits

What is the community envisioning exercise?

Community envisioning is a social interactive process designed to help define a community's development aspiration and to develop a mental picture of the state to be achieved. It is an exercise to help community members articulate their aspirations collectively and in an organized way. It focusses a community's collective interests into a commonly agreed upon vision. The community vision becomes the organizing principle and a guide to motivate all community development actions.

Community envisioning is an excellent tool for socially preparing a community for development planning and work, helping to bring the community together for interaction.

Community Envisioning Functions by:

- creating awareness,
- education,
- resolving conflict,
- consensus-building,
- decision-making,
- collective action, and
- empowerment.

What is the purpose of community envisioning?

A vision is a powerful tool that motivates action to achieve success. It is a necessary tool for all - for individuals, families, communities, nations, regions, and even for the world.

As individuals, if we want to succeed we must have a vision for ourselves. For example, my vision for myself is to be a development practitioner - working with individuals and organizations to promote development that is socially just, ecologically sustainable, economically viable, culturally vibrant, and politically participatory. I have made that vision my mission and occupation.

Many families have a vision for themselves that determines the way they will develop the progress of their family. Likewise, most nations have their respective visions. For example, Malaysia has a vision called Vision 2020 - that is, a vision to become a developed nation by the year 2020.

SARC, ASEAN, EEC and other regional groupings also have visions of their own. These visions guide the kind of development they aspire to and pursue. The UN Charter is a global vision for a just, equitable, and peaceful world order. Agenda 21 is another example of a world vision to achieve development that is ecologically sustainable in the 21st century.

So why not a vision for the community?

A community is for this purpose defined as a group of households living in a particular geographical boundary such as a watershed, a village, a hamlet, or a town. A community envisioning exercise, both as a process and as an output, is an excellent development tool.

What are the Dynamics Involved in the Community Envisioning Exercise?

- A continuing process

Community envisioning is a continuing process. A vision for the future cannot remain the same. It has to respond to changing circumstances and adjust to the changes that unfold. Like the 'horizon', it challenges and guides us to move ahead. However, as we progress and reach our goals, the 'horizon' continues to move ahead of us - all the time challenging and guiding us for continuous progress. This is sometimes called the aspiration of 'divine discontent'. We are never content with what we have, but always want more and more. This innate tendency is the key to progress - if guided and channelled positively. Community envisioning is one such positive approach.

- A participatory process

A community is made up of a large number of people. It is ideal but not possible for everyone to participate in the process all at once. The envisioning exercise can begin with the stakeholders and the community leadership, but it must involve the participation of as many groups and people in the community as possible. The more people involved in the envisioning exercise the better. Ownership of the vision must be transferred to the community. The stronger the ownership, the stronger the action, collaboration, and cooperation among community members.

- A consensus document

There must be collective agreement and endorsement from the community that the vision represents most, if not all of their own aspirations as members of the community. It is a consensus document. Consensus means giving as well as taking, with the spirit of common good as the overriding principle. Everybody participating knows they will benefit. It is creating a win-win situation for all.

- Owned by the community

Needless to say, a community vision must be owned by the community, but this may not be easy to do. The local leadership must keep this vision always visible, and must continue to transfer and strengthen the community ownership at all times, especially among the marginalised and disadvantaged groups. The greater the sense of ownership, the stronger the urge for action, collaboration, and cooperation. Good leaders are masters in creating community visions and in transferring the ownership of the vision to the community.

- There must be a mission to attain the vision

The vision must be accompanied by a mission, a defined statement of commitment and action to attain the vision. The mission statement is a prerequisite in motivating action to translate a vision into reality. The vision is like the electric bulb which has the capability to give light. The mission is the power that lights the bulb to give us the light and guide us on the journey towards our destination to attain our vision.

How to Plan a Community Envisioning Exercise?

Community envisioning can be undertaken for general development purposes or for very specific concerns. For our purpose, the concern is very specific - for natural resource management at the watershed level through people's participation. This focus determines our planning process for community envisioning. What are the main elements involved in the planning process?

- A prerequisite for the planning process

Community envisioning is not an isolated and independent process, but is an integral part of a community planning

process for development. It precedes the planning process, because the community vision and mission statements provide the basis and guide for planning, implementation, monitoring, and evaluation processes of a community development plan. In other words, envisioning should precede any development planning that requires the involvement and participation of people.

- Participants

Who will participate in the process? Naturally, people in the watershed who depend on the natural resources for their livelihood will be the participants. They will include farmers and others who use the natural resources for their livelihood and income. The stronger their stake, the greater will be their interest in participating. The participants must be stakeholders, carefully selected for the envisioning exercise. They must include representatives of men, women, youth, and even children if possible, so that everyone's concerns are taken into consideration. The ideal number should not exceed 30, with six to eight members representing one interest group.

- The facilitator and the reporters

Community envisioning needs the participation of a group of stakeholders in the community. Good facilitators are required to facilitate the process along with a number of good reporters who can help the workshop groups capture the envisioning and mission statements and finally synthesise the various views into a consensus and collective document. They can either be brought in or selected from amongst the participants.

- The duration

The envisioning exercise ideally requires about nine hours: two hours for the workshop process to articulate the vision, and two hours to make group reports, discuss, and build consensus on the vision statement. Then, the second process of defining a mission statement will require another four hours - two hours for workshop deliberations and two hours for group reports, discussions, and consensus-building. The remaining hour is for briefing and for breaks for lunch and refreshments. If there is a time constraint, the duration can be adjusted - but experience shows it should not be less than five hours.

- The schedule

The duration framework can be the guide for the agenda schedule for the envisioning process. The schedule looks as follows.

Introduction and Briefing

Workshop 1: Various groups brainstorm and develop a draft vision.

Plenary 1: Each group presents its respective report. After all the reports are presented, a discussion is facilitated. A collective draft vision is finalised.

Break: Lunch and refreshment

Workshop 2: The same groups reconvene and develop a mission statement for the draft collective vision developed at the end of Plenary 1.

Plenary 2: The groups reconvene and each group presents its respective report. After all reports are presented, a discussion is facilitated. A collective draft mission is finalised.

The Venue and Materials

Community envisioning is best undertaken in the community, under trees if other space is not available. However, the venue must have adequate space to enable the participants to meet in plenary and workshop discussions. The participants must be provided with paper, pens, and other relevant materials to record their discussions for reporting, presentation, and building consensus.

How to Conduct the Community Envisioning Exercise?

- The workshop process.
- A quick and effective way of conducting community envisioning is through a workshop.
- A group of carefully selected participants from amongst the stakeholders in the community, particularly leaders, are invited to participate.
- The group includes men, women, and youths, and numbers not more than 30. If possible, a children's group can also be included.
- They sit in their respective groups and, by brainstorming and discussing, they reach a consensus on the question we wish to address. In our case it will be:

what kind of development do we aspire to achieve through the sustainable use and management of our watershed?

- Each group will be facilitated by an appointed facilitator and notes of the proceedings will be recorded by an appointed reporter. If the participants are able, this task can be assigned to them.
- Give the group between one to two hours to do this, depending on the time available.
- The Plenary Process
- Once the allocated time is up, the workshops are brought to an end. Then the groups build consensus.
- In the plenary, each group reports on its respective group discussions.
- After all the reports are made, there is a general discussion to validate, prioritise and build consensus.
- A good facilitator, with two writers are assigned to draft the vision. They will cull from the discussion

and obtain consensus from the plenary on the vision drafted.

- This process usually takes about two hours, but can be shortened to one hour if time is a constraint.
- The Second Workshop
- The group then goes into a second workshop.
- Again they break into their respective groups to discuss the second question that helps them to articulate the mission. The question they will address in this workshop, according to our requirement, is as follows.

What can You Do to Achieve the Vision Drafted?

- The groups are given between one and two hours to discuss this question, depending on the time available.
- Each group will be facilitated by an appointed facilitator and the notes of the proceedings will be recorded by an appointed reporter. If the participants are able, this task can be assigned to them.
- The Second Plenary
- After the allocated time for the workshop is over, the groups come into a second plenary.
- Each group makes its report to the plenary.
- After all the reports are made, there follows a general discussion to validate, prioritise, and build consensus.
- Again a good facilitator and two writers are assigned to draft the mission statement.

Community Consultation, Validation, and Endorsement Process

Now there is a draft vision and mission statement for development generated by the community for the sustainable use and management of its watershed. The question is - what next? Two processes follow.

- One, the vision and mission statement provide the basic background document for a community development plan. Community planning for watershed management must be premised on the draft vision and mission statements.
- Second, the document becomes the basis for community discussions to disseminate and transfer ownership of the draft version and mission statement to the entire community in the watershed. This is an ongoing process to create greater awareness and build continued community consensus and motivation for action in managing their watershed sustainably.

Example - the case study of Infanta

Let us examine the process carried out in one community by the Farmer-centred Agricultural Resource Management (FARM) Programme.

Infanta, in Quezon Province of the Philippines, is an early FARM Programme field site. The Infanta community, facilitated by a local NGO partner of the FARM Programme called ICDA (Infanta Community Development Association Incorporated), undertook a very successful and extensive community envisioning exercise.

First, through a stakeholder workshop, a draft vision (and mission) for sustainable resource use and community development in Infanta was undertaken.

Second, the draft vision was discussed, validated, and endorsed as the collective community mission and vision by villages and groups.

The envisioning exercise took more than one year and more than 40 consultations to arrive at the following vision and mission.

The Vision

A vibrant, participative, humane, and value-laden community, promoting the protection and conservation of the different ecosystems which provide safe, nutritious, and natural food while ensuring a healthy habitat for the welfare of all community members.

The Mission

We, the Infanta community, recognise that the agricultural resource base is essential to our survival and livelihood. Therefore, we commit ourselves to giving priority to agricultural resources in our decisions by:

- adopting sustainable agricultural practices,
- promoting food production to ensure food security,
- conserving and protecting our environment and natural resources, and
- ensuring people's participation in planning, implementing, and decision-making.

Guidelines for Monitoring

How do we know we are making progress with our mission to attain our vision?

To be able to do this, we need some signposts or milestones that indicate the progress of our journey towards realising our vision. These signposts are often called indicators. What will be some indicators to monitor the progress of the mission of Infanta towards achieving the vision of the infanta community?

- One group of indicators to monitor will be to identify the priority given to the care and conservation of natural resources in the major decisions of the municipality, community, and groups.

- The second group of indicators for monitoring is to observe changes in agricultural practices adopted for sustainable agriculture.
- The third group of indicators for monitoring can be evidence that indicates an improvement in household food security.
- And the fourth group of indicators for monitoring could be based on people's participation, both in the local decision-making process and their actual participation in realising the vision.

Monitoring must be carried out regularly, probably at quarterly annual intervals. The ideas to formulate indicators for monitoring are often drawn from the mission statement and help determine the progress being made in realising the vision.

Establishing indicators and devising a plan for monitoring can be carried out in two ways. The first approach is for the group which undertakes the visioning exercise to also develop indicators to monitor the progress and to determine the monitoring duration as well. The second approach is to select and mandate a small group to formulate indicators and to have the responsibility to monitor.

The most important elements in the process are as follow.

- The indicators must be developed and communicated as widely as possible in the community. The more people are aware of the monitoring indicators, the better will community awareness, education, and participation improve.
- A number of people must be assigned and made responsible for monitoring at predetermined regular intervals. The community must know who is doing the monitoring and when.
- The result of the monitoring must be fed back to the community continuously and as widely as possible. The community must know the progress they are making and the difficulties they are confronting. Such knowledge will motivate greater involvement and participation in the community.

Procedure for Evaluation

What has been the outcome of the vision and mission developed earlier and how has the outcome had an impact on the people and community?

As already noted, the vision and mission statements provide the basis for the community planning to address current problems or improve certain conditions. This is the community development plan. A comprehensive community development plan must include a monitoring and an evaluation plan. Evaluating the development plan in fact leads to evaluating the success of vision and the mission adopted.

However, the community envisioning exercise is also a social process for capacity-building and motivating action. The impact of the vision and mission statements must also be evaluated. One recommended approach to make this evaluation is to organize a stakeholders' workshop to reflect on and discuss the impact the vision and mission had on their actions and their achievements. The evaluation workshop will also be a reflection and learning process for the community.

What are the Benefits of the Community Envisioning Exercise?

The community envisioning exercise has three clear distinct groups of benefits.

- First, it is a very effective way of bringing a community together for interaction, consensus-building, and decision-making.
- Second, it is an excellent approach for creating community awareness, education, and empowerment.
- Third, it is a powerful mechanism for motivation, promoting commitment, and initiating action at the community level for self-improvement.

**ANNOTATED
BIBLIOGRAPHY**

Introduction

The International Centre for Integrated Mountain Development (ICIMOD), Kathmandu, Nepal and Netherlands/FAO (UN), Participatory Watershed Management Training in Asia (PWMTA), GAP/RAS/161/NET Programme are conducting a training programme on Participatory Watershed Planning, Monitoring and Evaluation. As part of the pre-training process and to provide a manual on Participatory Watershed Planning, Monitoring and Evaluation, a Literature Review was conducted. This Annotated Bibliography includes selected materials covering the following topics relevant to the participatory process which is the subject of the training

programme: Participatory Watershed Management, Monitoring and Evaluation, Participatory Rural Appraisal and other Participatory Approaches, Planning, Sustainability, Gender and Community Organization.

Material for the bibliography was compiled from the following institutions and resource collections: FAO/PWMTA Programme, ICIMOD, the Nepal Participatory Action Network (NEPAN), CARE International/ Nepal, IIDS, and New ERA. The material was then reviewed by the training team and suitable materials were annotated. The material is divided into the categories listed above and is also coded with key words for ease of access and possible future conversion into a data base.

Participatory Watershed Management

1. AKRSP (India), 1996. *Check Dams; A Water Harvesting Technique for Sustainable Agricultural Development*. Ahmedabad, India: AKRSP (India).

Target Audience: Project planners in watershed management systems

AKRSP uses a wide range of water harvesting techniques in Surendranagar. This study focusses on the quantitative and qualitative impact of check dams. These small inexpensive dams are built across streams to prevent seasonal water from flowing away. Shallow structures, they do not cause water logging. The study describes the benefits of check dams at the micro level and recommends that they be built to help farmers support irrigation.

Keywords: India; Gujarat; Water Resources; Agricultural Development

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

2. AKRSP (India), 1996. *Impact and Sustainability of Water Resources Development*. Ahmedabad, India: AKRSP (India).

Target Audience: Project planners in watershed management systems

The study was undertaken to explore sustainable and non-damaging methods and means of storing and managing water, in the context of traditional village storage tanks becoming inadequate as a result of population and other pressures and large dams raising questions of sustainability. Surendranagar is a district in Gujarat where AKRSP has adopted a watershed approach to resource development, in particular a focus on water harvesting. Percolation tanks are one method that has been used, and this study analyses various aspects of their sustainability, in terms of both physical and human resources. Findings indicate that the tanks give significant economic benefits to farmers in the drought-prone area and will likely lead to longer-term social benefits. However, some sustainability factors, such as improving the water information system and strengthening village institutions, remain.

Keywords: India; Gujarat; Water Resources; Sustainable Development; Case Study

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

3. CARE Nepal, 1997. *Begnas Tal Rupa Tal Watershed Management Project, Final Evaluation*. Kathmandu, Nepal: CARE

Target Audience: Planners and fieldworkers on watershed management projects

Final Evaluation of the BTRT project was carried out by a team of experts in agriculture, forestry, and community management. The report highlights project achievements and present recommendations. The evaluation team concluded that the project had succeeded in meeting its objectives and had provided many lasting benefits to the project area communities. It is a prototype for community-based watershed management. The team specifically covers achievements in the following areas: Community Forestry and Soil Conservation; Private Plantation of Fuelwood and Fodder Trees; Agroforestry Farms; Involvement of Women; and Community Participation.

Keywords: Nepal; Watershed Management; Community Development

Publisher Contact: P.O. Box 1661, Kathmandu, Nepal: CARE Nepal

4. Cerna; Moneva; Listones; Gerardino. *The Impact of Soil and Water Conservation Practices Promoted Through Farmer-Based Extension System On The Development Of Farmed Watershed Areas*. India: IIED

Target Audience: Policy-makers, planners and fieldworkers on agricultural development and watershed management.

The paper consists of case studies and lessons drawn from the experiences of an NGO in Cebu Philippines in carrying out the soil and water conservation programme of World Neighbours in three watershed areas. Topical PRA was used to examine the impact

of soil and water conservation on a village within the watershed area. The paper focusses on four topics: 1) soil and water conservation practices promoted by the NGO, 2) the nature and processes of farmer-based extension, 3) the changes and impact brought about by farmer-based extension on the watershed, 4) summary of lessons learned.

Keywords: Philippines; Water Conservation; Participation; Case Studies

Publisher Contact: 3 Rest House Road, Bangalore 560 001, Karnataka, India: International Institute for Environment and Development, Action-Aid India,

5. Evans, C., 1997. *Qualitative Evaluation Report of the BTRT for Care Nepal*. Kathmandu, Nepal: CARE Nepal

Target Audience: Planners and field workers on watershed management projects

This field study concentrates on the conservation farming and agroforestry aspects of BTRT's work. Issues studied included planning, participation, inputs, outputs, technical aspects, replication, and sustainability. The study found that the lack of local participation in planning and designing the programme in the early years delayed raising awareness among local people. Awareness programmes are effective but should have started earlier. There is a good foundation of technical work and farmer-activists to use as resources for replication, but many areas of social and technical development require inputs of further training and skills. Certain areas of community development, such as forest management and women's groups, have received a lot of participation, and income is beginning to be generated from these activities. They should be linked to other community activities via formal and informal networks in order to exchange resources and involve more people.

Keywords: Nepal; Watershed Management; Community Development

Publisher Contact: P.O. Box 1661, Kathmandu, Nepal: CARE Nepal

6. FAO, 1995. *Monitoring and Evaluation of Watershed Management Project Achievements*. Rome, Italy: FAO.

Target Audience: Project managers and field technicians on watershed management projects.

This guide proposes a system to check and report on economic, social, physical, and biological achievements as part of a process aimed at meeting a development programme's objectives. Both a technical guide and a case study of a typical watershed management project manager are included; the case study detailing how the manager

and his assistants put the technical suggestions into practice. One chapter deals specifically with the design of a watershed management monitoring system, noting that it should be simple, compatible with project objectives, and designed and implemented with the active participation of the watershed's inhabitants. It should also ensure that all those involved in the watershed take an active interest in data collection, analysis, and use. Examples of monitoring and evaluation systems from Nepal and Venezuela are included.

Keywords: Nepal; Monitoring; Evaluation; Participation, Venezuela

Publisher Contact: Publications' Division, Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO

7. Fernandez, A. *The MYRADA Experience: Towards a Sustainable Impact Analysis in Participatory Micro-Watershed Management*.

Target Audience: Planners and managers of participatory watershed management programmes.

This is a study of participatory watershed management projects, with government as a partner and without government involvement. The goal of the projects was to enable the people involved to emerge as partners who would progressively exercise control over the watershed's resources. Myrada's role was to ensure that the process of planning and implementation would serve as an instrument in enabling people to acquire the skills, confidence, and organizational experience required to control and manage the resources within their watershed. The paper analyses the crucial indicators of success: sustainability, equity, and peoples' priorities.

Keywords: India; Evaluation; Watershed Management

Publisher Contact: MYRADA

8. Integrated Development Consultants (IDC), 1996. *Bagmati Watershed Project: Preparing an Integrated Sub-Watershed Management Plan: A Manual for BWP Fieldworkers*, Hiedleberg, Germany: IDC

Target Audience: This manual is addressed at fieldworkers on the Bagmati Watershed Project and at villagers who work on developing plans designed to improve life in rural Nepal. It is also appropriate for field staff of other similar projects.

This manual describes the steps involved in creating an effective integrated sub-management plan and presents the mechanism by which such a plan can be developed by villagers and implemented in the field. The manual sets forth the basic procedure a fieldworker should follow to encourage the active participation of the affected villagers. An overview

of the BWP and concepts of integrated sub-management planning are presented, followed by a detailed description, including a time schedule, of the various contacts and meetings the field motivator holds with local people. Many diagrams and tables are included to illustrate different concepts and/or provide sample materials for use by fieldworkers.

Keywords: Nepal; Watershed Management; Participation

Publisher Contact: HMG/N Ministry of Forest and Soil Conservation, Department of Soil Conservation, Babar Mahal, Kathmandu, Nepal

9. IIRR/FAO, 1995. *Resource Management for Upland Areas in Southeast Asia: An Information Kit*. Bangkok, Thailand: IIRR/FAO.

Target Audience: Agriculture and forestry trainers, extension subject-matter specialists and government agencies and NGOs focussing on agriculture and natural resource management in Southeast Asia.

This information kit resulted from a workshop at the International Institute of Rural Reconstruction which developed a set of information and training materials on sustainable approaches to agriculture and natural resource management in the uplands. The material can be used as reference and as a 'menu of options' to use in developing programme strategies and designing interventions such as training material for extension personnel, or as an English-language prototype that can be translated, adapted, and revised for different countries. Chapters include an overview of upland issues and approaches, an overview of agroforestry systems, and an introduction to soil and water conservation approaches. Diagnostic methods and tools, extension and linkage strategies, and evaluation strategies are all covered. Several appendices provide additional information on resource institutions, workshop participants, etc.

Keywords: Southeast Asia; Participation; Integrated Planning; Uplands

Publisher Contact: Maliwan Mansion, Phra Atit Road, Bangkok 10200, Thailand e-mail: fao-rapagnet.com: FARM Programme, FAO Regional Office for Asia and the Pacific

10. Khanna, Sulbha., 1996. *Ecological History of Coastal Saurashtra: AKRSP(I) INTERVENTION*. Ahmedabad, India: AKRSP (I)

Target Audience: Agriculturalists and field-level workers seeking to study and alleviate negative effects following the introduction of high-yield crop varieties.

Introducing the various problems caused by adopting high variety yielding seeds for main crops, the author goes on to discuss overuse of chemical fertilizer and

water sources leading to salinisation. AKRSP has attempted to limit damage to land and water resources by introducing appropriate and mixed-cropping patterns, efficient use of water, and the construction of check dams and percolation wells. The paper examines the environmental and social effect of the overexploitation of groundwater and provides suggestions to curb the growing problem. It concludes that collective action is required at both the macro- and the micro-levels. Farmers and the government have roles to play in addressing the problem of degrading soil and water resources.

Keywords: India; Agriculture; Soil and Water Conservation

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (I).

11. New ERA, 1996. *Participatory Rural Appraisal Planning, Monitoring and Evaluation Guidelines in Watershed Management*. Kathmandu, Nepal: New ERA.

Target Audience: Project staff, mid-level technicians and group promoters in the PUCD projects and other similar programmes aimed at promoting and consolidating people's participation in conservation and development of upland catchments.

Published in Nepali as well as in English, this manual will help familiarise fieldworkers and farmers with the participatory approach of community development, including participatory planning, implementation, monitoring, and evaluation. It is designed to assist fieldworkers to train local farmers or other community members to prepare a participatory watershed management plan. It should also prove useful for local farmers in carrying out self-help or participatory monitoring and evaluation of the work plans which they implement themselves, with project assistance, in their villages. An overview of PRA and discussion of the various PRA tools for watershed management planning is included. Six steps involved in Participatory Monitoring and Evaluation are also described. Extensive annexes provide different charts and formats for the PRE exercises.

Keywords: Nepal; WDR; Gorkha; Participation; Planning; Monitoring; Evaluation

Publisher Contact: UN Building, Box 25, Kathmandu, Nepal: PUCD Project/FAO

12. New ERA, 1996. *Training Report on Participatory Rural Appraisal Methodology*. Kathmandu, Nepal: New ERA.

Target Audience: Trainers and users of Participatory Rural Appraisal methodology for integrated watershed management.

The Participatory Upland Conservation and Development Project is aimed at improving management of upland catchments through the active participation of local households and communities. The project sets out to achieve this goal through planning and implementation that ensures the long-term social, economic, and production systems of the concerned rural communities are taken into account and balanced with downstream interest. This is a report of a PRA training programme for staff members of the PUCD project and government line agencies. The training objective is familiarisation with PRA concepts and techniques, hands-on experience with PRA, and collection of relevant information from the project area for future planning purposes leading to the preparation of participatory planning, monitoring, and evaluation guidelines for use in watershed management. The manual includes a review of the material presented to the participants, the socioeconomic information gathered, as well as a wide variety of figures, charts, and maps illustrating both the data and the PRA methodologies used.

Keywords: Nepal; WDR; Gorkha; Training; PRA

Publisher Contact: UN Building, Box 25, Kathmandu, Nepal: PUCD/FAO

13. Pedersen, Lone M., 1996. *Participatory Monitoring of Community Groups' Capacities*. Kathmandu, Nepal: CARE

Target Audience: Planners and field staff involved in participatory integrated rural development projects.

CARE Nepal implements integrated rural development projects on the principle of people's participation, community involvement in all phases of project implementation being a core element in the implementation strategy. The empowering of people to take charge of their own development activities is realised by mobilising and organizing various kinds of community groups with different roles and responsibilities. Once groups are formed, monitoring and evaluation of the results of the approach become important. The Spider Model has been introduced as a tool for monitoring community groups' capacities with the aim of facilitating self-awareness and action planning. The model has been tested in the Upper Andhi Khola Watershed Management Project since April 1996 and has also been used in evaluating the community organization in the Begnas Tal Rupa Tal Project in Pokhara. The report describes what the Spider Model is, how it has been applied, and some of the critical issues related to using the tool.

Keywords: Nepal; WDR; Syangja; Participation; Community Organization; Monitoring

Publisher Contact: PO Box 1661, Krishna Galli, Patan, Nepal: CARE International

14. Nath, Vikas, 1997: *Impact Study of Contour Bunding and Land Levelling*. Ahmedabad, India: AKRSP (I).

Target Audience: Extension agents and fieldworkers on agricultural development projects

Contour-bunding and land-levelling are two main activities of AKRSP's Soil and Water Conservation Programme. This study assesses their impact on the Jinagadh programme area. The methods are described and various impacts are analysed, including the impact on agricultural practices and a financial cost-benefit analysis. An important finding was a significant shift from Low-External Input Agriculture to High External Input Agriculture, depending heavily on artificial chemical inputs, hybrid seeds, mechanisation, and irrigation. This has reduced the inherent risks associated with farming.

Keywords: India; Gujarat; Soil conservation; Water Resources; Agricultural Development

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (I)

15. Oza, A. *NGO-GO Relationship in the Context of Irrigation Management Transfer (IMT)*. Ahmedabad, India: AKRSP (India).

Target Audience: Government officers and NGO organizers and workers involved in participatory irrigation management

This is a discussion of the comparative advantages of NGOs and GOs in working with communities in Irrigation Management Transfer, with a conclusion that the two types of organizations complement each other and should work effectively together. The specific roles played by NGOs are outlined: demonstration; community organizing; experimentation; policy lobbying, highlighting the process approach, and training. The issues in NGO - GO relationships are also explored. The paper concludes with suggestions for scaling up IMT through government encouragement of, and coordination with, more NGOs

Keywords: India; Participation; Irrigation; Community Development

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad 380 009, India: AKRSP (India).

16. Oza, A. *Training as a Priority for Participatory Irrigation Management* Ahmedabad, India: AKRSP (India).

Target Audience: Government officials and project planners in participatory irrigation projects.

It is argued here that weaknesses in operationalisation of PIM projects in India have resulted from a failure to train irrigation staff. Based on work done in

Gujarat, various suggestions are made to government that would lead towards the expansion of PIM activities. These include motivating and training more NGOs to participate in PIM and taking up additional PIM activity on its own. Training implications of these steps are also discussed, with the author suggesting that transformation is required within the Irrigation Department at both individual and organizational levels. The process of training in PIM, the lessons learned by AKRSP, and suggestions for training are also covered. An annex describes the process of PIM in Gujarat.

Keywords: India; Participation; Irrigation; Training

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad 380 009, India: AKRSP (India).

17. Pederson, L. M., 1996. *The Use of PRA in The Upper Andhi Khola Watershed Management Project, Syangja*. Nepal: CARE

Target Audience: Planners and field staff involved in participatory watershed management programmes.

The Upper Andhi Khola Watershed Management Project (UAKWMP) is an integrated rural development project implemented by the Department of Soil Conservation and Care International Nepal. Project implementation strategy is based on a community organization approach to "empower communities to assume responsibility for their own development processes....enabling them to prioritise, plan, implement, maintain, and evaluate all related local interventions through transfer of...skills...knowledge and resource generation and mobilisation techniques." PRA has been adopted as both a planning tool and a means of empowering community members to participate actively in their own development process. The report documents the project experience with the use of PRA in different aspects, including the planning process.

Keywords: Nepal; WDR; Syangja; PRA; Integrated Rural Development

Author Contact: PO Box 1661, Krishna Galli, Patan, Nepal, Ph: (977-1) 522143, 522153, 523717: CARE International.

18. Premkumar, P.D.; Humbert-Droz, Blaise, 1994. *Farmers are Engineers: Indigenous Soil and Water Conservation Practices in a Participatory Watershed Development Programme*.

Target Audience: Field staff, development planners, and policy-makers involved in rural development programmes, specifically integrated watershed development.

Taking the farmer as an engineer, this book also conveys the message that the farmer must be a manager to ensure the sustainability of the systems introduced. It records evidence that, given a chance, local institutions and traditional systems of self-reliance can emerge and develop into tangible and sustainable institutions and structures. The Participative and Integrated Development of Watershed (PIDOW) project believes that development assistance should be based on a thorough understanding of local situations and existing management systems, building on the knowledge, skills, and experience of local people. Recognising indigenous soil and water conservation practices leads to the conclusion that farmers should play the key role of decision-makers not only in planning and implementation but also in designing the programme and the sequence of its interventions. The document aims to promote a deeper understanding of farmers' knowledge and skills, building a case for their application in PIDOW itself and to provide a source of information and reference for other similar projects. The study also provides an understanding of the significance of micro-environments in enabling farmers to make optimal use of their land and in increasing productivity in drylands. Diagrams and photographs illustrate the practices described.

Keywords: India; Participation, Soil conservation

Publisher Contact: Prakruthi-Gnana Kendra, Kamalapur 585 313, Fulbarga, Karnataka, INDIA: PIDOW -MYRADA,

19. PWMTA, 1996/1997. *Case Studies of People's Participation in Watershed Management in Asia: Part 1: Nepal, China and India; Part 2: Sri Lanka, Thailand, Vietnam and Philippines*. Kathmandu, Nepal: PWMTA.

Target Audience: Policy-makers and development planners involved in watershed management.

These documents present successful cases of people's participation in watershed management that have started emerging in Asia. The studies are analysed in their national contexts, and they present a variety of situations: in the Nepal case, the government agency was assisted by an international organization in its funding and execution; in China, it was a fully national effort and reflects national policies and programmes after the 1982 reforms; the Indian example documents a locally-driven Gandhian approach to watershed management by a village-level farmers' organization; the Sri Lanka case reports on completely indigenous efforts of people in management of the watersheds of traditional tank irrigation systems; the Thailand study highlights mechanisms used for developing farmers' organization networks to aid in people's

empowerment for highland area watershed management with assistance from an international project based on indigenous knowledge; the Vietnam case reports the initiation of the process of people's participation in watershed management under conditions of extreme poverty with little national or international financing available; and the Philippines case exposes the importance of land use titling and farmers' organization building for people's participation in watershed management.

Keywords: Asia; Participation; Case Studies, Nepal; China; India; Sri Lanka; Thailand; Vietnam; Philippines

Publisher Contact: P.O. Box 25, Kathmandu, Nepal: PWMTA/WMTUH/FARM Programme

20. PWMTA/FARM, 1997. *Participatory Processes for Integrated Watershed Management*, Kathmandu, Nepal: PWMTA

Target Audience: Planners and policy-makers involved in developing programmes for participatory watershed and natural resource management.

This is a report of a regional workshop held in October 1996 in Kathmandu to analyse the experiences of successful participatory watershed management. Part 1 attempts to establish the key elements of the participatory processes based on an analysis of related case studies and also highlights certain lessons about the participatory methodology required for successful watershed management. Part 2 includes detailed articles on gender, land titling, and legal aspects related to participatory watershed management and natural resource management. Part 3 reports on successful experiences.

Keywords: Asia; Participation; Watershed Management

Publisher Contact: U.N. Building, P.O. Box 25, Kathmandu, Nepal: PWMTA Programme

21. Sharma, K.N., 1992. *Ways and Means of Effective People's Participation in Soil Conservation and Watershed Management Programmes*.

Target Audience: Policy-makers and planners involved in participatory development efforts.

Introducing the concept of people's participation, the author traces the history of people's participation in Nepal's development efforts. He specifically analyses participation in irrigation, the small farmer development programme, community and private forestry, and soil conservation and watershed management. Various problems related to sustainable participation, issues related to policy, legitimacy, resources, management, attitudes, and withdrawal are also discussed and recommendations made for

solving them. The role of training at different levels: policy-makers, programme implementors, and fieldworkers: is highlighted.

Keywords: Nepal; Participation

22. Sharma P. N.; Stainburn, J.M., 1997. *A Rapid Review of the National Watershed Development Project for Rainfed Areas (NWDPR) in India*. Kathmandu, Nepal: PWMTA Programme.

Target Audience: Individuals connected with the NWDPR and others involved in similar projects elsewhere.

The NWDPR is a nationwide programme operating in 2,500 small pilot watersheds throughout India. Its ultimate objective is to develop the natural resource base and sustain its productivity, improve standards of living and restore the ecological balance. Programme strategy rests on integrated watershed management through people's participation and sustainable farming systems' development. This review intends to assist the programme by identifying gaps and constraints to its successful application and by offering recommendations to strengthen the implementation process, particularly in the field.

Keywords: India; Rainfed Farming; Farmers' Associations; Farming Systems; Participation

Publisher Contact: UNDP Building, P.O. Box 25, Kathmandu, Nepal: PWMTA Programme.

23. Sharma, P.N. (ed), 1996. *Recent Developments, Status and Gaps in Participatory Watershed Management Education and Training in Asia*. Kathmandu, Nepal: PWMTA

Target Audience: Training and educational institutions related to watershed management.

The Participatory Watershed Management Training in Asia Programme aims to assist the 10 member countries through human resource development in participatory watershed management. This field document is an outcome of a Regional Expert Consultation cum Advisory Committee Meeting that was held shortly after PWMTA operationalisation to review the status of watershed management (WM) education and training in the participating countries in light of recent advances in the field of participatory watershed management. Gaps in participatory WM education and training, both formal and informal, were identified and an action plan to reduce the gaps developed. Publication of this document is intended to assist training and educational institutions related to WM to begin updating their participatory management training and education programmes. The document includes both a background to the PWMTA Programme and an overview of WM related

education and training programmes in Asia. Recent developments discussed include papers on a gender framework for resource management, case studies from Nepal on the empowerment of farmers and its impact on natural resource management, and on the lessons learned from community forestry. Other papers cover HRD needs and sustainable mountain agriculture, the status of watershed modelling and GIS for Rapid Impact Assessment of changes in land use and management practices, a framework for conservation of lands in Asia and an approach to farmer-led sustainable upland WM. Separate papers discuss the status of WM education and training in Bangladesh, China, Myanmar, Nepal, Pakistan, the Philippines, Sri Lanka, Thailand, and Vietnam.

Keywords: Asia; Participation; Education; Training; Case Studies; Bangladesh, China, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, Vietnam

Publisher Contact: U.N. Building, P.O. Box 25, Kathmandu, Nepal: PWMTA Programme.

24. Sharma, P. N.; Wagley, Mohan P. 1996. *The Status of Watershed Management in Asia*. Kathmandu, Nepal: PWMTA

Target Audience: Policy-makers and development planners in watershed management systems.

This publication reviews watershed management in seven member countries of the Farmer-centred Agricultural Resource Management Programme (FARM) and the Participatory Watershed Management Training in Asia programme. Papers document the state of the art and status of watershed management in China, India, Nepal, the Philippines, Sri Lanka, Thailand, and Vietnam. These national reviews were analysed to identify the policy issues, and one paper presents an overview of watershed management policy issues in Asia. In addition a farmers' organization network model based on national experiences is proposed, which is now functioning at some demonstration watersheds. A review of the status of the methods for planning and implementing watershed/natural resource management programmes is also included.

Keywords: Asia, Watershed Management

Publisher Contact: FAO (UN), P.O. Box 25, Kathmandu, Nepal: PWMTA-FARM Programmes,

25. Watershed Management Dehradun (UP). *Watershed Management 1995, Village Chowki PRA Plan: First Round*. Dehradun, India: WN Dehradun.

Target Audience: Development planners, policy-makers, and field staff involved in participatory watershed management planning.

The strategy of the Watershed Management Project is village-based eco-planning on a watershed basis. Such planning aims to give priority to local people's needs and wishes, together with primary environment care. PRA methods are the mainstay for preparing village plans; physical and financial targets are to be evolved from the plans. This report documents the process of the first round of planning through PRA, which resulted in a plan based essentially on villagers' analyses and requirements. Chapter 5 outlines the planning process, strategy, and proposed implementation, along with monitoring and evaluation for some activities.

Keywords: India; UP; Dehradun; PRA; Planning

Publisher Contact: Dehradun (UP), India: Watershed Management Dehradun

26. Wijayarathna, C.M., 1995. *A Participatory Holistic Approach to Land and Water Management in Watersheds*. Colombo, Sri Lanka: IIMI/SCOR.

Target Audience: Planners and fieldworkers in integrated watershed management projects.

This paper examines concepts and strategies of a participatory action research project aimed at developing and testing a holistic interdisciplinary approach to integrating environmental and conservation concerns with production goals in the watershed context. The Shared Control of Resources (SCOR) project is testing a strategy to increase the sustainable productivity of the land and water resource base in Sri Lanka in ways that will equitably improve the livelihood of the people with due regard for the environment. The focus is on the watershed as a basic planning, coordinating, and implementation unit. The paper discusses SCOR concepts and strategies, participatory project design, and constraint analysis.

Keywords: Sri Lanka; Participation; Natural Resource Management

Publisher Contact: 107 Havelock Rd. Colombo 5, Sri Lanka: IIMI

Monitoring and Evaluation

1. Feuerstein, Marie-Therese, 1992: *Partners in Evaluation: Evaluating Development and Community Programmes with Participants*. Place and publisher not given.

Target Audience: Development workers and others involved in development programmes interested in learning about monitoring and evaluation.

This book will help individuals involved in development programmes who want to know more about participatory monitoring and evaluation. The book discusses the meaning of 'participation' and ten steps in participation evaluation are identified and explained. It discusses the required development of skills in analysis and organization and covers planning and organizing resources and data collection, including the use of existing knowledge and records, reporting, and using evaluation results. Very practically-oriented, the book includes various techniques, such as maps, that are similar to PRA tools for helping participants express their knowledge and information.

Keywords: Worldwide; Evaluation; Participation

Publisher Contact: unknown.

2. Gohl, E., 1992. *Participative Impact Monitoring: Guidelines for the Case Studies*, Eschborn, Germany: GATE.

Target Audience: Individuals involved in preparing case studies under the principles of participative impact monitoring.

This paper sets out to promote the monitoring of sociocultural impacts of self-help projects. The projects should be based on people's active participation in decision-making and should aim at increasing autonomy. The monitoring is understood as a continuous observation of relevant indicators for steering purposes. The main actors should be NGOs and self-help support organizations of rural development projects. The purpose is to make the impact observed by the actors during project implementation a criterion for project progress, to facilitate the progressive assumption of responsibility by the self-help

groups, and to emphasise the sociocultural and psychological factors during implementation. Guidance is given for both group-based and NGO-based monitoring.

Keywords: Worldwide; Integrated development; Participation; Monitoring

Author Contact: Dag Hammarskjold-Weg 1-2, Postfach 5180. D-6236 Eschborn, Germany: German Appropriate Technology Exchange.

3. Johnson, D., 1992. *Participatory Evaluation*. MYRADA, Bangalore, India.

Target Audience: PRA practitioners and others interested in participatory evaluation.

Coming out of an international workshop on the use of PRA tools, this paper is based on the work of a group of participants who explored the use of PRA tools in evaluating a community-based drinking water programme. Six main PRA tools were used: water system map, focus group discussion, time allocation drawing, seasonality of diseases, individual interviews, and an observation walk. The main objective in the village was to help the community and MYRADA evaluate the water supply system installed by the community, MYRADA, and the local government. Through the use of these tools, some flaws in the system were discovered. The author cautions that, despite the success of the participatory approach, some problems with the PRA tools exist, specifically a tendency to try to elicit too much information too quickly; insufficient self-criticism by the outside catalysts in how the information is gathered, analysed, and shared with the community; and lack of verification of the information through other sources by different means. The conclusion is that PRA's evaluative tools empower a community to participate actively in determining its needs and in generating plans of action.

Keywords: India; PRA; Evaluation; Case Studies

Publisher Contact: 2 Service Road, Domlur Layout, Bangalore 560 071, India: MYRADA

4. Joseph, S., 1990. *Guidelines for Planning, Monitoring and Evaluating Cookstove Programmes*. Rome, Italy: FAO

Target Audience: Policy-planners and fieldworkers involved in participatory-based pilot and national stove programmes.

Here is offered a concise set of participatory guidelines for planning, monitoring, and evaluating stove programmes. This manual includes a definition of monitoring and evaluation and the criteria and indicators to be used. It also includes a methodology involving users, producers, extension workers, managers, and researchers in the monitoring and evaluation process. It provides a method for planning and managing monitoring and evaluation programmes and a simple system for collection, analysis, and use of monitoring data as well as guidelines for training monitors who will collect the data and communicate it to users and producers. The manual is designed for use by professionals at all levels, in all types and sizes of programmes. Appendices allow the reader to tailor the system to meet the specific needs of individual programmes.

Keywords: Worldwide; Planning; Monitoring; Evaluation

Publisher Contact: Publications' Division, Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

5. McPherson, S., 1996. *Participatory Monitoring and Evaluation: Overview*. Place and publisher not given.

Target Audience: Practitioners or Researchers Interested in the Latest Developments in Participatory Monitoring and Evaluation.

This annotated bibliography focusses on the application of PRA methods to Participatory Monitoring and Evaluation (PM&E). Despite this focus, examples of other approaches such as auto-evaluation, beneficiary assessment, participatory assessment monitoring and evaluation, participatory impact monitoring, peoples' self-evaluation, and self-evaluation are also included. The literature reveals that PM&E is most useful when used in conjunction with other participatory methods deployed throughout the project cycle. The bibliography includes case studies describing the use of PRA and PM&E in the field, but suggests the need for more such reporting from the field.

Keywords: Worldwide; PRA; PME; Evaluation

Publisher Contact: <http://www.ids.ac.uk/eldis/pr/pramoov.html>

6. Stephens, A., 1990. *Participatory Monitoring and Evaluation: Handbook for Training Fieldworkers*. Bangkok, Thailand: FAO.

Target Audience: Fieldworkers and other small group facilitators in rural areas.

This is a guide for training fieldworkers to assist village groups that want to develop a monitoring and evaluation system which will allow everyone to participate, to benefit from, and to use data collected and generated in the process. It introduces the purposes and techniques of PME. The language is simple and direct and many sample charts are provided. In addition, specific examples of particular applications are given.

Keywords: Asia; PME

Publisher Contact: 39 Phra Atit Road, Bangkok 10200, Thailand: FAO Regional Office for Asia and the Pacific

7. SDC, 1991. *Mirror, Mirror on the Wall: Self-Evaluation in Development Cooperation*. Switzerland: SDC

Target Audience: Various actors in the projects and structures of development cooperation, including partners, beneficiaries, project managers, members of various departments of SDC, or private institutions

The aim of this working guide is to encourage the conscious use of self-evaluation (SE) in projects and structures of development cooperation. 'Self-evaluation' refers to various tools and methods which provide a critical and constructive analysis of an individual's activities and their consequences. Self-evaluation is designed to illuminate one's own area of responsibility and help find possible improvements. The principal motives of SE are emancipation and autonomy, preventing the bearers of responsibility at all levels from being overtaxed by outsiders. Each step in preparation for SE should be within the bounds of these principles. The eight introductory steps, which can be taken in any order depending on the actual situation of individual projects, are: objectives and purpose of SE; resistance to SE; subjects and indicators; norms, methods, and tools; time and energy, participants; and advisors and mandated persons. Case studies, a framework for SE, and a diagram explaining terms and showing the relationship of SE to various parts of the development process are included. The overall goal of SE is to increase the sustainability of development projects.

Keywords: Worldwide; Development projects; PME; Evaluation

8. SDC, 1994. *Manual on Self-Evaluation: Part 1 - Brochure on Self-Evaluation Themes; Part 2 - Suggestions for Methodological Procedure*. Switzerland: SDC

Target Audience: The manuals are addressed primarily to those who already have a certain experience in self-evaluation or who wish to acquire experience.

This manual builds on the earlier *Mirror, Mirror on the Wall*, illustrating the objectives of self-evaluation in more depth. The main part of the manual contains explanations and information on the concept of self-evaluation and its practical application. Accompanying the thematic brochure is a methodological one which provides an aid corresponding to the practical problems raised in the first section. The manuals are designed so that anyone interested in self-evaluation can discover suggestions of general interest concerning self-evaluation for all participants, suggestions addressed to persons conducting individual self-evaluation, suggestions for self-evaluations of groups, institutions, and projects/programmes.

Keywords: Worldwide; Development administration; PME; Evaluation

9. Warren, P., 1996. *Strengthening the Participatory Process through Community-based Evaluation and Re-Planning Workshops: Report of a Pilot Experience Carried Out by Local User Groups and Project Staff in Chhoprak VDC*. Kathmandu, Nepal: UNDP.

Target Audience: Planners and field staff involved in participatory natural resource management and human development.

The report describes the design and facilitation of a pilot Community Action Plan (CAP) evaluation and re-planning workshop. The workshop was part of the reorientation of the scope and strategy of the PUCP project towards a community-driven natural resource management and human development process. As providing assistance to CAP's implementation became a core element of PUCP action, achievement of preliminary physical results and related progress in user groups entailed the need for establishing a

participatory evaluation practice. The report describes the context, design, preparation, implementation and staff-level evaluation of the experience, paying attention to methodology and lessons learned about organizing and facilitating such workshops in the future.

Keywords: Nepal; Gorkha; PME; Planning

Author Contact: c/o UNDP Box 25, Kathmandu, Nepal: FAO/PUCP.

10. Warth, H., 1993. *Report on Technical and Methodological Consultancy Services with Special Consideration of a Design for Participatory Investigation, Planning, Implementation, Monitoring, Evaluation and Documentation (IPIMED) to the Nepalese-German Churia Forest Development Project in Nepal*. Patan, Nepal: GTZ, GTZ Churia Project.

Target Audience: Policy-makers and planners of participatory resource management programmes.

This proposal deals with basic principles of self-help promotion and those of resource management, and offers practical instruments and guidelines. The underlying process is learning by doing and the development of human resources by implementation. Thus, though learning is a prime consideration, no training centres are proposed. IPIMED should be understood as a reflection on actually interlinked human procedures in dealing with the natural, economic, social, institutional, and political environment.

Keywords: Nepal; Churia; PME; Community forestry; Participation

Publisher Contact: Patan, Nepal: : GTZ Churia Project.

Monitoring and Evaluation - Agriculture

1. FARM, 1996. *Report of the Working Session to Develop Indicators to Monitor and Evaluate the Sustainability of Agricultural Resource Management at Household and Community Levels in the Farm Programme Participating Countries*. Bangkok, Thailand: FAO.

Target Audience: Field-level officers and project managers of agricultural resource management programmes.

A goal of the FARM programme is to develop capacities of farm communities to enhance their agricultural resources through appropriate practices and approaches designed to improve their livelihoods. Twenty-two people from Thailand, Nepal, India, Sri Lanka, the Philippines, and Indonesia and FAO task-force members met in June 1996 to work on the following issues: to clarify and develop a common acceptable working definition of sustainable agricultural resource management for rainfed farming communities; and to identify and define indicators to monitor and evaluate the sustainability of activities undertaken by these communities in agricultural resource management; to assist the FARM PROGRAMME to improve and finalise its monitoring and evaluation system. These purposes were largely fulfilled. The working definition of sustainable agricultural resource management is: "Farm households and communities continuously improving their livelihood by utilising and enhancing their resources through appropriate practices and methods."

Keywords: Asia; Management; Monitoring; Evaluation

Publisher Contact: FARM Programme, FAO Regional Office for Asia and the Pacific, Maliwan Mansion, Phra Atit Road, Bangkok 10200, Thailand e-mail: fao-rapagnet.com

2. Fithriadi, R., 1997. *Farmer-Level Planning, Monitoring and Evaluation*. Asia-Pacific Agroforestry Network, Indonesia: APAN.

Target Audience: Trainers, farmers and field staff in participatory farmer-level agricultural development programmes.

This training exercise follows up on the FARM Programme's objective of "enhancing the capabilities of government and non-government organizations to build the local capacity of resource-poor communities and farmers." It brought together 27 farmer leaders, extensionists, and researchers for a participatory field training exercise. The joint training helped extensionists and researchers realise they had to respond to farmers' needs rather than make farmers respond to the needs of their organizations. The farmers also learned that they are primarily responsible for decision-making, and for the management of their farm resources and livelihoods, with the support of extensionists and researchers. For this to work, the farmers must plan, in such a way as to identify problems and needs as well as possible solutions. The training addressed farmer-level planning, monitoring, and evaluation. The document is designed to share the experiences learned. Development of conceptual frameworks and methods, including case studies and testing, are all covered.

Keywords: Indonesia; Agriculture; PME; Planning

Publisher Contact: P.O. Box 481, Bogor 16004, Indonesia: APAN Secretariat.

3. Kumar, K., 1987. *Low-Cost Data Collection Methods for AID*. USA: AID Document and Information Handling Facilities.

Target Audience: AID managers and others requiring rapid, low-cost data collection for programme and policy planning.

This guide sets out to provide AID managers with general guidance on the use of rapid, low-cost data collection methods that can generate information for programme and policy planning, design, implementation, monitoring, and evaluation. It discusses the nature and types of low-cost methods, what should be included in the scope of work for investigations using these methods, and how to determine whether they are appropriate for meeting specific needs. The methods included are key informant interviews, focus group interviews, community interviews, direct observation, and informal

Monitoring and Evaluation - Forestry

1. Branney, P., 1994. *Evaluation of the Community Forestry Management Programme*. Nepal U.K. Community Forestry Project, Kathmandu, Nepal: NUKCFP.

Target Audience: Staff of Nepal-U.K. Community Forestry Project and District Forest Office staff who are initiating and supporting forest user group-based participatory forest management.

This report aims to evaluate the Nepal-UK CF Project's success in achieving project objectives and to incorporate project and District Forest Office staff experiences in implementing the programme into a revised programme focussing on participatory forest management. The objectives and components of the forest management programme are analysed, the achievements and constraints identified, and recommendations made.

Keywords: Nepal; Evaluation; Participation; Forest Management

Publisher Contact: Baluwater, Kathmandu, Nepal: NUKCFP.

2. ODA, 1996. *Issues, Indicators and Tools to Monitor Joint Forest Management Processes in Pilot Locations*. HP, India: ODA.

Target Audience: Field-level forest department officials and project officers

Provided here is a list of seven issues to do with joint forest management and specific indicators which can be used to determine whether the hoped-for positive changes have occurred within the committee, within the forest, and within the minds of the forest officials. Issues include participation of women on the committee, changes in the thinking and attitude of committee members and forest officials, the condition of the forest, etc.

Keywords: India; HP; Monitoring; Forestry

Publisher Contact: Overseas' Development Administration, Himachal Pradesh Forestry Project, Department of Forest Farming and Conservation, HP

3. Tata Energy Research Institute, 1996. *Workshop on Social Studies/Monitoring and Evaluation for the Department of Forest Farming and Conservation Himachal Pradesh*. New Delhi, India: TERI.

Target Audience: Forest department staff and members of user groups and forest development committees involved in joint forest management and planning programmes.

This document records the process and decisions made at a joint meeting of various stakeholder groups involved in Joint Forest Planning and Management (JFPM) in Himachal Pradesh. In HP, it is envisioned that the JFPM programme will build the participation of people into the activities of the Department of Forest Farming and Conservation. The programme aims at the development and implementation of sustainable systems of forest land management which strike an optimum balance between the needs of local people and environmental concerns. Integration of the existing top-down approach with the newly-envisaged bottom-up approach is an essential component of the project. One distinctive feature is the emphasis on monitoring, particularly process monitoring: information that is fed back to the project for improved planning and management. The workshop described was designed to develop a framework for monitoring the project.

Keywords: India; HP; Monitoring & Evaluation; Forest Management

Publisher Contact: Overseas' Development Administration, New Delhi, India

4. Young, D. *Community Forestry Impact Model, Model Design*. Kathmandu, Nepal: Nepal U.K. Community Forestry Project.

Target Audience: Project managers of forestry programmes moving from a passive level of community forestry management to more active intervention by the users.

An outline is provided to construct a spreadsheet model of the impact of community forestry which is intended to demonstrate the benefit of moving from a relatively passive level of CF management to more active

Participatory Rural Appraisal and Similar Approaches

1. Chambers, R., 1993. *Relaxed and Participatory Rural Appraisal: Notes on Practical Approaches and Methods*. Brighton, U.K.: IDS, University of Sussex.

Target Audience: Individuals interested in learning more about Rapid Rural Appraisal and Participatory Rural Appraisal methodologies.

These notes are an outline introduction to what has been called rapid and participatory rural appraisal. Pointers are given to the history, rationale, and methods of rapid rural appraisal and to its further development into Participatory Rural Appraisal. In a PRA mode, rural people are enabled to conduct their own investigations, analysis, presentations, planning, and action; to own the outcome; and to teach the development workers, sharing their knowledge. In addition to covering the history of the approaches, the paper covers principles shared by RRA and PRA. Problems and dangers are pointed out. PRA approaches and methods are outlined, and practical tips are included. Following up on examples and applications of RRA and PRA is a section on the frontiers and the future of PRA.

Keywords: Worldwide; PRA

Author Contact: University of Sussex Falmer, Brighton, East Sussex BN1 9RE, U.K.: Institute of Development Studies.

2. Chambers, R., 1994. 'Participatory Rural Appraisal: Challenges, Potentials and Paradigm'. In *World Development*, Vol 22, No. 10. Great Britain: Elsevier Science, Ltd.

Target Audience: PRA practitioners and others interested in participatory approaches to development project planning and implementation.

This is a theoretical review of the spread of Participatory Rural Appraisal, which has been largely lateral, through experiential learning and changes in behaviour, with different local applications. The paper notes the need for quality assurance as well as its promising potential, including monitoring and evaluation, which have been developed.

Keywords: Worldwide; PRA

Author Contact: Elsevier Science, Ltd. Great Britain: World Development

3. Chambers, R., 1994. *The Origins and Practice of Participatory Rural Appraisal (PRA)*. IDS, University of Sussex, Brighton, U.K.

Target Audience: Field staff and development planners.

This paper provides an overview of the origins, principles, approaches, methods, and applications of PRA from the perspective of early 1994. PRA describes a family of approaches and methods enabling local people to share, enhance, and analyse their knowledge of life and conditions, to plan and act. PRA applications include national resources' management (including participatory watershed planning), agriculture and social programmes, and health and food security. With PRA, more of the activities previously appropriated by outsiders are carried out by local people themselves. Related approaches are described and 'PRA methods' are listed and explained. The four main types of processes covered by PRA include: participatory appraisal and planning; participatory implementation, monitoring, and evaluation of programmes; topic investigations and training and orientation.

Keywords: Worldwide; PRA; Planning, Monitoring; Evaluation; Training

Publisher Contact: University of Sussex, Falmer, Brighton, East Sussex BN1 9RE, U.K.: IDS.

4. FAO, 1994. *The Group Promoter's Resource Book: A Practical Guide to Building Rural Self-help Groups*. Rome: FAO.

Target Audience: Group promoters working to help with group formation among the rural poor for purposes of income generation.

This resource book shows group promoters' methods of group formation within rural communities for purposes of income generation and improvement of living conditions. It presents a participatory approach,

including background information on the role and working methods of a group promoter and participatory learning methods. The second section focusses on key steps in building self-help groups: group formation, inter-group associations, income generation, and participatory monitoring and evaluation. Annexes include participatory learning and Participatory Rural Appraisal techniques, as well as lists of publications and addresses for further information on the self-help group approach. It is an easily understood, simple-to-use guide book that includes many sample forms and worksheets.

Keywords: Worldwide; Participation; Learning; Rural Development; Income Generation; Monitoring; Evaluation; Manual

Publisher Contact: Publications' Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

5. Ford, R., 1996. *PRA's First Generation: Making Sense of Lessons From the Field*. Worcester Mass, 01610 USA: Clark University

Target Audience: PRA practitioners and others interested in learning more about community-based development.

The articles identify four lessons about elements that work and that are bringing about a fundamental revolution in development planning and implementation. They speak to dilemmas which have prevented projects from being sustainable in the past. These are: participation which opens access to development decision-making and policy to previously excluded groups; accountability which increases transparency in data analysis, decision-making and monitoring; partnerships which stimulate dialogue and agreement between previously distant or isolated units; and ownership of information, project activity, and productive resources, which promotes more responsibility among local resource users and managers. The article also identifies areas for additional research and concludes with recommendations for continued application of community-based tools for new or as-yet unfilled needs.

Keywords: Worldwide; PRA; Community Development ; Planning

Author Contact: Worcester Mass, 01610 USA: Clark University.

6. IIED, 1995. *A Trainer's Guide for Participatory Learning and Action*. London, UK: Sustainable Agriculture Programme, IIED.

Target Audience: Trainees and practitioners of participatory methods, including researchers, Policy-makers, villagers, etc.

This manual provides an overview on the basics of interactive training, focussing on the role of the

facilitator as well as on the implications of managing group dynamics and building interdisciplinary teams. Principles of participatory learning are summarised and both workshop and field-based training are discussed. Over 100 games and exercises are described, covering various aspects of participatory methodology, including exercises to improve analysis, evaluation, ranking, and scoring. Appendices provide recommended references on Adult Learning and Human Resources' Development and on networks and sources of PRA materials free to Third World readers.

Keywords: Worldwide; Participation; Training; Methodology

Publisher Contact: 3 Endsleigh St., London WC1H 0OD, UK: Sustainable Agriculture Programme IIED

7. Krishi Gram Vikas Kendra, n.d. *PRA Lecture Notes*. Ranchi, India: Vikas Vidyalaya.

Target Audience: Fieldworkers, trainers, community organizations involved in participatory development efforts.

This is a manual, in Hindi as well as in English which includes copies of materials developed at a 'PRA camp' following up on PRA training conducted by Robert Chambers and James Mascaranas. Training materials, examples of charts, and maps and transects are included.

Keywords: India; PRA; Methodology

Publisher Contact: x P.O. Ineori, Vikas Vidyalaya, Ranchi 835 217, India: Krishi Gram Vikas Kendra

8. Mosse, D., 1994. *Authority, Gender and Knowledge: Theoretical Reflections on the Practice of Participatory Rural Appraisal*. Oxford UK: Blackwell Publishers.

Target Audience: Practitioners of PRA and other participatory development methodologies.

The article examines constraints experienced in the early stages of one development project using PRA methodology and suggests general issues to which they point. In particular it suggests that, as participatory exercises, PRAs involve 'public' social events which construct 'local knowledge' in ways that are strongly influenced by existing social relationships. Thus, information for planning is shaped by relations of power and gender, and by the investigators themselves. Certain kinds of knowledge are often excluded. The paper suggests that as a method for articulating existing local knowledge, PRA needs to be complemented by other methods of 'participation' which generate the changed awareness and new ways of knowing which are necessary to locally controlled innovation and change.

Keywords: India; PRA; Gender

Publisher Contact: 108 Cowley Rd. Oxford OX4 1JF, UK: Blackwell Publishers.

9. New ERA, 1996. *Training Report on Participatory Rural Appraisal Methodology*. Kathmandu, Nepal: New ERA.

Target Audience: Trainers and users of Participatory Rural Appraisal methodology for integrated watershed management.

The Participatory Upland Conservation and Development (PUCD) Project aims at improved management of upland catchments through active participation of local households and communities. The project aims to achieve this goal through planning and implementation that ensures that the long-term social, economic, and production systems of the concerned rural communities are taken into account and balanced with downstream interest. This is a report of a PRA training programme for staff members of the PUCD project and government line agencies. The training objective was familiarisation with PRA concepts and techniques, hands-on experience with PRA, and collection of relevant information from the project area for future planning purposes leading to the preparation of participatory planning, monitoring, and evaluation guidelines for use in watershed management. The manual includes a review of the material presented to the participants and the socioeconomic information gathered, as well as a wide variety of figures, charts, and maps illustrating both the data and the PRA methodologies used.

Keywords: Nepal; Gorkha; Training; PRA; Watershed Management; Manual

Publisher Contact: UN Building, Box 25, Kathmandu, Nepal: PUCD/FAO.

10. PRIA, 1987. *Training of Trainers: A Manual for Participatory Training Methodology in Development*.

Khanpur, New Delhi, India: PRIA, Society for Participatory Research in Asia.

Target Audience: Grassroots' activists and educators involved in participatory approaches whereby people are not 'developed' but learn to develop themselves through their own actions.

Participatory training methodology aims to involve participants in the learning process, encouraging them to see themselves as sources of information and knowledge and thus empowering them. This is crucial to the participatory development process. Despite talk of participatory and learner-centred training, however, much training is still conducted in a formal teaching mode. This manual covers the context and principles of participatory training, the role of the trainer and how to design a training programme. It provides a variety of learning-training methods and includes a section on evaluation and follow-up.

Keywords: Asia; Participation; Training; Manual

Publisher Contact: 25, Sainik Farm, Khanpur, New Delhi 110 062, India: Society for Participatory Research in Asia.

11. SDC, 1993. Swiss Development Cooperation. 1993.

Target Audience: Persons seeking a brief overview of basic Participatory Rural Appraisal methodology, including descriptions of commonly-used tools.

This brief overview of Participatory Rural Appraisal, including an introduction to commonly-used tools is designed to enable individuals to decide whether or not PRA might be useful in particular working situations.

Keywords: Worldwide; PRA

Publisher Contact: Evaluation Service, CH-3003 Bern, Switzerland: SDC

Participation: Practical Applications

1. AKRSP (India). *Agrarian Change through Cooperative Effort: Samadhiala Lift Irrigation Society*.

Target Audience: Field-level village organizers and community development workers, particularly those involved in irrigation projects.

This is a case study of community organization in a poor village which was initially apathetic and indifferent to any development initiative. Staff persistence gradually overcame community resistance. The study discusses how farmer participation was brought about, including the development of a democratic farmers' organization. Details of how AKRSP overcame various difficulties and a discussion of project impacts are included. The study concludes that development cannot be 'hurried along' and that all players - farmers, the NGO, and local government units must combine their efforts.

Keywords: India; Participation; Irrigation; Case Study

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

2. Asia Pacific Agroforestry Network (APAN), 1994. *Participatory Methods and Tools For Agroforestry Applications In Asia-Pacific*. Indonesia: APMN.

Target Audience: Trainers and extension workers dealing with agroforestry diagnostic methods and tools with farmers in the field.

This document covers a training course on agroforestry training at technical and extension levels. Objectives were 1) to strengthen agroforestry technical and extension training; 2) to review the status of agroforestry training; 3) to discuss and practice participatory methods and tools; and 4) to identify specific follow-up activities. The report covers all aspects of the training programme and includes many tables and figures.

Keywords: Asia; Agroforestry; Participation

Publisher Contact: Bogor, Indonesia: FAO/APAN.

3. Bartlett, A.G. and Nurse, M.C., 1991. *A Participatory Approach to Community Forest Appraisals*. Kathmandu, Nepal: Nepal Australia Community Forestry Project.

Target Audience: Fieldworkers and planners in community forestry projects.

In the context of Nepal's community forestry programme, this document presents two types of participatory appraisals developed by the Nepal Australia Community Forestry Project: 1. Participatory Community Forestry Appraisal, for use when communities want to develop an Operational Plan for existing forests and plantations, 2. Participatory User Group Nursery and Plantation Appraisal to assist fieldworkers involved in establishing UG nurseries and plantations. Also discussed are the two categories of information needed to implement CF in Nepal: social information and resource information.

Keywords: Nepal; Participation; Community Forestry

Author Contact: P.O. Box 208, Kathmandu, Nepal: Nepal Australia Community Forestry Project.

4. Basnyat, M., n.d. *Introducing Participatory Development. Decentralisation Support Project*. Kathmandu, Nepal: UNDP

Target Audience: Government officers, project planners and fieldworkers involved with development work

This paper introduces the situation in Nepal and discusses participatory development as an approach to district development. It is an academic document that nevertheless provides a detailed analysis of the approach as it has developed under the decentralized framework adopted for Nepal's development since 1990.

Keywords: Nepal; Participation; Development

Author Contact: P.O. Box 25, Kathmandu, Nepal: Decentralization Support Project, UNDP.

5. Bruce, J., 1989. *Community Forestry: Rapid Appraisal of Tree and Land Tenure*. Rome: FAO

Target Audience: Fieldworkers and planners in community forestry projects.

This document provides a framework for analysis and design of community forestry activities that first considers tenure issues within three tenure types: holding, commons, and reserve, and then examines opportunities for tree planting and land use under each. In attempting to use Rapid Appraisal methods as much as possible, it describes the methodology and field procedures as well as findings. The conclusion discusses tenure opportunities and tenure strategies.

Keywords: Worldwide; Methodology; Community Forestry

Publisher Contact: Publications' Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

6. D'Arcy, Davis-Case, 1989. *Community Forestry: Participatory Assessment, Monitoring, and Evaluation (PAME)*. Rome: FAO.

Target Audience: Community development policy-makers and field staff who are or want to become involved in participatory approaches to monitoring and evaluation.

A concept paper designed to both introduce the concept of participation and educate field workers in how to get to know, work with, and build upon the enthusiasm of rural people. The PAME approach encourages, supports, and strengthens communities' existing abilities to identify their own needs and objectives, and then to monitor and evaluate to adjust these within the project time-frame. Methods include community selection and analysis, participatory evaluation events, information analysis, and communication of results. A variety of 'tools' are provided, as is a bibliography.

Keywords: Worldwide; PME; Manual

Publisher Contact: Publications Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

7. D'Arcy Davis Case, 1990. *The Community's Toolbox: The Idea, Methods and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry*. Rome: FAO.

Target Audience: Field staff using the Participatory Assessment Monitoring and Evaluation (PAME) approach.

This field manual is based on needs expressed by field staff at a workshop on Participatory Assessment Monitoring and Evaluation (PAME) held in 1988 in Kenya. Section 1 discusses the principles and benefits of PAME; Section 2 the methods: participatory assessment, participatory baselines, participatory

monitoring, participatory evaluation, information analysis, and presentation of results; and Section 3 presents 21 tools. The manual includes visuals, drawings, and charts.

Keywords: Worldwide; PME; Manual

Publisher Contact: Publications' Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

8. FAO, 1995. *Farmer-First Approaches to Communication: A Case Study from the Philippines*.

Target Audience: Agricultural and other extension agencies, central planners, development project officers.

This case study highlights the use of communication to support rural development. It derives from a 'pure' development support communication project carried out over three years in five of the country's agricultural regions. The goal was to take the Applied Communication Division of the Philippine Council for Agriculture, Forestry, and Natural Resources' Research and Development and participating Regional Applied Communication Offices through prototype exercises in community-based technology transfer. This involved bottom-up needs' assessment through RRA, key informants, and knowledge/attitude/practice surveys as diagnostic tools for setting key priorities for technology transfer in the pilot sites. Various multi-channel communication approaches were implemented in working towards each community's development objectives.

Keywords: Philippines; Agricultural Development; Case Studies; Communication

Publisher Contact: Publications' Division, Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

9. FAO, 1994. *Participatory Rapid Appraisal of Farmers' Agricultural Knowledge and Communication Systems: Final Report of the Technical Support Services' Project 'Sectoral Review of Linkages in Agricultural knowledge and Communication Systems of the National Agricultural and Resources Research and Development Network'*. Rome: FAO.

Target Audience: Government and non-government organizations involved in agricultural research and extension, extension agents and others involved in rural development planning.

This study focusses on developing an approach to map the communication networks that exist in an agricultural system and to identify the main actors who shape agricultural and rural development. The research favoured studying communication networks from bottom up, starting with farmers participating in an exercise to illustrate their information network and moving up the system to follow up on the infor-

mants identified by the farmers. Following the farmers' leads, the study team interviewed village organizations, municipal agricultural technicians and officers, input tradesmen and middlemen, provincial agricultural officers, regional representatives of government departments, and a select number of national-level officials of the Department of Agriculture and the Department of Science and Technology. In all the villages, the extent to which agricultural knowledge from the research system had reached users was found to be limited, and often inadequate. Farmers' primary source of information were other farmers. In general, the agricultural technicians' services did not meet farmers' needs.

Keywords: Philippines; Communication; Participation; Case Studies

Publisher Contact: Publications Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

10. Fisher R.J.; Malla, Y.B.; Jackson, W.J., 1994. *Forestry Work in Villages: A Guide for Field Workers*. Kathmandu, Nepal: Nepal-Australia Community Forestry Project.

Target Audience: Field workers involved in community forestry.

The aim of the manual is to give field workers ideas about how to establish rapport and how to work with villagers. This is based on the realisation that an important part of forestry work in Nepal involves determining what village people need and helping them meet those needs. The manual was written with Nepal's hill regions in mind, but may also be relevant to the Terai or to the forestry challenges of other countries. It provides a review of community forestry and the role of the community forestry worker and discusses methods of working together with villagers leading up to the decision-making process and the establishment of local management.

Keywords: Nepal; Community Forestry; Forest Management; Manual

Publisher Contact: P.O. Box 208, Kathmandu, Nepal: Nepal Australia Community Forestry Project

11. Forest Research Division (HMG/Nepal), 1993. *Banko Jankari*. Nepal: HMG.

Target Audience: Policy-makers, planners, and field workers on community forestry projects.

'Banko Jankari', a journal of forestry information published in Nepal, devoted a special issue to the Second National Community Forestry Workshop held in February 1993. It includes all papers presented at the workshop, covering a wide range of issues related to community forestry, user group participation, bottom-up planning, etc.

Keywords: Nepal; Community Forestry

Publisher Contact: PO Box 3339, Babar Mahal, Kathmandu, Nepal: Forest Research Division.

12. Freudenberger, Karen S., 1994. *Tree and Land Tenure: Rapid Appraisal Tools*. Rome: FAO.

Target Audience: Field workers in natural resource management programmes.

This manual offers a new approach to exploring tenure issues in forestry, following up on Community Forestry Note #5: 'Rapid Appraisal of Tree and Land Tenure'. It describes the practical methodology on RA by dividing resources into three categories: holdings, commons, and reserves, then proceeds to explain how tree and forest resource management in each category is approached. The manual also explains how to prepare a study of tenure issues, how to gather information in the field, how to analyse the data, and how to use it. A variety of sample figures is included: a map, transect, matrices, etc.

Keywords: Worldwide; Participation; Forest Management; Manual

Publisher Contact: Publications Division. Viale delle Terme di Caracalla, 00100 Rome, Italy: : FAO.

13. IIDS, 1986. *People's Participation in Management and Performance of Irrigation Resources: A Comparative Assessment of Government-operated and Farmer-operated Systems in Parsa District*

Target Audience: Policy-makers and designers of irrigation systems or other rural development initiatives.

This is the outcome of a search in Nepal for mechanisms for promoting effective participation of user communities in management or irrigation resources. The study undertaken compared a government-managed scheme with a large farm-community scheme. The intent was to explain the degree of farmers' participation in different stages of the systems' development in hopes of learning about the relevance of users' participation and whether farmers' perceptions of costs and benefits depend on their participatory role. The conclusions were that farmers' traditional practices and behavioural patterns had to be considered in the initial project design and that farmers' involvement should be sought for forming local committees from the beginning of the project.

Keywords: Nepal; Parsa; Participation; Irrigation

Publisher Contact: P.O. Box 2254, Kathmandu, Nepal: IIDS

14. Indo - U.K. HP Forestry Project. *An Experience of Joint Forest Management*. India: Indo-UK HPPF

Target Audience: Government officers, project planners

This study looks at the initial effort to develop JFM practices in Suket Forest Division, HP. The process required a long time for the formation of the forest development committee and preparation of the plan, but was an instructive experience for future efforts. PRA methodology was used for the initial problem analysis. The report details the process required.

Keywords: India; HP; Forest Management; PRA; Case Study

Publisher Contact: Indo - U.K. HP Forestry Project

15. Jackson, W.J.; Nurse, M.C.; Singh, H.B., 1994. *Participatory Mapping for Community Forestry*. Kathmandu, Nepal: Nepal Australia Community Forestry Project.

Target Audience: Field workers in community forestry projects.

This paper describes the methodology of participatory mapping, a simple means to allow field workers to collect the data needed for implementing community forestry programmes.

Keywords: Nepal; Mapping; Participation, Forest Management

Publisher Contact: Box 208, Kathmandu, Nepal: Nepal Australia Community Forestry Project.

16. Jackson, W.J.; Ingles, A., 1995. *Participatory Techniques for Community Forestry: A Field Manual*. Kathmandu, Nepal: Nepal-Australia Community Forestry Project.

Target Audience: Programme managers and field workers involved in community forestry.

Participatory techniques require field workers to work in partnership with local communities to identify local problems and seek locally viable solutions to those problems. This manual provides a source book of ideas about 'participatory' techniques that should be used for developing tools and methods relevant to local situations. Many of the techniques described can be applied to other forms of participatory natural resource management. Part One answers questions about participatory techniques; Part Two describes RRA and PRA approaches and sets them in the context of community forestry; Part Three outlines the tools commonly used in community forestry and highlights how they can be used; Part Four provides guidelines on using combinations of participatory tools to develop participatory methods. Several appendices include copies of sample formats for recording information collected through participatory techniques. References and suggested readings are also included.

Keywords: Nepal; Participation; Methodology; Forest Management; Manual

Publisher Contact: P.O. Box 208, Kathmandu, Nepal: Nepal-Australia Community Forestry Project

17. Kafle, G.; Tumbahanphe, N., 1993. *Forest User Groups' Networking Workshop: A Manual for Facilitators*. Kathmandu, Nepal: Nepal-UK Community Forestry Project.

Target Audience: District forest officers or other persons who want to organize and facilitate district or range-level participatory workshops for established forest user group representatives.

A networking workshop is designed not only to support existing Forest User Groups, but is also the foundation on which a supporting system, mechanism, and strategies are built and agreed upon. A forum in which FUGs can engage in open discussions with the concerned agencies regularly and can reach agreement on issues related to planning, implementing, and receiving support could be useful in establishing such a support system. This manual is designed as guideline for facilitators of such workshops. It covers workshop methodology and content.

Keywords: Nepal; Community Forestry; Networking; Manual

Publisher Contact: Baluwater, Kathmandu, Nepal: Nepal UK Community Forestry Project.

18. Loughhead, S.; Shrestha, R.; K.C., D. R., 1994. *Social Development Considerations in Community Forestry*. Kathmandu, Nepal: Nepal-UK Community Forestry Project.

Target Audience: Planners and field workers in community forestry projects working with user groups.

This report is based on a year's research in the Koshi Hills of Nepal and is intended as a guide in considering some aspects of the social dynamics of community forestry. It examines many aspects of the user group: as resource managers, as systems of governance, and as participatory institutions. Findings indicate that the user groups which had been established were sustainable bodies. Participation was sufficient to secure consent to rules and regulations, but the rate of increase in participation of women and poor households was too slow to ensure that their particular needs were met. The success of the programme was seen as depending on the skill and interest of the extension worker in dealing with the social dynamics of user groups. The study notes that forestry staff must learn to consider the sociological dimensions of user groups as an on-going process, and not limited to the time of group formation.

- Keywords:** Nepal; Social Development; Community Forestry
- Publisher Contact:** Baluwater, Kathmandu, Nepal: Nepal-UK Community Forestry Project
19. Nepal-Australia Community Forestry Project, 1996. *Community Forestry for Rural Development in Nepal: A Manual for Training Fieldworkers*. Kathmandu: NAFF.
- Target Audience:** Trainers and facilitators involved in training for participatory approaches to community forestry.
- This four-volume manual includes a facilitator's handbook, workshop curriculum, support material and reference material. Although the focus is clearly community forestry, also covered are approaches to participation and empowerment, and methods of formation and support to user groups.
- Keywords:** Nepal; Training; Participation; Community Forestry; Manual
- Publisher Contact:** P.O. Box 208, Kathmandu, Nepal: Nepal-Australia Community Forestry Project.
20. NEPAN, 1995. *Proceedings of the First Nepal Participatory Action Network Workshop*.
- Target Audience:** Practitioners and others interested in various PRA approaches and experiences
- This is a compilation of the papers presented and the discussions held at the First NEPAN Workshop in January, 1995. The four sessions of the workshop were: Issues in Participatory Approaches, Constraints and Problems encountered in using PRA techniques, Training for PRA, and Institutionalisation of PRA. Both practical methodological papers and more theoretical and philosophical considerations of PRA and the nature of participation are included.
- Keywords:** Nepal; PRA
- Publisher Contact:** P.O. Box 890, Kathmandu, Nepal: NEPAN.
21. Odell, M., 1997. *Appreciative Planning and Action, Experience from the Field in Evolving a New Strategy for Empowering Communities* DRAFT. Kathmandu, Nepal: The Mountain Institute.
- Target Audience:** Community organizers and field workers in integrated rural development projects.
- Here is a discussion paper on a new approach to grassroots' village planning and mobilisation - Appreciative Planning and Action (APA) - that has been used in Nepal. A participatory process that uses visual tools that do not require literacy, APA builds on PRA and other group dynamics' disciplines, but focusses on searching for the positive as opposed to a problem-oriented focus. The paper draws on the development and application of APA in Nepal under the Makalu-Barun Conservation Project. APA programmes have been conducted in over 24 settlements throughout Nepal's different geographic zones.
- Keywords:** Nepal; Rural Development; Community Organization; Participation
- Author Contact: Kathmandu, Nepal: The Mountain Institute.
22. Samaranayake, M. R., 1994. *Institutionalising Participatory Approaches*. Bangalore, India: MYRADA.
- Target Audience:** Policy-makers and planners committed to rural development.
- The paper introduces the Self-Help Support Programme (SSP) and describes its approach as requiring that development measures it supports be built on the initiatives of rural people. Institutional development forms an integral part of the strategy. The report presents a process documentation of the partner NGO, the National Development Foundation, over a 10-year period both before and after SSP support. The participatory methodologies, including planning and self-evaluation, are also detailed. A chart illustrates the changes in institutional and organizational trends resulting from the adoption of participatory approaches.
- Keywords:** Sri Lanka; Institutional aspects; Community Organization
- Publisher Contact:** 2 Service Road, Domlur Layout, Bangalore 560 071, India: MYRADA.
23. Shrestha, M.L. et al. 1997. *Community Forestry Manual*. Kathmandu, Nepal: HMG/N, Community and Private Forests Division.
- Target Audience:** Field staff of government and non-government organizations involved in community forestry programmes in Nepal.
- The aim of this manual is to clear the uncertainty and confusion felt among field staff implementing the Community Forestry Development Programme by providing practical and effective guidance. The manual incorporates the requirements of district-level forest officers and staff. It incorporates an overview of the community forestry infrastructure and details how to proceed to develop an effective user-managed CF from identification, motivation, and training of users through programme formulation and forest management. Organization, office management, and financial administration are also

discussed. A separate chapter covers monitoring and evaluation.

Keywords: Nepal; Community Forestry; Manual

Publisher Contact: HMG/N, Community and Private Forests Division, Department of Forests, Babar Mahal, Kathmandu, Nepal.

24. Warner, K. 1995. *Selecting Tree Species on the Basis of Community Needs*. Rome: FAO.

Target Audience: Field workers and planners in community forestry and other participatory natural resource management programmes.

This manual will help field workers working with a community to identify the tree species that best serve that community's needs on the understanding that the species chosen for planting should reflect the needs and priorities of local communities. A participatory approach is needed to elicit the

community's own views of its needs and constraints. The field worker must have expertise in collecting and analysing environmental, social, economic, and other types of information. The manual shows how to create an accurate portrait of the community, its use and management of tree resources and its current and projected needs. It also shows how to analyse that data and to use it to select the best trees for the community. The manual consists of text, worksheets, and examples; a case study covering the complete use of the manual methods for a particular tree planting project. Identifying the appropriate tree is a process with three steps: data collection, data analysis, and evaluation of the selection. The manual covers all the steps in the process.

Keywords: Worldwide; Participation; Forest Management; Manual

Publisher Contact: Publications' Division, Viale delle Terme di Caracalla, 00100 Rome, Italy: FAO.

Planning

1. Cernea, M.M., 1992. *The Building Blocks of Participation: Testing Bottom-up Planning*. Washington, D.C.: World Bank.

Target Audience: Policy-makers and staff members of government departments, NGOs, and INGOs working to mobilise community participation for bottom-up planning.

In order to answer how the capacity for mobilising community participation can be built into a project's design and staffing, this document analyses one case: the decentralization project in Mexico, the PIDER programme which operated from the early 1970s to the early 1990s. The author argues that public participation is a matter of social organization requiring various factors, and that building up the 'software' of development programmes requires a systematic methodology. The text includes many charts and concrete suggestions for a step-by-step approach.

Keywords: Mexico; Case Studies; Participation; Integrated Development;

Publisher Contact: 1818 H. St. N.W., Washington, D.C., USA: World Bank

2. Freudenberg, M.; Karen S., 1993. *Fields, Fallow and Flexibility: National Resource Management in Ndam Mor Fadamba, Senegal*. London, UK: IIED.

Target Audience: Policy-makers, planners, and field workers in rural development programmes.

This contains the results of Rapid Rural Appraisal research in Ndam Mor Fadamba village between 25-30 October, 1991. The study focussed on how resource-use patterns have changed over time as villagers have adapted their livelihood strategies to periods of severe environmental stress, including 20 years of generally low and erratic rainfall. It also looks at how decisions are made concerning resource use in the area. The patterns of resource use have changed dramatically and the community's capacity to adapt results from indigenous management structures that permit great flexibility in the use of resources, traditional structures that the village has defended in the face of more rigid laws governing resource use;

and the growing authority of outside decision-making bodies. The study promotes a micro-territorial orientation to rural development planning, i.e., local-level planning. It advocates a participatory planning process whereby the development agency and the local community jointly plan and implement programmes in spatially-defined village territory.

Keywords: Senegal; Decision-making; Participation; Planning

Publisher Contact: 3 Endsleigh St., London WC1H 0OD, UK: IIED.

3. Indo-German Changar Eco-Development Project, 1995. *Participatory Rural Appraisal for Village Integrated Resource Management Planning*. Palampur, H.P. India: Indo-German Changar Eco-Development Project.

Target Audience: Project staff involved in village integrated resource management planning.

This manual provides guidelines for applying PRA techniques for integrated resource management planning at village level. It includes a section on PRA principles and techniques and a step-by-step approach to developing a plan based on the appraisal. It was designed to assist in promoting a people-oriented development strategy. A background to the project's objectives and activities is also included.

Keywords: India; HP; PRA: Planning; Manual

Publisher Contact: P.O. Box 25, Palampur, H.P. India: Indo-German Changar Eco-Development Project.

4. ODA, 1995. *A Guide to Social Analysis for Projects in Developing Countries*. London, UK: HMSO Publications' Centre.

Target Audience: Social analysts: sociologists, anthropologists and human geographers who need to apply their expertise in the practical development work of developing countries.

This guide is primarily intended to help social analysts working in developing countries become members of inter disciplinary teams and provide practical advice

to institutions and agencies responsible for designing and managing development projects. Part One describes the role of the social analysis in project design. Part Two provides resources in the form of detailed sector check lists, examples of project frameworks, and a comprehensive bibliography for further reading. The guide is arranged around the 'project cycle' concept common to most public sector agencies. Participatory project planning, assessment of achievements, and a guide to the participation of women in development projects are among the topics covered.

Keywords: Worldwide; Participation; Development Planning

Publisher Contact: PO Box 276, London SW8 5DT UK: HMSO Publications' Centre.

5. Oltheten, T. M.O., 1995. *Participatory Approaches to Planning for Community Forestry*. Bangkok, Thailand: RECOFTC, Kasetsart University.

Target Audience: Planners, trainers, and managers involved in participatory approaches to community forestry.

This document will be useful for disseminating the results of experiences using participatory methodologies, tools, and approaches for community forestry. It reports on nine case studies of CF projects conducted during 1993-94. Four of the projects studied, including one in Nepal, are part of the Inter-regional Participatory Upland Conservation and Development programme. Participatory planning constituted an essential component of the project design. The other five are CF projects, including the Begnas Tal Rupa Tal Watershed Management Project. The document includes an overview of people's participation and participatory planning, discusses lessons learned from the case studies, and provides conclusions and recommendations.

Keywords: Worldwide; Participation; Community Forestry; Planning; Case Studies

Publisher Contact: c/o RECOFTC, Kasetsart University, PO Box 1111, Bangkok 10903, Thailand: FTTP.

6. Palpa Development Programme, 1991. *Day-and-Night-Realities in Project Planning: Experiences Gained from the PDP/JSKP Planning Process in Nepal*. Bern, Switzerland: SDC Evaluation Service.

Target Audience: Staff members, field workers, and their partners interested government institutions and non-government organizations working in developing countries.

A detailed account and analysis of a planning workshop held in Palpa, Western Nepal, in 1987,

referring to experiences gained in the participatory project planning process of the Palpa Development Programme (PDP). The workshop was run using the ZOPP technique. The report contains three levels of analysis: the level of planning methods, documenting the experience of participatory planning; the level of human interaction and communication among partners; operational level PDP. Political and cultural influences on the participatory planning approach are also considered.

Keywords: Nepal; Palpa; Case Studies; Participation; Planning

Publisher Contact: Evaluation Service, CH-3003, Bern, Switzerland: SDC.

7. SDC Cooperation Planning, 1993. *A Working Aid for Beginners and for More Experienced Planners*. Bern, Switzerland: SDC.

Target Audience: Staff members, policy-makers and fieldworkers involved in participatory project planning.

This working aid provides an orientation for responsible and appropriate planning from a more conscious use of planning instruments in project and programme planning. The chances of planning activities leading to actual support lie in the participants agreeing on an orientation framework and remaining flexible to peoples' changing needs. Various conclusions are drawn from an analysis of case studies. Procedures and planning aids, the steps in the planning process, and appropriate instruments are discussed, and a planning check list is provided. A separate section of the book provides a philosophical rationale for planning and seven guiding principles, as well as practical hints for planning projects. There is also a brief discussion of the application possibilities and advantages and disadvantages of 15 methods and tools, including participatory rural appraisal, action research, brainstorming, and goal-oriented project planning. Finally, common difficulties and weaknesses in project and programme planning are discussed.

Keywords: India; Participation; Planning

Publisher Contact: Evaluation Service, CH-3003 Bern, Switzerland: SDC.

8. SDC, 1995. *Planning Pre-phases as an Instrument in Project Planning*. Bern, Switzerland: SDC.

Target Audience: Policy-makers, project staff and fieldworkers involved in planning and designing development projects.

This publication describes the planning approach used in two rural development projects which began with Pre-Phrases devoted to generating a sound data basis for the projects, sharing information among the project

partners, and jointly identifying possible interventions in the main phases of the projects. These applied planning procedures were considered successful in that both projects could be planned on a sound information basis with active participation of all parties. Thus, SDC considers the participatory planning approaches employed to be essential steps in the evolution of project planning. The planning procedures are presented as a general instrument for project planning by describing the experiences made, evaluating them, and drawing general conclusions. Strengths and weaknesses of the planning process in both projects are also identified.

Keywords: India; Development Projects; Case Studies; Planning

Publisher Contact: Evaluation Service, CH-3003 Bern, Switzerland: SDC.

Target Audience: Trainers and fieldworkers using participatory methods for community development.

The report summarises the process, outcome, and follow-up of an August 1992 PRA training and fieldwork exercise. The PRA was requested by villagers who realised the need for integrated development planning. Villagers also participated in the workshop. The report includes a brief overview of PRA and a detailed description of the training itself. Profiles of each 'mohalla' (ward) of the village of Matiltan (pop 2,500) are included along with the PRA-generated charts, graphs, maps, etc.

Keywords: Pakistan; PRA; Integrated development; Training

Publisher Contact: 3 Endsleigh St., London WC1H 0OD, UK: IIED.

9. Thompson, J.; Shah, J.; Foellmi, E., 1994. *Planning for a Change: PRA for Community-based Development*. London, UK: IIED.

Sustainability

1. Sandstrom, S., 1994. *Participation and Sustainable Development: Applying The Lessons of Experience*. Washington, D.C.: World Bank.

Target Audience: Policy-makers of international non-government organizations.

This was the keynote address to the Annual Conference of the International Association of Public Participation Practitioners, Sept. 12, 1994. It states that "Participation by the people affected by our operations is the ultimate form of partnership," and goes on to discuss participation and development experiences. It describes the advantages of participation as increased quality and sustainability of development operations, increased stakeholder ownership of policies and projects, increased equity, increased local capacity-building and transparency, accountability, and institutional performance. Government support is crucial to bring about participation and the Bank encourages participation through many methods. The Bank and everyone engaged in the effort to achieve sustainable development must change, not only in operational approaches, but also in thinking and behaviour.

Keywords: Worldwide; Sustainable Development; Participation

Publisher Contact: The World Bank, Washington, D.C.

2. SDC, 1991. *Development Projects: Basic Principles and Application in Practice*. Bern, Switzerland: SDC.

Target Audience: Policy-makers and development project planners.

A theoretical analysis of issues involved in the sustainability of development projects. Six principles describe areas of action of project activity and provide an answer to the question of what can be done to consolidate sustainability. Factors of sustainability are also identified and a format for a workshop on sustainability is also described.

Keywords: Worldwide; Development; Sustainability

Publisher Contact: Evaluation Service, CH-3003 Bern, Switzerland: SDC.

Gender

1. Bilgi, M., 1996. *Entering Women's World through Men's Eyes*. India: AKRSP (India).

Target Audience: Project managers and field workers in natural resource management and human resource development programmes wishing to integrate gender components within their programmes.

This article looks at the use of Participatory Rural Appraisal in learning about the status of women in underdeveloped districts of Gujarat. During the PRA, women described their heavy workload and requested the introduction of various time-saving devices, while men said that women had light workloads and opposed use of pressure cookers and flour mills. Topical PRAs on women were then held with men, as a result of which men came to an understanding of women's workloads. The process of the PRA is discussed.

Keywords: India; Gujarat; PRA; Gender

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

2. Koirala, I.; Mahat, A., 1994. *Gender Analysis and Participatory Research Methods: A Training Report*. Kathmandu, Nepal: IIDS.

Target Audience: Planners, policy-makers and field staff involvement in the development process.

Gender-sensitive participatory planning is required to tackle the problems of women, which ultimately affect the whole development process. Participatory research is useful in gender analysis as it involves participation of the local community in the development process. Incorporating the research integrates local knowledge with planners and scientific expertise. Participatory research in Ghusel VDC, focussing on rural livelihoods became a tool for understanding gender dynamics and led to a request for training with a focus on participatory tools. The manual provides both theoretical and practical information on nine major tools. The document also includes all workshop materials.

Keywords: Nepal; Participation; Research, Gender Analysis; Training; Manual

Publisher Contact: P.O. Box 2254, Kathmandu, Nepal: IIDS.

3. Lingen, A., n.d. *Gender Assessment Study: A Guide for Policy Staff*. The Hague, Netherlands: Institute of Social Studies International Services.

Target Audience: A guide to be used in the Netherlands' bilateral aid programme, for both staff and counterparts conducting gender assessment studies. Also of interest to other policy-makers and development workers seeking to incorporate gender concerns in their planning.

The guide includes four chapters, the first providing background on the gender assessment study and the second explaining the study and its characteristics, objectives, and position in the project cycle. Chapter 3 discusses the design and organization of a gender assessment study and Chapter 4 deals with the methodology. An analytical framework is presented and methods of gathering and analysing the data are suggested.

Keywords: Worldwide; Gender; Evaluation; Manual

Publisher Contact: P.O. Box 29776, 2502 LT THE HAGUE, Netherlands: Institute of Social Studies International Services.

4. Rawat, J.K.; Bedi, H., 1997. 'Enhancing Women's Role in the Rehabilitation of Degraded Common Lands: Experiences in the Aravalli Project, Haryana' In *Indian Forester*.

Target Audience: Planners and field workers in projects designed to rehabilitate degraded forest land and other common property resources.

Case study of the Aravalli Project initiated by the Haryana Forest Department with the objective of rehabilitating common lands of 293 hilly villages. The rehabilitation process accompanies the development of village-level institutions that will eventually become managers of natural resources on a sustainable basis. The project realised early on that the active involvement of women's groups was required for the successful

regeneration of degraded common lands. The report describes why and how the involvement of the rural women was developed, presenting the approaches adopted, the challenges faced, and the progress made. Twelve specific innovative measures were introduced to increase participation of village women. These activities are described and evaluated.

Keywords: India; Haryana; Forestry development; Participation; Gender

Publisher Contact: Indian Forester

5. Thomas-Slayter, B.; Esser, A.L.; Shields, M.D., 1993. *Tools of Gender Analysis: A Guide to Field Methods for Bringing Gender Into Sustainable Resource Management*. Worcester, MA: Clark University.

Target Audience: Programme managers and field staff in programmes focussing on resource management.

This guide focusses on ways of using gender analysis to increase the effectiveness of development programmes and projects for sustainable resource management. Topics include improving project design and implementation through using techniques specific to gender, and improving project management through integrating gender. Examples are drawn from work in Central America and Asia, including Nepal.

Keywords: Worldwide; Resources management; Gender

Publisher Contact: 950 Main St. Worcester, USA: Clark University.

6. Wieringa, S., 1994. *Women's Interest and Empowerment: Gender Planning Reconsidered*. Oxford, UK: Blackwell Publishers.

Target Audience: Development planners concerned with gender and empowerment issues.

This article looks at the empowerment approach in relation to women and development. After explaining why this is currently the most fruitful perspective in the field of gender planning, it goes on to explore two central problems of the empowerment approach. The first is the conceptualisation of women's gender interests. The article argues that distinction between women's practical and strategic gender interests is theoretically unfounded and empirically untenable. Secondly, gender planners tend towards a preference for simplified tools and quantifiable targets. Here it is argued that women's realities should not be bent into this planning framework but that, instead, planners, working from an empowerment perspective, should demonstrate their flexibility and theoretical grounding and be aware of the political dimensions of their work.

Keywords: Worldwide; Planning; Gender; Empowerment

Publisher Contact: 198 Cowley Rd. Oxford OX4 1JF, UK: Blackwell Publishers.

Community Forestry

1. ActionAid, India, n.d.. *New Horizons Workshop Materials*. India: Action Aid.

Target Audience: Planners, policy-makers, and field workers in participatory community development projects.

A collection of abstracts of case studies and other papers on a variety of topics - including watershed development, participatory community development, and innovative rural action learning programmes.

Keywords: Worldwide; Community development

Publisher Contact: 3 Rest House Road, Bangalore 560 001, Karnataka, India: ActionAid India.

2. AKRSP (India), 1996. *Credit Systems in Rural Areas: A Study in Bharuch District of Gujarat*. India: AKRSP.

Target Audience: Village Development Project planners interested in establishing credit systems.

This paper begins with an overview of the credit system in rural India and AKRSP's credit programme. Mainly the study sought to understand people's particular credit needs and their priorities and time limits for loans and repayment systems in a tribal region where most people live below the subsistence level. A schematic credit cycle in this district was developed. Based on the lessons learned, the study concludes that the village institutions formed by AKRSP can provide efficient and effective credit to local villagers and recommends intensive efforts toward creating more such institutions.

Keywords: India; Credit; Community Organization; Village Institutions

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

3. Duijnhouwer, J., 1997. *Evaluation of Community Organizations in BTRT (includes Part B, a second volume)*. Nepal: CARE.

Target Audience: Planners and field workers in participatory watershed management projects.

The Begnas Tal Rupa Tal Watershed Management Project (BTRT) is jointly implemented by the Department of Soil Conservation and CARE International in Nepal. Its final goal is to stabilise the physical environment and increase the productivity of the project area through sustainable community management of its human and natural resources. Emphasising community organization to achieve this goal led to the formation of Community Development Conservation Committees (CDCCs), which were to play a lead role in coordinating local development activities. The project phased out in June 1997, offering an opportunity to study the different types of organizations. Another study is to be conducted after two years to assess the long-term viability of the organizations. Various findings resulted from the study. Some User Groups stopped existing after construction of drinking water systems, while, in some wards, CDCCs took over the responsibilities of User Groups. No CDCCs functioned as the umbrella organization they were originally conceived to be. The most effective organizations were the 'Multi Purpose Users' Group' type. Certain factors were identified as having a positive influence on group activity. These included: the location of clusters, regularity of meetings, access to resources, and links with tradition. Factors with a negative influence on group activity are domineering leadership and lack of transparency. No clear relationship was found between the level of activity of homogeneous versus heterogeneous groups.

Keywords: Nepal; Community Organizations; Watershed Management

Publisher Contact: P.O. Box 1661, Kathmandu, Nepal: CARE Nepal.

4. Underwood, B., 1997. *Village Institutions and Federations: An Overview of AKRSP (I)'S Work In The Area Of Human Resources' Development*. India: AKRSP (India).

Target Audience: Programme managers and organizers and community organizers working in rural development projects.

This is a documentation of some of AKRSP's work in human resource development (HRD), to complement

the documentation of its natural resource development programmes. The paper describes the concept of the Gram Vikas Mandal (GVM), which was intended to be a village-level organization that would work for the economic development of whole villages. However, as GVM activities focussed on natural resource development, the membership came to consist largely of farmers who had title to land and male heads of households. The paper considers the shift to concerns with women's issues, leading to the development of Women's Vikas Mandal(s) wherein women could develop their public speaking and organizational skills as well as their efforts at gender sensitisation for both men and women. Similarly, other GVMs arose which were concerned with joint forest

management and irrigation. Gradually, AKRSP moved towards a user group approach, whereby many village Institutions cover a wide range of projects and social issues. Since village-level institutions can be limiting, the federation concept has come into being, enabling a wider range of ecological, social, and economic issues to be covered. Also discussed are various federations, their membership and structure, and several issues for the future are touched on.

Keywords: India; Community Organization; Village Institutions; Human Resources' Development

Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India).

of community development... the goal is to... through... natural resources... Community... (CPC) which... to... in... the... of... the... from the... some... other... drinking water systems... CDCCs... the... they were... Multi Purpose User Group... type... positive influence... the location of clusters... to resources... negative influence... leadership and lack of transparency... relationships was found... homogeneous...

Keywords: India; Community Organization; Watershed Management
Publisher Contact: P.O. Box 1661, Kothinandi, Nepal, CAPE Nepal

Underwood, B. 1997. Village Institutions and Federations: An Overview of AKRSP III's Work in the Area of Human Resources Development. (India) AKRSP (India)

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Target Audience: Planner and field workers in participatory community development projects... A collection of papers... paper on a series of topics... development... and innovative... **Keywords:** Watershed Community Development
Publisher Contact: 3 Red House Road, Bangalore-560 002 Karnataka, India. Action International

Keywords: India; Credit; Community Organization; Village Institutions
Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India)

The paper begins with an overview of the credit system in rural India and AKRSP's credit programs. Mainly the study sought to understand people's particular credit needs and their priorities and time limits for loans and repayment systems in a tribal region where most people live below the subsistence level. A schematic credit cycle in this district was developed based on the lessons learned, the study concludes that the village institutions formed by AKRSP can provide efficient and effective credit to local villagers and recommends intensive efforts toward creating more such institutions

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Publisher Contact: Choice Premises, Swastik Cross Roads, Navrangpura, Ahmedabad, India: AKRSP (India)

Underwood, B. 1997. Evaluation of Community Organizations in BIRT (includes Part B, a second volume). Nepal: CARE
Target Audience: Planner and field workers in participatory watershed management projects

Publications of PWMTA – ASIAN WATMANET

I. ASIAN WATMANET Newsletters

- Issue No. 1, theme: WMTUH and FARM Introduction
Issue No. 2, theme: Status of Watershed Management in Asia
Issue No. 3, theme: Farmers' Organizations
Issue No. 4, theme: Policy Issues in Watershed Management
Issue No. 5, theme: Gender Framework for Resource Management
Issue No. 6, theme: Participatory Watershed Management Training
Issue No. 7, theme: Gaps in Participatory WM Training and Education in Asia
Issue No. 8, theme: Envisioning of WM professionals
Issue No. 9, theme: Elements of Participatory Processes in WM
Issue No.10, theme: Land Use Titles - A Key to People's Participation
Issue No.11, theme: Sustainability of Participatory WM
Issue No.12, theme: Participatory Watershed PME
Issue No.13, theme: Indigenous Technology Knowledge for WM
Issue No.14, theme: Sustaining Success and Learning from Failure: Farmers' Institution Building for WM
Issue No.15, theme: People's Movements in Watershed Management
Special issue: Membership Directory (I,II & III Edition)

II. Field Documents

- No. 1 Status of watershed management in Asia
No. 2 A rapid review of the NWDPRAs in India
No. 3 Case study of people's participation in WM in Nepal (BTRT area), (in Nepalese language, out of press)
No. 4 Case studies of people's participation in WM in Asia:
Part 1: Nepal, China and India
No. 5 Case studies of people's participation in WM in Asia:
Part 2: Sri Lanka, Thailand and Vietnam.
No. 6 Recent Developments, Status and Gaps in participatory watershed management training and education in Asia
No. 7 Participatory Process in Integrated WM
No. 8 Farmer Led Integrated WM- A Trainers' Resource Book
No. 9 APEX and SWAT Models for Rapid Impact Assessment in Management of Small Areas Watershed (in draft)
No.10 Participatory Watershed Planning, Monitoring and Evaluation
A Training Resource Pack
No.11 Indigenous Technology Knowledge for Upland WM in Bangladesh
No.12 A Gimpse of Local Technology Knowledge for Comprehensive WM in China
No.13 Building Farmers' Organizations for Integrated WM in India- A Trainers' Manual
No.14 Ripples of the Society – Peoples' Movements in Watershed Development in India

PWMTA

The Participatory Watershed Management Training in Asia (PWMTA) Program (GCP/RAS/161/NET, FAO/Netherlands) is designed for human resource development in participatory watershed management. It will contribute to sustainable use and management of forest, soil, water and other natural resources by enhancing skills and national capabilities to plan, implement, evaluate and monitor participatory watershed rehabilitation programs. This will be achieved by regional training, workshops, seminars and national and regional watershed management networking. The PWMTA is closely linked to the FARM program. Many of the Asian countries are seriously investing in WM today. However, few are providing training in holistic approach to participatory watershed management. PWMTA is assisting the member countries in filling this gap.

ASIAN WATMANET (ASIAN WATershed MAnagement NETwork)

This is a regional network for people's participation in watershed management founded in Nov. 1994 by the national coordinators of the UNDP/FAO RAS/93/063, WMTUH/FARM program. It is now sponsored by the PWMTA, GCP/RAS/161/NET program of the FAO/Netherlands along with the RAS/93/062, FARM program. Its member countries are the participating countries of the PWMTA program. The network is to facilitate: farmers' organizations for watershed management at small watershed, village, district and national level, exchange of experiences at farmers, extensionists, as well as technical, professional, educator and policy maker level, exchange of information among the member countries, and to strengthen a movement of GO/NGO/PO/FOs for sustainable natural resources management of the fragile watersheds in the Asian region. It also publishes a quarterly ASIAN WATMANET newsletter.