

# **Participatory Training for Development – Training Development Workers**



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Anne Dodge

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## General Introduction

**Participatory Training for Development** is a series of three manuals designed to promote people-centred development through training and learning. The manuals are:

- **Community Learning** by Helmut Weyers, aimed at the community level and divided into two sections, participatory learning and participatory skills training.
- **Training Development Workers** by Anne Dodge, aimed at helping development extension workers learn participatory methods.
- **Training of Trainers** by John Aitchison, designed to help experienced development workers learn how to train others in participatory development.

The series originated from a Subregional Seminar on Collaboration for Educational Change, held in Nairobi in 1992 and organised by the International Institute for Educational Planning (UNESCO/IIEP) in cooperation with the German Foundation for International Development (DSE) and the Kenya Institute of Education.

At this seminar it became clear that training is an essential condition for organisational change, and furthermore that this training should be multi-sectoral, participatory, interactive and focused on group work, listening and observation skills, and practice in problem-solving. DSE and IIEP consequently commissioned a series of "Manuals on Participatory Training for Development". The manuals were subjected to extensive trials in various countries during 1994 and later adapted and refined into their present form.

As an approach to development, participation assumes that sustainable development ultimately depends on enhancing people's ability, individually and in groups, to improve their own lives by taking greater control of their destinies. Ideally this means full participation in real decision-making at every stage – from identification of problems through planning and implementation of projects to evaluation of results.

Participatory training is learner-centred in that it recognises, values and seeks to build on the existing knowledge of trainees. By validating people's actual experiences of the world, participatory training enables them to formulate joint strategies for, and a commitment to, changing their immediate situation. As such it is a process of education that liberates and empowers for social change. We trust that the manuals will contribute to this process.

Len le Roux

Udo Bude

The Rössing Foundation      German Foundation for International Development

## Symbols Used in This Book



### Objectives

What the training session aims to achieve



### Materials

The teaching aids needed for the session



### Activities

The learning activities to be used in the session



### Trainer's notes

Additional useful information for trainers and/or space for own notes

## Notes on the Training Programme

This detailed training outline is intended as an in-service training programme for government agencies or other organizations interested in participatory approaches to development. The original outline and training objectives for the programme were developed at the South and East African Regional Seminar on Collaborating for Educational Change in Non-Formal Basic Education, held in Nairobi on January 21-29 1992. The design is for a three-week programme (five days a week, at least six working hours a day) and at most 25 participants.

The programme is based on principles of adult education and uses a variety of participatory planning and training techniques. To use the programme trainers should know the basics of brainstorming, small groups, critical incidents, ice breakers, matrices, and discussion/reflection methods. The Trainer's Notes are only guides to some of the more important things to remember during the session. Supporting materials are found in the appendices.

Trainers will have to adapt this manual to the specific needs of the training group. Therefore, detailed case studies, critical incidents and role-plays are not included, but must be developed before the training so that they are appropriate for the group. Sessions such as the field trip and panel discussion can be held whenever appropriate. If the group is not cohesive (from the same agency or department), the action planning component (Wednesday afternoon to Friday morning in week three) can be eliminated. These sessions were meant to help participants use the participatory planning methods outlined in week two to develop action plans to "take home" as a "product" from the workshop. A final evaluation has not been included, since its format will depend upon the training group and/or funding agency. It may also be more effective to develop the final evaluation during the programme itself.

The training is designed to be both fun and informative, while at the same time producing some high-quality products. Enjoy it!

*Anne Dodge*

## Training for Community Development Workers

	Monday	Tuesday	Wednesday	Thursday	Friday
WEEK 1 – Community Analysis and Training Skills					
AM session	Opening Expectations	Participation	Community Analysis	Community Problem Analysis	Planning & Running Village Meetings
PM	Cooperation &	Adult Learning	Situational	Group	Role-plays

session	Communication Skills	& Experiential Education Paulo Freire	Leadership	Dynamics	of Village Meetings
<b>WEEK 2 – Participatory Project Planning Methods</b>					
AM session	Community/Organizational Structures; Vision; History Organigrams	Goals, Objectives & Constraints Analysis	Implementation Plans & Timelines	Analyzing Community Resources	Field Visit
PM session	Planning Process Needs Assessment	Continued with Small Group Practice	Evaluation Plans	Resources Issues & Strategies	Field Visit
<b>WEEK 3 – Working Effectively with Communities and Partners</b>					
AM session	Issues of Community Involvement	Identifying Other Players	Partnerships	Participant Action Plans	Reporting
PM session	Strategies for Community Involvement	Issues & Strategies for Working with Others	Participant Action Plans	Continued	Final Evaluation

## Workshop Objectives



The objectives of the workshop are to train community workers in the following areas:

### 1) Basic theories and methods of participatory development and training

- approaches to participation and collaboration in development
- theories of adult education
- techniques for and approaches to participatory training

### 2) Community organization, mobilization, group–building and leadership

- analysis of community social and organizational structures
- group dynamics and methods of building and maintaining groups
- effective leadership and conducting meetings
- strategies for community mobilization and involvement

### 3) Participatory problem analysis and project planning

- methods for depth issue analysis
- formulation of goals, objectives and implementation plans
- participatory needs assessment and evaluation

### 4) Resource identification and generation

- analysis of community resources
- strategies for collaborative approaches to resource generation

### 5) Inter–agency working relations and community networking

- joint planning and implementation
- strategies for effective collaborative partnerships



## Session 1 – Opening and Expectations



By the end of the session the participants will be able to:

- identify their expectations for the programme
- list the objectives of the three-week training programme



- Markers, tape, flipchart paper, hand-outs of training design (page 2)
- Prepared flipcharts: workshop objectives, norms

### A. Opening



Welcome all participants. Trainers introduce themselves. Then each person says name, something relevant about themselves (region, position/title, agency, etc.), and why he/she chose to attend the training.

#### **BRAINSTORMING**

##### **Why use it?**

- Generates a lot of data and information
- Often generates very rich and diverse information
- Encourages participation
- Ensures the "buying in" of participants

##### **Rules**

- No wrong answers
- All data is accepted
- Only questions of clarification allowed
- Recorder writes the speaker's words (not her/his own ideas)

##### **Method**

- Have participants number their sheets

- People write answers down silently
- \* next to most important item
- Go around the room taking all the \*s and write on flipchart
- Gather all remaining written data
- Ask if there is anything more to add

## **B. Workshop overview**



### **1) List and explain the workshop objectives (on page 3).**

### **2) Brainstorm participants' expectations:**

- a) Each person (or in pairs or triads) lists three or four things they hope the workshop will accomplish, ticking the most important. Going around the room, each ticked item is listed on newsprint, then all the remaining points are collected.
- b) Hand out and review an overview of the training design outline of sessions.
- c) Return to the list of expectations, and review and discuss it in light of the objectives and training design.

### **3) Roles and responsibilities of the community development worker:**

- a) Ask each person to list what they think are the most important roles and responsibilities of their job. Have them put a star next to the most important item on the list. Go around the room asking for each starred item and list it on newsprint. Then continue until all the items from the lists are on the brainstorm newsprint.
- b) Review the training objectives and design, showing how the training will help the participants to fulfill their roles and responsibilities better.

### **4) Review norms**

- Begin and end on time
- Come to all sessions, all day
- Each person participates fully in his/her own way
- Agree on a daily schedule
- Smoking (?)

Ask the group if there are any other norms to discuss.

## **C. Closing and announcements**





*This session will be short or long depending upon the number of participants and the type of opening ceremony used, which can be either formal (with guest officials) or informal. The roles and responsibilities brainstorm is to help the participants to see how the skills they will learn in the workshop will help them in their daily work. It will also help clarify for the trainer the self-perceptions of the participants. Since brainstorming is such a useful technique and one that will be used so often during the training, the explanation in the grey box on page 4 can be copied and given to the participants if desired. The trainer may wish to have a steering committee composed of the training team, organizers and representatives from the participants. The committee could draw conclusions from the daily evaluations and help to coordinate logistics or group dynamics. The steering committee should be described and chosen on the first day.*

## Session 2 – Cooperation and Communications Skills

### Day One



By the end of the session the participants will be able to:

- identify why problems in communications occur so frequently
- list ways to enhance communications and cooperation in a group



- Markers, tape, flipchart paper
- Sets of broken squares
- Listening quiz (Appendix A)

### A. Opening and context



1) Use the "broken telephone" game as both an ice-breaker and a context-setter for the session. Have the participants and the trainer gather in a circle. The trainer then whispers a sentence in the ear of the person to his/her right. (An example could be "Jeffery and Elizabeth went to the market in town to buy some clothes, books and toys" or "Susan always used to like to do her wash and cleaning before she left for school"). This person then whispers what he/she heard to the next person and so on around the circle. Each person can only whisper the sentence once; they can't repeat. Finally, the last person in the circle says out loud what he/she heard, then the trainer tells the group what the original sentence was. These last two sentences should come out quite differently, and serve as an example of how easily and often our words can be misinterpreted and misstated.

2) Today the training is going to start with a couple of exercises that focus on communication and cooperation skills. There are two reasons for this: a) The group is going to be working together for three weeks and an

early framework for open and effective communication and cooperation is necessary. b) The key to the success of development projects lies in a development worker's ability to communicate effectively and promote cooperation among others.

3) Ask the participants to give examples of times when a failure of communications or cooperation destroyed the success of a project they were working on.

4) Explain that the participants will now play two games: the drawing game that emphasizes communication issues, and the broken squares game that focuses on cooperation.



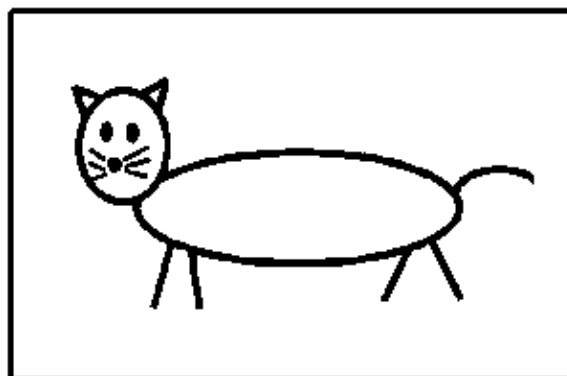
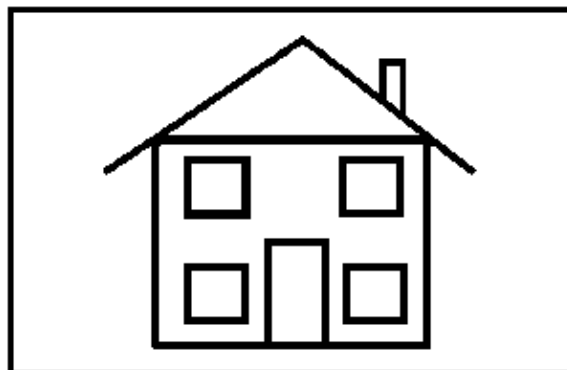
## B. Drawing game



1) Ask for two volunteers. Ask them to sit back to back, either on the floor or in chairs.

2) Give one the picture of the house, and the other a pencil or pen and a blank piece of paper.

3) The person with the picture then tries to tell the other how to draw the picture without saying it is a house, only "Draw a triangle at the top of the paper, now draw a square underneath it" etc. Have them continue until finished and then compare the two drawings.



4) Repeat with the cat.

5) Reflection

- To the person drawing: How did you feel trying to draw? What frustrations did you experience? How could the other have explained better?
- To the person explaining: What frustrations did you feel? How do you think you could have explained better?
- To the whole group: What insights about communication do you have from the exercise?

### C. Broken squares



- 1) Have the participants form groups of five. Each group sits around a table.
- 2) Read them the following instructions and rules:

• **Instructions:** Each of you will have an envelope which will have pieces of cardboard for forming squares. When you are told to begin, your task as a group is to form **five squares of equal size**. The task will not be completed until each person has before him/ her a perfect square the same size as all the others.

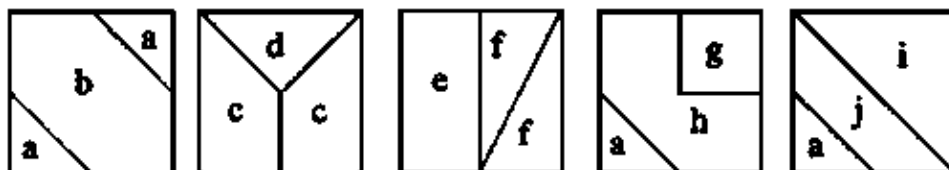
• **Rules:**

- a) No member may speak. The task must be done in complete silence.
- b) You **may not take** or ask for a piece from any other person, but you **can give** pieces to others.

#### How to make a set of broken squares

Each set has five cardboard squares which have been cut into pieces, mixed up and placed into five envelopes (this exercise is done in groups of five). To make a set:

- 1) Use cardboard that has the same colour and texture on both sides.
- 2) Cut out five cardboard squares, each exactly 20 cm × 20 cm.
- 3) Copy the marks below lightly in pencil (so they can be erased easily).



- 4) Carefully cut out the pieces.
- 5) Mark five envelopes A, B, C, D and E.
- 6) Put the cardboard pieces in the envelopes:

Envelope A has pieces i, h, e  
 Envelope B has pieces a, a, a, c  
 Envelope C has pieces a, j  
 Envelope D has pieces d, f  
 Envelope E has pieces g, b, f, c

- 7) Erase the pencilled letters from the pieces and mark them with the letter of the envelope they belong in (A, B etc.), so that you can easily put them back to re-use later.

3) Ask if there are any questions. Give each group of five a set of five envelopes, one for each person. Have the groups begin and monitor the activity to be sure that the rules are not broken.

4) When all the groups have finished, have them remain in their groups and discuss the following:

- In what way do you think each of you helped or hindered the group in its task?
- How did members feel when someone holding a key piece did not see the solution?
- How did members feel when someone completed a square incorrectly and then sat back without helping the group further?
- What feelings do you think that person had?
- How did members feel about the person who could not see the solution as quickly as the others?

5) Have the groups regather and discuss:

- How did people communicate without speaking (non-verbally)?
- How are some of the things you learned from this game true of real life, or of problems you have in your own situation?
- What have you learned about cooperation?
- What advice would you give someone on how to communicate more effectively?
- What advice would you give someone on how to cooperate more effectively?

6) Points that may arise and can be summarized by the trainer are:

- a) Each person should understand the total problem.
- b) Each person needs to understand how to contribute towards solving the problem.
- c) Each person needs to be aware of the potential contributions of other members of the group.
- d) When working co-operatively in groups, we need to recognise the problems of other people in order to help them make their maximum contribution.
- e) Groups that pay attention to helping each other work well are likely to be more effective than groups which ignore each other.

*(This exercise was adapted with permission of the publishers from Hope, A. and Timmel, S. **Training for Transformation, Book 1** 1992. Mambo Press, Gweru, Zimbabwe.)*

#### **D. Listening self-assessment**



Finally, one's skill in communication often rests with one's ability to listen to others. Hand out the "My skill as a listener" quiz (Appendix A) and ask people to complete it later in privacy and to think about the implications of their responses. This is a totally private exercise and the results will not be seen by others or discussed, so the participants should be completely honest in their answers. Then they should try to think of ways they can improve their listening skills. Suggest that the trainers will be happy to meet any individual to discuss the quiz.

## E. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.



*This session sets the style for the type of experiential learning that will be typical of the programme. Depending on the group, you may want to discuss this a little, so that they understand that the games are really structured learning experiences. Depending upon how heterogeneous the group is, another good exercise for communication is "Building Unity Across Age, Race, Tribe, and Sex" from Training for Transformation Book 1 (reprinted as Appendix B in this book).*

## Session 3 – Participation: What is it and how do we do it?

### Day Two



By the end of the session the participants will be able to:

- explain the advantages of using participatory methods, and analyze how these methods can improve the delivery of community development programs
- derive from case studies how communities and projects have successfully used participation



- Markers, tape, flip chart paper
- Hand-outs (or flip charts) of key points from Shaeffer paper, case studies

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

## B. Overview of participation



1) Ask the participants to write down the first words that enter their heads when you say the word **participation**. Going around the room, each person says his/her words. Brief comment on how participation means different things to different people.

2) Since participation can be interpreted so many different ways, in this workshop we are going to use the paper by Sheldon Shaeffer as our conceptual model for participation in community development. Presentation, clarification and discussion on key aspects of Shaeffer paper.



*The Shaeffer paper is in Appendix C and its key points have been summarized on the next page – they can be copied for hand-outs or written on flip charts. Select the case studies carefully so that they are both diverse and relevant for the participants (examples are in Appendices D and E). As with brainstorming, a hand-out on the basic technique of small groups is included, if the trainer wants to hand it out before or during the case study. This session is short and this afternoon's session (Session 4) is long – if you finish early, start on the afternoon programme before lunch.*

### OVERVIEW OF COLLABORATION AND PARTICIPATION

#### Key points from Sheldon Shaeffer paper (Appendix C)

#### I. Degrees of possible participation in development

- A) The use of a service (e.g. a health clinic)
- B) Participation through the contribution or extraction of resources
- C) Participation through 'attendance' (e.g. at PTA meetings)
- D) Participation through consultation
- E) Involvement in actual delivery of a service
- F) Involvement as implementers of delegated powers
- G) Participation in decision making at every stage

- 1) diagnosing; defining and setting goals
- 2) articulating priorities and setting goals
- 3) collecting and analysing information
- 4) setting goals; planning programmes and implementation strategies
- 5) collecting, allocating and managing resources
- 6) implementing and managing programmes
- 7) monitoring progress
- 8) evaluating results and impact

## **II. Benefits of greater participation and collaboration in development**

### A) Benefits at the individual level

- 1) Cognitive changes: greater knowledge and awareness, better practice
- 2) Psychological: better leadership, greater self-confidence, self-reliance, pride, responsibility, efficacy

### B) Changes at the community level

- 1) Greater control over information and technology
- 2) Formation of new alliances and networks
- 3) More effective management of local resources
- 4) Development of stronger local institutions and a sense of community identity

### C) Changes for society at large

- 1) Lower development costs
- 2) Greater equity of benefits
- 3) More demand for, and more utilization and sustainability of, development programs
- 4) A re-distribution of power among sectors of the society

## **III. Possible issues for implementing participatory programmes**

A) Many communities are not at all homogeneous in nature

B) Marginal communities (and many governments) can't always bear the expense of participatory processes

C) Participatory processes can raise expectations and frustrations, leading to political and social instability

D) The lack of participatory grass-roots tradition and a lack of technical expertise, supervisory skills and animators lead to failed projects or a decline in the quality of service provided

E) It may place greater power in the hands of the 'wrong' people – the domination, at the local level, of narrow community self-interest, based on short-term perspectives and aimed at short-sighted benefits

F) 'Popular' traditions and customs in areas such as health, nutrition, productivity or social justice may, in fact, represent 'developmentally inadequate practices and behaviour'

G) The risk of tokenism and only marginal change

H) Government co-opting NGOs and other community-based associations into state mechanisms and bureaucratic processes

I) The demands of participation can threaten the political order, resulting in suspicion and fear among the elite and repression of the population

J) The inability to know, and to show to others, when a participatory process has succeeded since participation is a process and its products are often psychological, procedural or organizational in nature, rather than concrete in terms of money saved or services delivered

K) The inability to standardize or generalize the implementation of participatory development due to the different configurations of participation in various regions of the world and in different parts of a country

#### IV. Participants in the process

- A) Adult educators
- B) Universities
- C) Private sector
- D) Local government
- E) Donor agencies
- F) NGOs
- G) Government
- H) Extension agents

#### V. The stages and levels (where and when) greater collaboration can occur

- A) Contribution and management of resources at the macro-level
- B) Needs assessment with various agencies working together to assess local needs, often with the active collaboration of the community itself
- C) Programme design and implementation
- D) Monitoring and evaluating both programmes and their agents

#### F. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

#### G. Closing and announcements



*You may want to go back through the training design to point out when which techniques will be used and why. Be sensitive with the andragogy/pedagogy comparison as teachers may take offence.*

*Additional resource material for the section on Paulo Freire can be found in Appendices I and J.*

## Session 4 – Adult Learning and Experiential Education

### Day Two



By the end of the session the participants will be able to:

- distinguish between andragogical and pedagogical approaches to learning
- list and explain 5 to 20 different training techniques
- give examples of when to use which technique in which situation
- summarize three basic conceptual premises of Paulo Freire's thought



- Newsprint, markers, tape
- Hand-outs or flip charts on training techniques and approaches and Freire information
- Prepared flip charts: andragogy vs. pedagogy

#### A. Opening



#### B. Adult learning theory



##### 1. Brainstorm

**Let's think about teaching and training for a couple of minutes.** Ask the participants to think about past training programs they have liked, and they each write down two aspects of the programme that made it successful for them (two ways they like to be taught). These are listed on a piece of newsprint. Then they think about training programs or seminars that they didn't like, and write down two reasons why not. These are listed on another piece of newsprint. These charts are then moved to the side of the room.

##### 2. Lecturette

*On the next page is a lecturette on the basic principles of andragogy, based on A Trainer's Guide to Andragogy by John Ingalls. The main points have been summarised in the grey box at the top of the lecturette. These points should be copied onto flip chart paper before the session starts – make four charts, use the topics in the centre (white) column as chart headings, divide each chart into Pedagogy/Andragogy and copy the main points. As each point in the lecturette is completed, the trainer displays the wall chart which illustrates that point.*

<b>PEDAGOGY</b>	<b>vs</b>	<b>ANDRAGOGY</b>
<ul style="list-style-type: none"> <li>• dependent</li> <li>• directing relationship</li> </ul>	<b>Self-concept</b>	<ul style="list-style-type: none"> <li>• self-directed</li> <li>• helping relationship</li> </ul>
<ul style="list-style-type: none"> <li>• one-way transfer</li> <li>• teacher/student</li> </ul>	<b>Experience</b>	<ul style="list-style-type: none"> <li>• mutual learning</li> <li>• community of learners</li> </ul>
<ul style="list-style-type: none"> <li>• teacher decides</li> <li>• curriculum developed apart</li> </ul>	<b>Readiness to learn</b>	<ul style="list-style-type: none"> <li>• learner-centred</li> <li>• curriculum directly related</li> </ul>
<ul style="list-style-type: none"> <li>• subject-centred</li> <li>• future</li> </ul>	<b>Orientation to learning</b>	<ul style="list-style-type: none"> <li>• problem-centred</li> <li>• present</li> </ul>

What we have done is to create two lists that reflect successful and unsuccessful training programmes. Too often adults are taught the same as children, though this is not appropriate. Today we are going to highlight some of the basic differences between teaching children and teaching adults, not only because this programme wants to be based on the latter, but also because all our work with community groups should be based on these principles. The technical words to distinguish these are andragogy, a term that means adult learning, and pedagogy or child learning. Malcolm Knowles in his book *The Modern Practice of Adult Education* identifies four basic concepts that are central to adult learning.

The first is self-concept. Whereas the child is dependent upon those around him/her, the adult acts autonomously in relation to others. Adults are capable of being self-directed, of being able to identify and articulate what they want to learn in dialogue with the teacher. In pedagogy, the teacher is in a directing relationship with the student; and in adult education the teacher is in a helping relationship with the student.

The second concept is experience. With children, education is often the one-way transfer of data and information from the teacher to the student. This is not always appropriate for the adult learner who brings a wealth of life experience and wisdom into the learning environment. In adult education, the teacher is more often a facilitator in a mutual learning environment. There is, therefore, a focus on experiential methods such as small group activities, role-playing, peer presentations, etc. The dichotomy between teacher and student is replaced by a community of learners and teachers.

The third concept important for adult learning concerns the student's readiness to learn. In traditional pedagogy, the teacher decides what the students need to learn and the curriculum is developed apart from the learner. In andragogy though, the learner takes a much more active role in deciding what will be taught and when. Adult education is more learner-centred. As noted before, adults are often able to identify what the learning needs that arise from their social situation are. In adult education, it is important for the adult learner that the content of educational programs is directly related to both their interests and life situations.

Lastly, there is a different orientation to learning for the adult. Children have been conditioned to have a subject-centred orientation to learning whereas adults tend to have a more problem-centred orientation. The difference is one of time perspective. Children tend to focus attention towards the future whereas adults are concerned with the present. Thus adult learners are interested in learning how to solve the problems that they are experiencing in their daily lives.

### 3. Ways adults learn

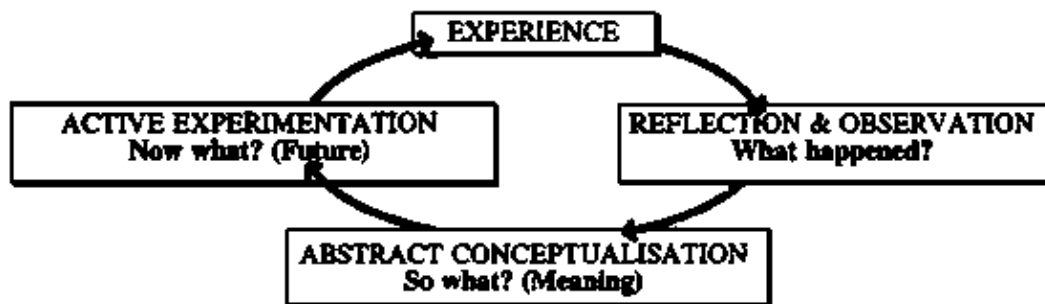
Hand out and briefly discuss the list below.

<b>WAYS ADULTS LEARN</b>
<ol style="list-style-type: none"> <li>1) Adults expect to be treated with respect and recognition.</li> <li>2) Adults want practical solutions to real-life problems.</li> <li>3) Adults can reflect on and analyse their own experiences.</li> <li>4) Different adults have different learning styles.</li> <li>5) Adults can be motivated by the possibility of fulfilling their personal needs and aspirations.</li> <li>6) Adults need the support of their peers in their learning.</li> <li>7) Adults need to communicate their feelings in culturally appropriate ways.</li> <li>8) Adults are capable of making their own decisions and taking charge of their own development.</li> </ol>

### C. Training techniques and approaches



- 1) Hand out and review Considerations for Choosing a Training Method sheet (Appendix F).
- 2) Hand out training techniques checklist (Appendix G1). Go over each technique, explaining each as you go (detailed information in Appendix G2).
- 3) Now have the participants match the techniques to the approaches.
- 4) Describe and discuss the experiential learning cycle illustrated below.



5) Discussion:

- Which training activity do you like to do best as a participant?
- Which techniques are the easiest? Why?
- Which are the most difficult? Why?
- Why is it important to match the technique to the approach?

### D. Paulo Freire



- 1) A brief talk on three of the basic concepts from Paulo Freire's *Pedagogy of the Oppressed*.
  - a) Many village people live in a "culture of silence". They feel that they must accept what is happening to them without the possibility of protesting or questioning it. They believe that they "have no voice". The challenge for the development worker is to help them "find" their voice and break out of the culture of silence, so that they can begin to express their hopes and needs.
  - b) People "name" their reality in a way that may or may not be accurate (e.g. *I am ignorant or This is the way life is and I can't change it.*) The task of the development worker is to help people to "rename" their reality so that they can more fully grasp their potentiality.
  - c) The three level of consciousness:
    - **magical:** I am poor because it's God's will, or because this is the way it is. Total and unquestioning acceptance of what is.

- **naive:** I am poor because I am not a hard enough worker, or because I am not smart enough, or because the landlord is cruel. The blame is on an individual.

- **critical:** I am poor because I live in a society that is keeping me poor, or because existing land policies are unjust. The blame is set at the institutional or systemic level.

**The task of the development worker is to assist the villager to move from a lower level of consciousness to a higher one.**

2) A brief discussion on how and where the participants have seen examples of the three levels of consciousness outlined above, and why these concepts are so important for effective grassroots community development.

3) Hand out the chart on different approaches to education (Appendix H) and briefly discuss it against both the Freire lecture and the first brainstorm of the morning.

### **E. Closing reflection**



- When you think back on your training or teaching experiences, which points discussed this morning make most sense to you?
- What insights have you had into your own learning style?
- Why are andragogical principles and techniques more effective?
- How can you apply these principles to your own work?

### **F. Daily oral evaluation**



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

### **G. Closing and announcements**



*You may want to go back through the training design to point out when which techniques will be used and why. Be sensitive with the andagogy/pedagogy comparison as teachers may take offence.*

*Additional resource material for the section on Paulo Freire can be found in Appendices I and J.*

## **Session 5 – Community Analysis**

### **Day Three**



By the end of the session the participants will be able to:

- explain a model for comprehensively analyzing a community
- justify different approaches to community analysis



- Markers, tape, flip charts
- Hand-out of the PREECHES model

### **A. Opening**



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

### **B. Visualization**



Have the participants close their eyes and picture a community or village they know well. Tell them to "walk" around in the village. What buildings or geographical features do they see? Who do they see? What are people doing? The visualization should be silent, with the questions only rhetorical. Do it slowly. Have people open their eyes. Say that communities are complex entities with many diverse components and factors, all of which need to be included in a comprehensive survey or analysis.

### C. PREECHES model



- 1) Community analysis looks not only at what does and does not exist in a community, but also at what has positive and negative impacts upon the community.
- 2) Present the PREECHES model of analyzing a community. Stress that this is just one way of trying to look comprehensively at a community.
- 3) Have the group discuss what each category and sub–category means. Have them give concrete examples as far as possible.

#### **PREECHES COMMUNITY ANALYSIS**

##### **Political**

- government structures – national, regional, local
- community organizations
- leadership patterns – formal and informal
- other national or international organizations present

##### **Religious**

- structured institutions – Christian, Muslim, Buddhist, etc.
- traditional religious groups and leaders

##### **Economic**

- agriculture
- fisheries
- small business
- industry
- informal economic activity

##### **Education**

- formal – kindergarten to high school
- adult
- traditional

##### **Cultural**

- art
- music
- dance
- theater

- recreational patterns
- informal meeting places

### Health

- health systems – clinics, health teams, etc.
- preventative
- curative
- traditional medicine and healers

### Environment

- utilization of natural resources
- pollution and waste control

### Social

- gender issues: male/female roles and responsibilities
- class structures and issues

## D. Methods brainstorm



Now brainstorm all the ways participants would begin to get this data.

- Who would they talk to?
- Where would they go? (Include places like bars, the well, the barber shop, any typical places where people gather.)
- What documents could they read? (Include newspapers, flyers.)
- What concrete, specific things would they look at? (In a village in India, a research team judged village income by counting the number of windows in the huts; the more windows, the richer the inhabitants.)
- Stress that the more numerous and diverse the sources of data, the more complete the analysis will be.

## E. Final discussion



- 1) Why should one do a community analysis? What data are absolutely needed? What is the information used for?
- 2) What are the most common problems encountered during a community survey or analysis? (If there is time, you can do some quick role-plays around this; such as people tell you what they think you want to hear, not the truth.)

3) How can community development workers include community residents in the process?

## F. Announcements and closing



*An alternative model to PREECHES can be found on page 38 of Training for Transformation Book 1. If the participants are in a community or region they are familiar with, a possible weekend assignment during the training can be to actually do a community analysis. If this is done at the first weekend, it can serve as context for the planning methods dealt with in the second week.*

## Session 6 – Situational Leadership

### Day Three



By the end of the session the participants will be able to:

- discuss the different situational leadership styles of the leadership model
- justify when to use which style, using examples from their work
- list the strengths of using a situational approach



- Markers, tape, flip charts
- Leadership model hand-outs

### A. Opening



Have the participants write down the names of people they think are leaders. These can be historical or famous. Do a quick brainstorm of what leadership is, then ask people to say who they wrote down and why they chose this person as a leader.

## B. Leadership game



1) Choose three volunteers and take them out of the room (or talk with them before the session). They are each given a different leadership role and style to play:

- a) **Autocratic:** They do not listen to others or ask for opinions; very directive and rigid. They say things like "This is the only way we will do it."
- b) **Democratic:** They seek input and ideas from others, are willing to listen to the opinions of others.
- c) **Laissez-faire:** They take no facilitating role at all, appearing indifferent, giving no input or direction.

2) Each leader is assigned to a different group. The three groups are now told that the task is to make the best paper airplane (or bridge, etc.). They are only given a short period of time. At the end the work from the three groups is compared to see who did best.

3) **Discussion:**

- a) Each of the three leaders describes his/her role.
- b) Participants from each group describe how they felt working under the particular leadership style.

## C. Situational leadership



1) Situational leadership is based on the following two basic principles. Explain and discuss each:

- A leader is a leader only if people will follow.
- An effective leader must be skilled to:
  - a) diagnose each situation and then,
  - b) use a leadership style appropriate to that situation.

2) Present, explain and discuss the model of situational leadership using the summary diagram in the grey box below.

### SITUATIONAL LEADERSHIP

#### LEADERSHIP HAS TWO MAIN BEHAVIOURAL COMPONENTS:

##### TASK BEHAVIOUR (Guidance)

The extent to which the leader defines what is to be done and how, when, where and by whom it is to be done with regard to goal-setting, organizing, establishing timelines, directing and controlling.

##### RELATIONSHIP BEHAVIOUR (Support)

The extent to which a leader engages in two-way (multi-way) communication, listening, facilitating teamwork, socio-emotional support and providing feedback.

#### THE COMPONENTS CAN BE COMBINED INTO FOUR BASIC LEADERSHIP STYLES:

**1. INSTRUCTING**

High task, low relationship. Leader decides, gives specific instructions/ orders and closely monitors performance.

**2. CONVINCING**

High task, high relationship. Leader decides, but explains instructions/orders and allows opportunity for queries and clarification.

**3. FACILITATING**

Low task, high relationship. Leader and followers decide after consultation, or followers decide with guidance/encouragement from leader.

**4. DELEGATING**

Low task, low relationship. Leader turns over complete responsibility for decisions and implementation to followers.

**EFFECTIVE LEADERSHIP REQUIRES USING THE LEADERSHIP STYLE THAT BEST SUITS THE READINESS LEVEL OF THE FOLLOWERS, WHICH ALSO HAS TWO COMPONENTS:**

**ABILITY**

Having the knowledge, skill and experience required by the task at hand.

**WILLINGNESS**

Having the commitment, confidence and motivation needed for the task.

**AGAIN, FOUR BASIC LEVELS OF FOLLOWER READINESS CAN BE DISCERNED:**

**1. LOW**

Followers are unable and unwilling/insecure.

**2. MODERATE (WILLING)**

Followers are unable, but willing or confident.

**3. MODERATE (ABLE)**

Followers are able but unwilling or insecure.

**4. HIGH**

Followers are both able and willing/confident.

**LEADER-DIRECTED LEADERSHIP**

Basic leadership styles 1 and 2 are probably most suitable for these levels of readiness.

**FOLLOWER-DIRECTED LEADERSHIP**

Basic leadership styles 3 and 4 are probably most suitable for these levels of readiness.

**D. Discussion**

- 1) What is the most interesting part of the model? What seems most "true" according to your experience?
- 2) Divide the participants into small groups and have them identify examples from their own work of when to use which leadership style.
- 3) The groups regather and share their thoughts.

**E. Daily oral evaluation**

- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?

4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

## E. Closing and announcements



*The game should be fun and not competitive. A good source for more information on the situational leadership model is **Organizational Behavior and Management** by Paul Hersey and Kenneth Blanchard.*

## Session 7 – Community Problem Analysis

### Day Four



By the end of the session the participants will be able to:

- identify a list of typical problems communities have in working together
- solve several typical problem situations



- Markers, tape, flip charts
- Critical incident hand-outs

### A. Opening

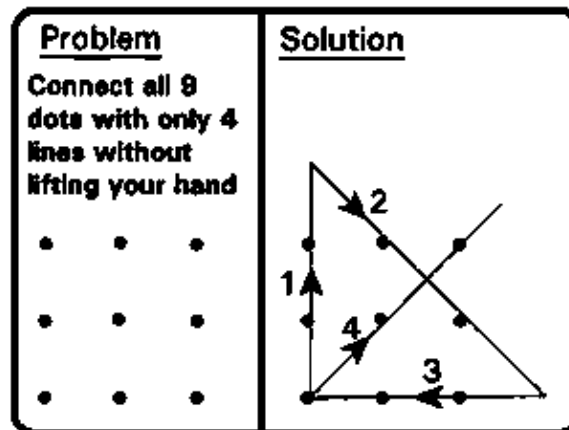


Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on.

## B. Ice breaker – nine dots



Show the participants the flip chart with the nine dots. Ask them to connect the dots. Stress that the only rules are that they can only use four lines, and they cannot lift their pens off the paper. Continue for five or six minutes only. If nobody can do it, show them the answer. The point is that too often we create our own limitations, and that we must learn to try and break out of our self-created boxes. One of our tasks as development workers is to help people to break out of the boxes they are in.



## C. Brainstorm



- 1) Do a group brainstorm on the most common problems communities have in working together effectively.
- 2) Identify the three or four most difficult problems to handle or resolve, and discuss why they are so hard.

### CRITICAL INCIDENTS

#### Why use it?

- To solve problems

#### Rules

- Small groups should try to reach consensus

#### Method

- Incidents are short – one paragraph describing a crisis/problem situation (e.g. having to confront a drunken teacher), ending with "What should you (she, I) do?"
- Incidents are clear, unambiguous, with all necessary data provided
- The groups read the incidents and decide what should be done, then meet in plenary to report

- Always do in small groups of three to five people
- Give several groups the same incident and then compare solutions, emphasizing however that there are no right answers

### C. Critical incidents



- 1) Explain that you are handing out several examples of typical problems encountered by communities. Using critical incidents is an easy way to solve problems or identify solution before a problem situation arises.
- 2) Divide participants into an even number of random small groups. Give each group one (or two depending upon time) critical incident and ask them to resolve it. Each incident should be given to two different groups for comparative purposes. Be sure to have at least three different incidents.
- 3) The participants regather, each group reads its incident and then shares its answer.

### D. Discussion after the sharing



- Was it difficult to find a solution? If so, why?
- Was there disagreement in the group?
- Was this a helpful exercise? Why? Why not?

### E. Closing and announcements



*The critical incidents must be very appropriate and relevant to the participants' daily experience. It is possible to meet with several participants early in the programme to identify typical problems and then write the incidents (see an example in Appendix K). There are several different ways to focus the session depending upon the needs of the participants: problems communities have in working together (outlined above); problems in general faced by a community; or problems development workers encounter when working with communities. Appendix L provides more detailed information on how to go about critical incident analysis.*

## Session 8 – Group Dynamics

### Day Four



By the end of the session the participants will be able to:

- list eight common group behaviors
- identify different behaviors occurring in a group



- Flip chart, markers, tape
- 'What should you do' situation hand-outs
- Group dynamics (member styles) hand-outs

#### A. Opening



Explain that they are now going to do a group dynamics exercise. Understanding group dynamics facilitates one's work with both communities and organizations.

#### B. Fish bowl



1) Ask for five volunteers. Each is given a copy of the 'What should you do?' situation. They are told to go out of the room and to read and think about the situation, but not to discuss it with the others. The rest of the participants are told that they are going to observe the small group's dynamics as they make a decision. Hand out the group dynamics sheet. Answer any questions of clarification. Each participant is assigned a dynamic to watch for. When those in the room are sure about what they are to do, the five volunteers are called back in. (During their absence, their chairs are placed in a small circle inside a larger circle formed by the rest of the participants.)

2) The five volunteers, or mini-group, who were given the situation now have eight to ten minutes to resolve it. While they deliberate, they are observed by the members of the larger group, all of whom are taking notes on what they see. The mini-group will most likely be sufficiently engaged in resolving their situation that they will not notice what the larger group is doing. Be very strict that the outer group remains completely silent during the exercise.

3) After several minutes, or when they have reached a decision, stop the mini-group discussion and tell the members that they were being observed by the rest of the participants, who will now report what they saw.

Hand out the group dynamics sheets to the inner circle, and have the outer circle report on what they saw.

### WHAT SHOULD YOU DO?

You are the chief doctor at the hospital. There has been a terrible accident – a collision between two buses and a car. There were many casualties. Among the victims are five people with severe internal injuries who need to be put onto a kidney machine immediately, or they will die. You only have two machines in the country, and one of them is broken. You must therefore choose from the five people the one who you will put on the machine. They are:

- a 26-year-old mother of five young children who comes from a drought-stricken part of the country. Her husband was killed in the same accident.
- a 70-year-old man who has spent his life collecting and recording the traditional dance, music and poetry of the country. He has not completed passing on his knowledge to younger people and if he dies, all of those traditions will be lost.
- a 65-year-old man who is a national leader of tremendous influence and the main hope for national unity in the present troubled political climate.
- a six-year-old child prodigy. He already speaks six languages and is capable of handling complex mathematics.
- a 40-year-old heart surgeon, one of only two in the country.

It is your decision alone. Whose life will you save and why?

#### 4) Discussion:

To the mini-group:

- Does anyone want to comment on anything the larger group has said?

To all the participants:

- Which dynamics were most interesting to you?
- What did you notice as the group worked together?
- How will understanding different group dynamics help you in your work?

Stress that there are many different ways to look at group dynamics; these are only a few.

### C. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

### GROUP MEMBER STYLES

**ENCOURAGING:** being friendly, warm, responsive to others, praising others and their ideas, agreeing with and accepting the contributions of others

**MEDIATING:** harmonizing, conciliating differences in points of view, proposing and making compromises

**RELIEVING TENSION:** draining off negative feelings by jesting or diverting attention from unpleasant to pleasant matters

**FOLLOWING:** going along with the group, somewhat passively accepting the ideas of others, serving as an audience during group discussion, being a good listener

**STANDARD SETTING:** expressing standards for the group to use in choosing its subject matter or procedures, rules of conduct, ethical values

**GATE KEEPING:** trying to make it possible for another member to make a contribution

**RAILROADING:** forcing through your opinion regardless of other group members' opinions

**HANDCLASP:** an agreement between two members of the group that automatically becomes the whole group decision, without the others really realizing what has happened

#### D. Closing and announcements



*If the inner circle has not reached a conclusion after 8 to 10 minutes, give them a one-minute deadline to decide. The exercise is taken from **Teacher Training: A Training Manual** by Anne Dodge, published by the US Peace Corps. Another amusing exercise or context for group dynamics, particularly unhelpful behavior, can be found in Appendix M.*

## Session 9 – Planning and Running Village Meetings

### Day Five



By the end of the session the participants will be able to:

- identify why village meetings often fail to accomplish their goals
- develop strategies for running a successful village meeting



- Markers, tape, flip charts

## A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

## B. Brainstorm



- 1) Ask the participants to close their eyes and picture a village meeting; give them a couple of minutes. Have them open their eyes and ask several people to share what they saw.
- 2) Have participants think of a village meeting they have been to that they think was very good: successful, effective or well-run. Have each person then list on a piece of paper three to five reasons why the meeting went so well. Have them tick the most important reason. Then go around the room collecting the ticked items first and writing the responses on a flip chart. Reflect briefly on the list.
- 3) Now have them think of a village meeting they have been to that they think was terrible: nothing was accomplished, there was a lot of tension or it was poorly run. Have each person then list on a piece of paper three to five reasons why the meeting was such a failure. Again, have them tick the most important reason and then go around the room collecting the ticked items first and writing the responses on a flip chart. Reflect briefly on the list. You may want to group the list into similar or overlapping problems.



## C. Small groups



- 1) Looking at the second list, have the participants choose five or six of the problems (or groups of problems) that they feel are the most important and/or common.
- 2) Divide the participants into the same number of groups and give each group a different problem. The groups then spend 20 to 30 minutes developing strategies for resolving the problem; or strategies for action that will ensure that the problem will not arise.
- 3) The groups return and report on their strategies.

## D. Discussion



- Was it difficult for you to find a solution? If so, why?
- Was there disagreement in your group?
- What has been the most helpful part of this exercise?
- How can you help the communities or organizations you work with to hold more effective meetings?

## E. Closing and announcements



*Divide the participants by counting off. Have each group assign a reporter. There may be a lot of disagreement on naming the problems and solutions if the group is very heterogeneous: villagers, village chiefs, government workers may see the same situation from very different perspectives. Refer back to Freire's naming of reality.*

## Session 10 – Village Meeting Role-plays

### Day Five



By the end of the session the participants will be able to:

- identify effective techniques for running meetings
- practice leading meetings



- Markers, tape, flip charts
- Role-play hand-outs

### ROLE-PLAY

Why use it?

- To practice a situation
- To present a teaching point
- To bring out "hidden" or unnamed information

### **Rules**

- People are playing roles and not themselves
- Don't make anyone do it
- Observers watch, they don't interfere
- Let players process first
- It's not a play – there are no right lines

### **Method**

- Clearly delineate situation/scenario
- Clearly delineate roles
- Ask for volunteers
- Allow people preparation time if necessary
- Prepare necessary props ahead of time
- Always have reflection afterwards

#### **Reflection Process:**

- 1) Ask players how they felt during the role-play
- 2) Ask the audience what the players did well
- 3) Ask the audience what players could have done or said differently
- 4) Ask all what learnings or insights they have

## **A. Opening**



Give an introduction to the session and stress that role-play is an effective technique both to practice something and to resolve potential problems before they arise.

## **B. Role-plays**



1) Ask for volunteers to do the role-plays. Depending upon the group (i.e. their willingness to be spontaneous or not), the role-plays can be prepared in advance. The role-plays should reflect typical situations the participants encounter in their daily work.

2) Read the situation and explain clearly the roles. Ask if the volunteers have any questions.

3) **Discussion after each role-play:**

- To players: How did you feel during the role–play?
- To audience: What did the players do well?
- To audience: What could the players have done or said differently?
- To all: What did you learn or what insights did you have?

4) **Final discussion:** Now think back on all the role–plays.

- Are these real situations?
- Which role–play did you like best? Why?
- What insights did you have or what things did you learn?

### C. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

### D. Closing and announcements



*If possible, create role–play situations during lunch, using data from the morning problem brainstorm. Try to have different people in the role–plays, not always just the outgoing participants. For the discussion, always start with the role–players first. The hand–out on role–plays in the grey box can be given to participants if desired. An alternative to the role–play would be the play exercise from **Training for Transformation** in Appendix N.*

## Session 11 – Community and Organizational Structures: Vision, History and Organigrams

Day Six



By the end of the session the participants will be able to:

- assist a community or organization to articulate its vision
- create an organizational or community timeline history
- develop an organigram for an organization or a community



- Markers, tape, flip chart paper
- Prepared flip charts: Workshop Objectives, Sample Life Timeline, Sample Organigram

### A. Opening



Greet participants. Does anyone have any thoughts or questions about last week's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

### B. Faces/table picture



Show the participants the picture of faces/table and ask them to write silently what they can see. Then have each person around the room give his/her answer. Show them how the same picture can look different to different people. Ask them what lessons might be learned from this exercise. The point is that it is the same with life: people "see" the same thing differently, therefore it is important to understand and clarify how people see their community.



### C. Defining community/organizational vision



1) Before people can plan for the future they must stop to look where they were, where they are and where they want to go. One way to create a "picture" of a community or organization is through the articulation of its vision of itself.

2) Have the group do three brainstorms of a chosen community or organization. This can be done in small groups, or choose one example for the whole group:

a) **Past:** What were some of the important historical events? What did the community look like 50/25/10 years ago? What was the community like in their grandparents' day?

b) **Present:** What is happening today? What does the community look like now? What are the things they are proud of?

c) **Future:** What is their vision or dream for the future? If someone returned in 20 years, what would he/she see? What would a photo of the community show 10 to 20 years from now?

3) Discussion

- Why is it important for a community or organization to have a vision of its future?
- Communities and organizations often have problems articulating their vision. Why do you think this is true?

#### D. Organization or community timeline histories



##### 1. Context

A second way to begin to analyze a community is by drawing a picture of its history. Every person, organization, community or nation has a history of its life, filled with different events, some happy and some sad. The trainer says: "A timeline or history of my life might look like this" and puts up a prepared timeline, from birth to present, with key events listed – marriage, birth of children, graduation, important trip, etc. Organizations and communities are the same. Put up and explain an example from a community or organization familiar to the group, or create one with the group using the data from the example in the vision exercise.

##### 2. Small groups

Participants divide into small groups to do their own community/organizational timelines. If the participants are very diverse, have each small group choose a community or organization of one of the group members and do that timeline. Or each person can do his/her own. Participants regather and each group reports.

##### 3. Discussion

- What did you find interesting about this exercise?
- Did you learn anything new? If so, what?
- Why is it important to do an exercise like this?

## E. Organigrams and organizational charts



1) An organigram is a picture of the management structure of an organization. It is a chart of all the positions in the organization and the way they relate to each other, and of how the organization itself relates to other agencies such as Ministries or donors. Organigrams make it easy to see how the different positions in an organization relate to each other; and what the channels of communication are.

2) Put up the organigram of an organization or community familiar to the participants and explain it. Put only positions, not names. Stress that there are no names on this chart, there are only the job positions. You can add the names under each title if you want, but the important thing to remember is that even if the people change, the positions remain the same. Ask if there are any questions about what an organigram is and why it is used.

3) Have the participants return to small groups and do an organigram.

4) Put all the organigrams up in front and have people look at them.

- What do you notice?
- What similarities and differences are there?
- What was interesting about this exercise? Difficult?

Stress that organigrams change only when there are structural changes in the organization.

5) How can all three of these methods of looking at communities (timelines, organigrams and vision) be used in your daily work in order to make you more effective as a community development worker?

## F. Closing and announcements



*Instead of the faces/table picture, the trainer may wish to substitute another picture that is more culturally appropriate. This exercise will vary greatly, depending upon the composition of the group. If possible, use the same examples for each of the three steps. Another interesting exercise is to have the participants create/design a symbol (picture like a coat of arms) for their community or organization, using the data from step C above.*

## Session 12 – Planning Process and Needs Assessment

### Day Six



By the end of the session the participants will be able to:

- list and explain the six planning steps
- explain why needs assessment is fundamental for project design and planning
- identify methods for doing a depth issue analysis



- Markers, tape, flip chart paper, 15 mm x 20 mm cards or paper
- Prepared flip chart(s): Planning Steps

### A. Opening



Have each person take out a piece of paper and write down the first two words that enter their heads when they think about doing planning. Go around the room and have each person read his/her two words. At the end, make a brief comment on the words chosen.

### B. Planning process



1) Outline the six basic **planning steps** and briefly describe each:

- Needs assessment (or depth issue analysis)
- Goals and objectives
- Constraints analysis
- Implementation plans
- Implementation timelines
- Evaluation plan

2) Give a brief context on why comprehensive planning is so important for successful project design. Too many times people say "This is what we should do, let's go do it" without stopping to analyze the situation and needs carefully. Elicit from the participants examples of projects that have failed because of poor planning.



### C. Needs assessment or depth issue analysis



### 1) Problem brainstorm

- a) A short talk about the importance of depth problem analysis; looking behind the symptoms or superficial issues to the deeper, underlying problem – the rock in the middle of the road that needs to be removed.
- b) Flat tire exercise. Problems should not be "lack of or "inadequate".
- c) Choose a problem topic – high illiteracy in a village, infant mortality, subsistence farming – and identify the location (village, district). Tell the participants you want them to think of all the problems that are causing the situation. The more realistic and appropriate the situation for the group, the better.
- d) In pairs, participants identify six to eight major problems concerning the chosen topic. They write each problem on a separate small piece of paper (15 mm × 20 mm).
- e) They place a tick next to the most important of the problems listed.
- f) Going around the room, each pair give their ticked item which is then put up in front on the wall.
- g) As other points are added, similar problems are clustered into groups. Continue until all pieces of paper are on the board. A general category name is given to the cluster.

### 2) Participants divide into groups, one per cluster.

- a) Each small group is given a group of common issues. The context is given by telling the dirty streets story. The analogy of staph infection is also given. (You can't treat only the sores topically: you must treat the infection with penicillin. The pieces of paper are like the sores and the underlying cause is like the internal staph infection.)
- b) They look at the pieces of data, and name the common problem or depth issue – the underlying problem that is causing all the other problems to exist.
- c) They next write a challenge statement beginning with "How to..."
- d) They write all of the above on flip chart paper.

### 3) Each group reports on its small group work, which is then clarified or corrected.

### D. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?

4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

## E. Closing and announcements



*Use the attached stories or develop your own examples of why to do depth issue analysis. The trainer can also control the number of cluster groups if needed. This is a very difficult step and the small groups need to be carefully monitored. Attached is also an example taken from a planning exercise with the Indonesian Department of Religious Affairs (DORA) in 1991. If the session runs too long, do the challenges the next day. The example chosen in C.1.c. will be carried over to the next two days.*

### **Dirty Streets Story**

I was working with a poor urban neighbourhood on a community development project. As we began to look at their problems, everyone complained about how dirty the streets were – filled with garbage and trash. So the community decided to organize a workday to clean the streets. The workday was successful and the streets were all cleaned. However two weeks later the streets were just as dirty again. The reason was that no one had ever looked to see why the streets were dirty in the first place. For after all, if it was such a good idea to have clean streets, why weren't they already clean? Therefore we began to look at all the problems facing the community, and do an analysis of the depth issues or underlying causes. What we discovered was that the real problem was that there was no pride – no one wanted to live there. It was a very poor transient neighbourhood, and people were just there until they could move on to somewhere better. So we decided to create a program that addressed that problem and started activities such as a neighbourhood block party, a weekly volleyball game in an empty lot, a group that got together to do bulk buying to keep their food prices down, etc. And what we suddenly noticed six weeks later was that the streets were starting to get cleaner, almost by themselves. People were planting flowers and cleaning their yards as they became happier about living there.

### **Staph infection**

This makes the same point as above. When you have a staph infection you get boils or sores on your body. But no matter what you do to the sore, no matter what cream or powder you put on it, it won't go away until you treat the staph infection with antibiotics. For the sores are just the symptoms of the illness – the root cause is the staph infection.

### **Flat Tyre Story**

One day a car was driving down a deserted road out in the middle of nowhere, when suddenly it had a flat tyre. The passengers got out, opened the trunk and discovered to their dismay that there was no jack. They decided they needed a jack to change the tyre, so they started off on foot down the road to try and find a gas station in order to borrow a jack.

A couple of minutes later, another car came down the deserted road. Suddenly, it too had a flat tyre. The passengers got out of the car, opened the trunk and discovered there was no jack. They thought a while and decided they needed to find a way to lift the car, so that they could change the tyre. They looked around and found a big rock and a log. Using the rock and the log, they lifted up the side of the car and changed the tyre.

So while the passengers of the first car were still walking down the road looking for a gas station, the second car had already changed its tyre and was continuing along to its destination.

Why was it that the passengers of the second car resolved the problem of the flat tyre first?

**Answer:** The difference is the way each group named the problem. The first group named it in terms of the solution – no jack. Thus, their only option for a solution was to get a jack. The second group named the problem as having no way to lift the car. They, therefore, had **many** possible options for finding a way to lift the car, not only one.

### Planning example

**Issue data:** Insufficient budget, inflation, lack of budget, lack of transportation, inadequate facilities, salaries too low, supply shortages.

**Problem:** Insufficient funding for program activity (not a lack of money).

**Challenge:** How to create effective programming within the given program constraints.

**Goal:** To restructure DORA so as to maximize program effectiveness given national budget constraints.

**Objectives:**

- By March, senior staff will create a list of all program activity prioritized in order of importance to DORA's mission.
- By September, each department head will submit to the director a plan for cutting their program budgets by 10%.

## Session 13 – Goals, Objectives and Constraints Analysis

### Day Seven



By the end of the session the participants will be able to:

- write clear planning objectives
- conduct a SWOT analysis



- Markers, tape, flip chart paper
- Prepared flip charts: Planning Steps, World Bank example, Objective Components
- Examples of well-written objectives, challenge statements from previous day, SWOT outline

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Review the planning steps. Feedback from the steering committee.

## B. Ice-breaker



The trainer makes the participants follow a ridiculous set of instructions with no explanation of why they are doing it.

**Good morning. Before we start I want you all to do something for me. First take a blank sheet of paper. Now write your name at the top of it. Now turn the paper upside down and write your name again. Now trade papers with the person next to you. Place the paper on the floor next to your chair. Good. Now stand up. Good. Sit down and pick up the paper from the floor and give it back to the person whose name is on it, and place it in your notebook.** After a brief silence the trainer asks, **How did you all feel about what we just did?** Participants should express a sense of frustration, or of not understanding why they did what they did. **Today we are going to discuss goals and objectives. Without clear objectives, your actions or programs can appear or become as senseless as the exercise you just completed. As community workers, it is very important that both you and the people you work with are always aware of what you want and where you are going.**



## C. Program and goal development



1) Overview: Explain that every organization or village structure should have clear statements about its aim, so that people will understand what it is and what it does.

a) The broadest statement describes its overall purpose. A World Bank project may have for its purpose "to improve transportation systems in Tanzania" or a health project "to reduce infant mortality rates". This is called a mission statement.

b) A goal statement (or statements) is a little more specific. The World Bank's goal may be "to improve the highway system in Tanzania". They are not building railroads or airports, both of which could also meet the mission of improving the transportation system. The goal says in what specific area the organization will focus.

c) The objectives are what the project expects to accomplish. The World Bank project objectives may be to build (300 kms of) new roads, repair or upgrade (1500 kms of) existing roads, build (two) new bridges and repair (five) existing ones. (You may want to keep these

examples very general by excluding the numbers.)

2) Put up the challenges and issues clusters from the day before. Together with the participants, identify a program idea that would address the challenges and write one or two goals for the program.

#### D. Objective components



1) Explain the four components of a well written objective:

- quantity (300 kms)
- quality (tarmac)
- time (June 1993)
- location (northern province)

Give the participants examples of well written objectives, e.g. By June 1993, 300 kms of tarmac road will be built in the northern province.

2) Divide the participants into groups and give each group one of the challenges with its issues cluster. Have each group develop one or two objectives that would address their challenge and issues.

3) The groups regather and each objective is then evaluated in terms of:

- Is it clear and concise?
- Is there overlap?
- Can it be measured?
- Does it address the challenge?
- Does it relate directly to the goal?
- Is it appropriate and feasible for the given context?



#### E. Constraints analysis



1) As stated before, too often people say: "This is what we should do" (objectives), and then move on directly to doing it. It is very important, however, to first analyze all the possible constraints to action: the rocks that are blocking the middle of the road.

2) A SWOT analysis is an easy way to analyze the ability of an organization or community to implement an objective. It is done by brainstorming the following:

- S**trengths
- W**eaknesses
- O**pportunities
- T**hreats

The strengths and weaknesses are internal to the community or organization, and the opportunities and threats are external.

3) Looking at all the objectives identified in step D, the participants do a SWOT brainstorm of their ability, if they were the implementors, to accomplish these objectives. If the participants are from different communities or agencies, choose one community or agency to be used as the context for this step. Thus, the first brainstorm is the internal strengths and weaknesses of the agency or community to accomplish the objectives, and the second are the opportunities and threats external to the agency or community. The data from this brainstorm will be used the next day for the implementation plans.

#### F. Final discussion



- 1) What is the most difficult thing about writing objectives?
- 2) Do you find the SWOT analysis method useful? If so, why? If not, why not?
- 3) Why is it so important to do constraints analyses at every step of the planning process?

#### G. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

#### H. Closing and announcements



*This is a day-long session and lunch is probably best between the objectives and the SWOT. In step E.3, you may have to assign each group a set identity, so that they can do a better analysis of their internal strengths and weaknesses: the same NGO, a village women's group, the district literacy office, etc.*

Depending on the needs and experience of the participants, you may also want to include a step on strategies after the objectives. The activities then outline how the strategy will be accomplished.

**Examples:**

a) Objectives: Increase organization membership by 20% by the end of this year.

Strategy: A membership campaign targeting relatives of present members will be conducted using door-to-door visits and special events.

Activities:

- make list of potential new members
- recruit and train volunteers to visit door-to-door
- hold an open house and party for potential new members

b) Objectives: Increase the existing egg business profits by 15% by the end of this year.

Strategy: Business profits will be increased by reorganizing accounting systems, a new marketing campaign and diversification of product.

Activities:

- hire a part-time bookkeeper
- advertise through radio, posters and flyers
- sell chickens also

## Session 14 – Implementation Plans and Timelines

### Day Eight



By the end of the session the participants will be able to:

- identify action steps for implementing a project
- develop an implementation plan
- make a timeline



- Markers, tape, flip chart paper
- Implementation plan and timeline hand-outs (copy from Appendix O)
- Prepared flip charts: Planning Steps

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Review the planning steps. Feedback from the steering committee.

## B. Implementation plan



- 1) Review the objectives written the day before.
- 2) Brainstorm the major activities necessary to accomplish the objectives.
- 3) Review the SWOT data. The strengths and opportunities should support the activities, and perhaps suggest additional ones. Look carefully at the weaknesses and threats. Be sure to include activities that will eliminate or neutralize these wherever possible.
- 4) Group interrelated activities and list them all in chronological order.
- 5) Identify necessary implementing steps for each activity.
- 6) Complete the implementation plan, listing each activity with its implementing steps.
- 7) Create a timeline chart placing all the activities and implementing steps over time, using the "when" data from the implementation plan.

## C. Discussion



- 1) Which activities will be the easiest to accomplish?
- 2) Which activities will be the most difficult to accomplish?
- 3) What are the strengths of the implementation plan format?

## D. Closing and announcements



*Developing activities within the context of the SWOT analysis is done to help the participants strategize up front how they will resolve some of the problems they will encounter during implementation. The more*

*through the activities and implementation brainstorming are, the more complete and useful the implementation plan will be.*

## Session 15 – Evaluation Plans

### Day Eight



By the end of the session the participants will be able to:

- identify the differences between situation analysis, monitoring and summative evaluation
- discuss the advantages and disadvantages of overt and covert evaluation, and of quantitative and qualitative evaluation
- design an evaluation plan



- Markers, tape, flip chart paper
- Prepared flip charts: Planning Steps, Types of Evaluation

#### A. Opening



Review the planning steps and ask if there are any questions from the morning.

#### B. Overview: three evaluation steps



1) There are three components to an evaluation system. Explain each and give examples as necessary and appropriate.

- a) **Situation analysis:** Initial baseline data, or a detailed statement of the situation before the project started, is crucial for a valid final evaluation. If you don't know where you were, it is hard to accurately evaluate the progress or achievement at the end of the project. This step occurs at the beginning of the project, during the planning phase.

b) **Monitoring program activity:** This is done during the life of the program, so that you can see if the program is going the way it should, the way it was planned, in order to make any necessary changes before it gets too far off track. The more closely a project is monitored, the more quickly deviations in project implementation can be detected, and the less costly (in human, material and time terms) the necessary corrections will be. This step continues throughout the life of the project.

c) **Summative evaluation:** Also called final evaluation, this is done at the end of a program to see what the program accomplished and to recommend changes for future similar programs so that they will be more effective. This is the final judgement of the "success" of the project. Evaluation should not be seen as inspection. Evaluation looks for "causes and not culprits". Its purpose is to improve program design and implementation.

At the end of each day, we have had a brief oral evaluation in order to monitor the progress of the training, and at the end of the workshop there will be a summative one. Whenever you are doing planning, you must build in these two types of evaluation: monitoring to see how you are doing so that you can quickly correct things as necessary, and final evaluation so that you can see how well you did.

2) Discuss briefly with the participants typical problems they have had designing or implementing each of the above steps.

### C. Approaches to evaluation



1) Discuss with the participants how in reality there is no such thing as an objective evaluation, for all collection and analysis of data is coloured by the subjective interpretation and perceptions of the evaluator.

2) Evaluation systems can be developed either apart from the beneficiaries or with them. The latter is often called participatory evaluation. By involving the program beneficiaries or participants in the evaluation process (both design and implementation) there is an enhanced level of "ownership" of, and responsibility for, the evaluation results and the potential subsequent modifications to program implementation.

3) Given the above, there are several different approaches to evaluation. Explain each approach and then brainstorm with the participants the advantages and disadvantages of each:

- a) Overt vs covert
- b) Quantitative vs qualitative
- c) External vs internal (The latter is designed by program staff or beneficiaries and may be more participatory than externally initiated evaluation.)

### D. Evaluation focus



1) Finally, just as there are several types of evaluations there are also several levels or audiences for evaluations. One of the most important questions to ask before designing an evaluation is "**Who** wants to know **what** for **what reason?**"

2) Go through an example for the participants. An example of the different "client" or "who" of an organization's evaluation of a village project could include:

- The villagers, themselves, how are their lives better?
- The leadership of the village, what changes have occurred and future implications?
- The organization itself (supervisor, director), was the project well–designed and implemented?
- The funders, was their money well spent?
- Then there may be other people interested, such as the government, both local and national.

3) Take an example from the participants and have them identify all the "whos", "whats", and "what reasons".

4) Stress that different tools and even reports may be necessary for each of the client's evaluation focuses. Brainstorm with the participants all the different tools used for evaluation and discuss when to use which.

### **E. Small groups**



1) Have the participants return to their small groups and add an evaluation plan to their implementation plans and timelines.

2) The groups present their implementation and evaluation plans and timelines.

### **F. Final discussion**



1) Thinking back upon the whole planning process, what did you learn that was new? What is similar to what you are already doing?

2) Are the steps all helpful? If so, why? If not, why not?

3) What would you like to learn more about or practice more?

4) What has been the most helpful thing you have learned in the past three days?

### **G. Daily oral evaluation**



1) What do you remember us doing today?

2) What was fun or interesting? What was new for you?

3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?

4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

## H. Closing and announcements



*For the discussion on the subjectivity of evaluation, you may want to refer back to the Freire presentation. Try to get real examples from the participants of "Who wants to know what for what reason?"*

## Session 16 – Analyzing Community Resources

### Day Nine



By the end of the session the participants will be able to:

- identify community development projects that rely only upon community resources for funding
- list the many different types of resources found in a community



- Markers, tape, flip chart paper, matrix form

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

## B. Workshop overview



Over the past thirty years of development assistance, a hand–out mentality has developed in many different places and communities. Too often a community waits for someone from the outside to do something for them, as opposed to identifying what they can do for themselves.

## C. Creativity brainstorm



- 1) Community development is described as an effort to improve the quality of life of people in a village, region or nation.
- 2) Have the participants brainstorm what they see as "quality of life". Help them expand beyond just saying health, education, economic security, to what kind of education, etc. Also be sure they include things like physical security, the physical environment, spiritual life, cultural opportunities, leisure time etc.
- 3) Divide the participants into groups of three. Each group then brainstorms all the possible kinds of activities a community could do to improve its quality of life without requiring outside resources.

COMMUNITY RESOURCES MATRIX					
Project\Resource					
Material					
Financial					
Human					
Skills					

- 4) Regather and form a group list, noting how many different activities they have listed.
- 5) Discussion:
  - a) What was interesting to you about the exercise?
  - b) What surprised you?
  - c) What do you think is the value of the exercise?
  - d) What is the weakness of the exercise?
  - e) How can we encourage communities to begin to think in this kind of way?

## D. Identifying community resources



1) Divide the participants into groups of four or five. Give each group a different project topic: starting a literacy program, opening a village health clinic or pharmacy, building an irrigation system, beginning dry season gardening.... Topics will depend on their experience and interest. Each group gets a blank matrix form.

2) Each group then writes its project topic in one of the boxes on the topic line of the matrix and then completes its section of the matrix.

3) The groups regather and put all their data onto a large wall matrix.

4) Discussion:

- a) What do you notice?
- b) What surprises you?
- c) How can this kind of exercise release community action?

## E. Closing and announcements



*The point of this exercise is to push the participants into thinking beyond traditional patterns. Give them plenty of time in the creativity brainstorm and with the matrix, and keep pushing them to come with new ideas, no matter how unusual or "crazy sounding".*

## Session 17 – Resource Issues and Strategies

### Day Nine



By the end of the session the participants will be able to:

- identify their major funding and resource problems
- develop action plans for targeting new resources



- Markers, tape, flip chart paper
- Implementation Plan forms, Implementation Timeline forms (copy from Appendix O)

## A. Opening



Greet participants. Does anyone have any thoughts or questions about this morning's work that they want to share before we begin this afternoon? If so, discuss; if not, move on.

## B. Brainstorm



- 1) Working in groups of three, the participants identify their major funding and resource problems: either areas of insufficient funding or typical problems of obtaining funding. Each problem is put on a separate small piece of paper.
- 2) All the data is then put up on the front wall and grouped into clusters of similar topics.
- 3) Small groups are assigned, one per cluster of issues, to develop strategies and/or recommendations for solving the problems.
- 4) Groups report back on their work.

## C. Action plan



- 1) Either at the individual or group level, the participants identify a specific funding/resource allocation goal or target and develop objectives and strategies for obtaining the goal.
- 2) Next they brainstorm a list of activities or steps necessary to accomplish the objectives.
- 3) These activities are then placed on an implementation plan and timed for action.
- 4) The participants regather and share their work.

## D. Discussion



- 1) What was the most exciting or important part of this afternoon's session for you?
- 2) What will be the most difficult part of your plan to implement?

3) How has this process been helpful for you, and/or how will it be helpful for your organization or agency?

### E. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

### F. Closing and announcements



*This session depends very much upon the composition of the group. If participants come from the same or similar agencies, they can work in groups to create the action plans. If a specific format is either required or used often for funding proposals, that could be taught here instead of doing the action plans. The point is to make this session very practical and future-oriented.*

## Session 18 – Field Trip

### Day Ten



By the end of the session the participants will be able to:

- discuss a project or community that reflects principles they have studied so far in the workshop
- identify learnings that can be applied to their own situations



- Depends upon field trip site

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on.

### B. Overview of field trip



Prepare the participants for where they are going by giving a brief description of the field trip site and the learning objectives for the trip. This can be done the day before, if the trip leaves very early in the morning, or if planning the trip is part of the experience.

### C. Reflective discussion at the end of the visit



The questions can be much more specific, depending upon the field trip topic, but should at least involve these levels.

- What do you remember doing today? seeing?
- Who did you talk to? What do you remember them saying?
- What part of the day was new or interesting for you? Why?
- What part of the day was not interesting? Why?
- What did you see or learn today that is appropriate for your own work or situation? In what way?
- Is there one thing you learned today that will help you in your work in the future?

### D. Closing and announcements



*The field trip can happen at any point during the workshop. Friday is a good time because concentration is usually low. A project that emphasizes community participation or inter-sectoral or agency cooperation would be the most appropriate. The important thing is to process the trip sufficiently to ensure learning. If an afield trip is not possible, you may want to spend a whole day doing a mapping exercise. The type of exercise will differ depending upon the focus of the participants and the community chosen for the map (for an overview of participatory planning and mapping, see Appendix P). Data from this kind of exercise could also serve for gathering information on community problems and issues for the action planning. Finally, in a three-week program, this day could be used just for recreation, shopping or a cultural trip.*

## Session 19 – Issues of Community Involvement

### Day Eleven



By the end of the session the participants will be able to:

- explain why communities have difficulty becoming involved in the development process
- share and explain the reasons for their own frustrations as development workers



- Markers, tape, flip chart paper
- Props for skits

### A. Opening



Greet participants. Does anyone have any thoughts or questions about last week's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

### B. Skits



1) Have two groups of volunteers prepare skits over the weekend:

- a) The first skit is about a very enthusiastic and eager community development worker who comes to work in a very apathetic village. Villagers only complain and criticise one another for their problems. No one wants to do a workday unless it is for their own self profit. Village meetings go nowhere – either argument or apathy.

b) The second skit is about a very enthusiastic and active village. People are highly motivated and work well together. Both workdays and village meetings are well attended.

2) Have the participants do the skits, first a, then b.



3) Discussion (after both skits are finished):

a) For the first skit:

- What happened?
- What do you remember people saying or doing?
- Have you ever tried to work with a village like this? What happened?

b) For the second skit:

- What happened?
- What do you remember people saying or doing?
- Have you ever worked with a village like this?

4) Brainstorm and discussion

a) Ask participants what they think are the causes of apathy and disharmony in a village. Why do people not want to work on development projects? Write the answers on a flip chart.

b) Now ask them why some villages seem to work so well together, why they are so motivated. List these answers on a flip chart.

### C. Role-plays



1) Ask for volunteers to do the following role-plays.

a) The first role-play is about a "bad" community development worker who is working with a group of villagers on digging a well and a latrine.

b) The second role-play is the same situation, but with a "good" community development worker.

**Do not** define what is "good" or "bad" – let the role-players determine this themselves.

2) Have the participants do the role-plays, first a, then b.

3) Discussion (after both role-plays are finished):

a) For the first role-play:

- What happened?
  - What do you remember people saying or doing?
  - What made this community development worker "bad"?
- List these on newsprint.

b) For the second skit:

- What happened?
  - What do you remember people saying or doing?
  - What made this community development worker "good"?
- List these on newsprint.

c) Have the group review the two lists.

d) Discuss and analyze the two lists.

- What can community development workers do to promote or ensure the positive, and eliminate or avoid the negative?

e) Have each person write on a piece of paper the three main things they have learned from this session. Have several people share their answers.

#### D. Closing and announcements



*Each of the skits should be about 15 minutes long. Encourage people to talk freely. This is the third week and a level of trust should have been established. Many development workers get burnt out from constant struggles with apathetic villagers. Give them the chance to ventilate, then help them begin to see some of the reasons for the apathy or resistance: power issues, lack of involvement in the planning process, other pressing priorities (harvest, children), Freire's culture of silence or magical consciousness, etc. Don't let the "good" and "bad" CD worker role-play discussion be full of blame. Instead, have the focus on what they can do to improve the quality of their daily work in order to be more effective.*

## Session 20 – Strategies for Community Involvement

### Day Eleven



By the end of the session the participants will be able to:

- develop strategies for working more effectively with communities
- practice motivating community people



- Markers, tape, flip chart paper
- Critical incidents, props for role–plays

### A. Opening



Ask if anyone has had any further thoughts about the morning session.

### B. Brainstorm



- 1) Review the list of problems from the morning (B.4.a).
- 2) Identify the three or four most difficult to handle/resolve and discuss why they are so hard.
- 3) Brainstorm some ideas for resolving them.

### C. Critical incidents



- 1) Explain that you are handing out several examples of typical problems encountered by community development workers. Remind them that critical incidents are an easy way to do problem solving or solution identification before a situation happens.
- 2) Divide participants into an even number of random small groups. Give each group one (or two depending upon time) critical incident and ask them to resolve it (each incident should be given to two groups for comparative purposes.) Be sure to have at least three different incidents.
- 3) The participants regather, each group reads its incident and then shares its answer.
- 4) Discussion at the end of all the sharing:
  - Was it difficult to find a solution? If so why?
  - Was there disagreement in the group?
  - Was this a helpful exercise? Why? Why not?

### D. Role–plays



1) Now have the participants do two or three role-plays of typical incidents or issues identified during the morning.

2) Ask for volunteers to do the role-plays. You may even want to choose the person who identified the problem situation and have them play themselves.

3) Read the situation and explain clearly the roles. Ask if the volunteers have any questions.

4) Discussion after each role-play:

- To players: How did you feel during the role-play?
- To audience: What did the players do well?
- To audience: What could the players have done or said differently?
- To all: What did you learn or what insights do you have?

4) Final discussion: Now think back on all the role-plays.

- Which role-play did you like best? Why?
- What insights do you have or what did you learn?

#### **E. Daily oral evaluation**



1) What do you remember us doing today?

2) What was fun or interesting? What was new for you?

3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?

4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

#### **F. Closing and announcements**



*This session is intended to give the participants practice at working more effectively with villagers. If possible, create the role-play situations during lunch using data from the problem brainstorm done in the*

## Session 21 – Identifying Other Players

### Day Twelve



By the end of the session the participants will be able to:

- identify the many ways different partners can be involved in the development process
- explain how to engage these partners more effectively in the development process



- Collaboration in Development matrix hand-outs, large matrix wall chart

### A. Opening



Greet participants. Does anyone have any thoughts or questions about yesterday's work that they want to share before we begin today? If so, discuss; if not, move on. Feedback from the steering committee.

### B. Collaboration in development



1) Say the following, **Close your eyes for a minute. I want you to picture a typical development project, or one you are very familiar with. Who do you see and what are they doing?** Have the participants open their eyes, then go around the room and have each person share what they "saw". The point of this morning's exercise is to examine the variety of possible partners and forms of participation.

2) Pass out the Collaboration in Development matrix and review all the categories. Feel free to add other sectors or program areas.

3) Participants divide into small groups. Each group completes a matrix form by giving examples of how each partner might participate in each area of collaboration.

4) Each group then looks at its matrix form and lists four to six problems or issues involved in implementing/realizing the types of participation they have identified.

5) The groups regather and put their matrix data onto a large wall matrix. If possible, give each small group a different coloured marker. Give the participants time to read through the data on the wall matrix.

COLLABORATION IN DEVELOPMENT									
SECTOR									
PARTNER	Agriculture	Business	Health	Education (adult)	Education (child)	Water & Sanitation	Training	Financial Assistance	Material Assistance
Community Groups									
Government National Regional Local									
Religious Groups									
National NGOs									
International NGOs									

7) Discussion:

- Which box was the easiest to fill? Which was the most difficult? Why?
- What do you notice about the matrix? Which ideas do you like? Which would you like to hear more about?
- What did you learn or what insights did you get from the exercise?

### C. Closing and announcements



*Push the groups to put at least one item in each of the matrix boxes. Feel free to adapt the matrix to match the specific context of the participants.*

## Session 22 – Working with Others: Issues and Strategies

### Day Twelve



By the end of the session the participants will be able to:

- list the major obstacles/blocks to working effectively with different agencies and funders
- identify strategies for creating more effective partnerships and collaboration



- Matrix brainstorm work from the morning

### A. Opening



Review the morning's work. Does anyone have anything they would like to add to the big wall matrix?

### B. Matrix group work



1) Divide the participants into five groups, one for each of the partners listed on the matrix. Give each group the data for their partner from the wall matrix (actually cutting the wall matrix into five long strips may be the easiest way to do this.)

Each group then:

- a) lists the main problems for working effectively with this partner, and then
- b) identifies strategies for eliminating these problems so as to ensure closer collaboration. The problems and strategies should be listed on newsprint.

2) The groups then regather and report their ideas.

3) Final discussion:

- Which strategies do you like best?
- Which strategies don't you think will work, and why not?
- What has been the most interesting part of today's work for you?



*Be sure to type up the small group work from this session, so that all the participants can benefit from each of the groups' work. You may also want to subdivide the government group into three: national, regional and local.*

### C. Daily oral evaluation



- 1) What do you remember us doing today?
- 2) What was fun or interesting? What was new for you?
- 3) What do you wish we had discussed? Done differently? Spent more time on? Repeat or redo tomorrow?
- 4) What one particular thing will you remember about today in the future? Or what one thing did you learn today that will help your future work? Each person writes this last answer down and a few are asked to share orally. These are not collected.

### D. Closing and announcements



## Session 23 – Partnerships

### Day Thirteen



By the end of the session the participants will be able to:

- explain the philosophy and approaches of different development agencies and funders
- indicate how to work more effectively with these agencies



- Table for panel members

### A. Opening



Introduce the members of the panel. Each person will discuss first the types of assistance they provide to communities (either financial, material or training) and then the issues they encounter when working with communities or local organizations.

## B. Questions



Questions from the participants and open discussion.

## C. Closing and announcements



*The panel members should come from a spectrum of agencies and development approaches (grassroots to USAID type). There should also be representatives of different government extension services.*

## Session 24 – Participant Action Plans and Timelines

Days Thirteen, Fourteen & Fifteen



By the end of the session the participants will be able to:

- develop an action plan



- Markers, tape, flip chart paper
- Implementation plan and timeline hand-outs (copy from Appendix O)

## A. Opening



Explain to the participants that they will now have an extended period of time to put into practice the skills they have been learning. An action plan is a detailed plan that lists over time all the tasks that need to be done to accomplish something. The greater the detail, the higher the chances that the goal and objectives will be accomplished. With the action planning process, potential problems and lack of resources are identified up front so that strategies can be built into the plan for resolving them. The participants should be divided into small groups from the same organization, community or department; people who share a common context and need to develop an action plan.

## B. Action plan steps



- 1) Each group chooses a goal, something they want to accomplish.
- 2) Objectives are then written to accomplish the goal.
- 3) Look carefully at each objective and brainstorm all the constraints or blocks to accomplishing the objective. If the objective is what they want to do, then the constraints are the things that will stop them from being successful; the rocks in the middle of the road.
- 4) Next brainstorm the major activities necessary to eliminate the constraints and accomplish the objectives.
- 5) Group interrelated activities and list them all in chronological order.
- 6) Brainstorm all the necessary implementing steps for each activity.
- 7) Complete the implementation plan, listing each activity with its implementing steps.
- 8) Create a timeline chart that lists all the activities and implementing steps over time, using the "when" data from the implementation plan.
- 9) Analyze the timeline for overlapping or conflicting activities and uses of resources, both human and material, and adjust as necessary.

## C. Reporting and discussion



- 1) Have the groups report on their plans. Other participants should feel free to ask questions and offer advice.
- 2) Final discussion

- a) Which activities will be the easiest to accomplish?
- b) Which activities will be the most difficult to accomplish?
- c) What has been the most helpful thing you learned from this exercise?

#### D. Closing and announcements



*This session should be done only if there are homogeneous groups who have specific needs they wish to plan for. It can perhaps be done as a practice simulation, but be careful that the participants feel they are doing something useful, not just filling time. The steps for this exercise are basically the same as for Session 17 on Day 9, however, the participants have a much longer working time, up to a day and a half, to develop the plan. This time can be decreased depending upon the needs of the program. Since these should be real plans, not just an exercise, the trainer should carefully monitor the quality of the work, especially the objectives and the constraints to the objectives. The more thorough the activities and implementation brainstorming are, the more complete and useful the implementation plan will be.*

#### Appendix A: My skill as a listener – a short quiz

Listed below are 15 statements that relate to one's ability to listen to others. Rate each item by placing a dot in the appropriate box. Try to be as candid as you can in making your rating.

When you have rated all the items, take a straight edge and connect all the dots. This will give you a profile of your capabilities as a listener. Obviously the more your profile leans to the right, the more capable a listener you are.

	Never	Seldom	Occasionally	Frequently	Always
1) Do I listen for feelings, attitudes, perceptions and values as well as for facts?					
2) Do I try to listen for what is <u>not</u> said?					
3) Do I avoid interrupting the person who is speaking to me?					
4) Do I actually pay attention to who is speaking as opposed to "faking" attention?					
5) Do I refrain from "tuning people out" because I don't like them, disagree with them, find them dull, etc?					
6) Do I work hard to avoid being distracted from what is said by the speaker's style, mannerisms, clothing, voice quality, voice pace, etc?					
7) Do I make certain that a person's status has no bearing on how well I listen to him/her?					
8) Do I avoid letting my expectations – hearing					

what I want to hear – determine or influence my listening behaviour?					
9) Do I try to read the "non-verbals" the speaker presents – inflections, gestures, mood, posture, eye contact, facial expressions etc?					
10) Do I work hard at overcoming outside distractions (sounds, noises, movement, outside scenes, etc) that may interfere with good listening?					
11) Do I tend to "stay with" speakers who may be hard to follow – those who are slow in their speech, whose ideas are poorly organized or who tend to repeat themselves, etc?					
12) As a listener do I use non-verbal communication (eye contact, smiles, occasional head nods, etc) to indicate that I wish to hear more?					
13) Do I tend to restate or rephrase the other person's statements when necessary so that he/she will know that I understood?					
14) If I have not understood, do I candidly admit to this and ask for a restatement?					
15) Do I avoid framing my response to what is being said while the other person is still speaking?					

## Appendix B: Building unity across age, race, tribe and sex

The aim of the following [exercise] is to help people become aware of the obstacles that exist for people of different backgrounds, especially when we try to work together in mixed groups.

### Procedure [...]

a) The participants are first put into very mixed groups to accomplish a given task. The mixed groups should be of 5 or 6 people, mixing up as thoroughly as possible the different types of people participating.

The task should be something practical and relevant to as many of them as possible (e.g. 'Plan a program to involve people of all ages in the community in a Health Care Program', or 'Plan a program to involve all the parishioners in a meaningful way in parish activities during the next six months.')

b) Each mixed group should write their proposal on newsprint and explain it briefly to the whole group.

c) Redivide the participants into homogeneous groupings, e.g. all women, youth, teachers, catechists, priests, sisters, etc. together.

d) Ask each group to discuss what difficulties they found:

1) in communicating in the previous task with people of different backgrounds (age, sex, occupation, tribe, nationality, educational background, etc.).

2) in communicating at home with people of different backgrounds. (Write on newsprint.)

e) At this point it might be wise to spend a few minutes brainstorming points which should be remembered in giving and receiving feedback.

f) In the whole group, each homogeneous group shares what difficulties they experienced and what helped them to overcome these difficulties in the mixed group. The animator's role here is to help the different groups to hear each other without getting defensive.

### **Time**

About 2 to 3 hours. It can be used for half a day or even a full day depending on how deeply you want to go into each task.

### **Materials**

Newsprint and felt pens for each group.

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Hope, A. and Timmel, S. ***Training for Transformation, Book 2*** 1992. Mambo Press, Gweru, Zimbabwe.

## **Appendix C: Participatory development: What it is and what it can and cannot do**

This paper is a synthesis by Anne Dodge of several chapters of two seminar and research reports by Sheldon Shaeffer:

*Collaborating for educational change in non-formal basic education. Report of the IIEP/DSE Seminar and Workshop, International Institute for Educational Planning, Paris, 1992*, pp. 7–23

*Collaborating for educational change: the role of teachers, parents and the community in school improvement. International Institute for Educational Planning, Paris, pp. 7–29*

### **1. Introduction**

In the last 20 and more years, a very different approach to development – often called 'people-centred' or participatory development – has appeared on the scene. This approach begins with the assumption that "sustainable development ultimately depends on enhancing people's capacities as individuals and groups to improve their own lives and to take greater control over their own destinies" (Ogun 1982:2). While this assumption may seem self-evident, a participatory approach to development represents a considerable change in the process of governance, in social and political relationships, and in who participates in, controls, and is empowered by the development process.

Unfortunately, much of what has been written and said about participatory development is more rhetorical than realistic, and so-called 'empowerment of the people' is neither easily achieved nor sustained in the face of political and social oppression or the demands of everyday survival. But despite the vagueness of the rhetoric and the frequent difficulties in implementation, participatory development has become a process of considerable importance in the world. Administrative decentralization, sometimes accompanied by the genuine devolution of political and budgetary authority, is the trend in many countries. Provinces, municipalities, local governments, and the 'civil society' as a whole are gaining further responsibility for social services and local development – a responsibility often thrust upon them by increasingly impoverished and impotent State mechanisms.

Accompanying, and often leading, this process is a growing number of ever more powerful non-governmental organizations and community associations able both to mobilize populations toward collective expressions of economic power and political will and to influence the assessment of local needs and the design, implementation, and evaluation of local development activities. In many nations these organizations are becoming 'partners in development' with government agencies, are provided government funding for their work, and are developing often powerful networks of like-minded groups. The result of these processes of administrative decentralization and popular mobilization can be the greater participation of people long disadvantaged by class, gender, race, and ethnicity in the institutions, activities, and development processes which affect their lives.

Such 'people-centred' development is not as new as it often appears. The interest in the 1960s in community development, supported by (mostly rural) non-formal education, was linked at least in part to an attempt to make development programmes more relevant and responsive to grassroots concerns. This approach, however, was not necessarily participatory in method and was challenged in many ways by the conscientization of Freire who urged that the poor, the usual **objects** of development, become critically aware of the reality in which they lived (conscientized) and take control of their own lives. Such a process places particular emphasis on group discussion, self-reflection, and critical thought (Bernard Van Leer Foundation 1990).

The long tradition of *education popular* in Latin America, designed to promote a more participatory and democratic society, also encourages dialogue and group learning, values both individual experience and collective views, attempts to break the culture of silence characteristic of marginal and oppressed groups, and is oriented to issues of politics and class and to the transformation of society (Bernard Van Leer Foundation 1990, Burning 1989). The liberation promised by Nyerere was less focused on class and promoted indigenous African (as opposed to imported colonial) ways of thinking and acting. In Castro's Cuba and Mao's China, these ideas, though distorted in many important ways, were carried to greater extremes of social transformation, to be achieved (rhetorically at least) through popular participation. Hints of such thinking and traces of such language appeared in the landmark Alma Ata Conference on primary health care, and the early 1980s saw the more frequent use of terms such as empowerment, popular participation, and local ownership of the development process in documents of governments and donor agencies as well as NGOs.

## 2. Definitions and characteristics of participation

Such terms, however, have often remained vague and undefined. Only recently has there been greater clarity in outlining the essential characteristics and implications, as well as the potential benefits and risks, of participatory development. An extensive discussion in development literature concerning participation – of whom, in what, for what purpose, and to what degree – has helped greatly in this regard (see, for example, Myers 1992, Brownlea 1987, Madan 1987).

As a result, several different degrees of participation in development can be described. These include participation as: (1) the mere **use** of a service (such as a primary health care facility); (2) involvement through the contribution (or extraction) of resources, materials, and labour; (3) involvement through 'attendance' (e.g. at parents' meetings at school), often implying passive acceptance of decisions made by others; (4) involvement through consultation on a particular issue; (5) involvement in the delivery of a service, often as a partner with other actors; (6) involvement as implementors of delegated powers; and (7) most completely, participation "in real decision-making at every stage – identification of problems, the study of feasibility, planning, implementation, and evaluation" (UNICEF 1986:1).

This last definition is now generally considered as being that which underlies genuinely participatory development. Thus, people participate to the extent that they "choose, cognitively, affectively, and physically, to engage in establishing, implementing and evaluating both the overall direction of a programme and its operational details. Choice, in this context, implies not merely an agreement to follow but an active decision to assume responsibility in considering the rationale, implications and potential outcomes of the programme" (Bernard 1990:7). Such a definition requires extensive involvement in the various stages of development activities: diagnosing and defining problems; articulating priorities and setting goals; collecting and analyzing information and assessing available resources; deciding on and planning programmes; designing implementation strategies and apportioning responsibilities among participants; managing programmes; monitoring progress; evaluating results and impact; and redefining problems generated for further action (Hollnsteiner 1982, NFE Exchange 1981, UNICEF 1986, Durning 1989).

This definition of participation has several important implications. It means that people **gain knowledge and awareness** of their own social, economic, and political conditions (Bhasin 1979). It requires people to **take action** – to make and act on choices and to construct "their own futures through a process of analysis and action" (Myers in press: 310). And above all, it means that people **gain control and power** over resources, over the goals and processes of development, and over regulatory institutions (Hollnsteiner 1982). "If it is accepted that participation should start at the stage of conception and still be in evidence at the stage of supervision, then it is necessary to agree to share certain elements of power" (Bugnicourt 1982:74–5).

This is where the concept of empowerment has become especially important in attempts to move the concept of participatory development from rhetoric to concrete practice. In the process, unfortunately, empowerment has become a much-abused word, adopted in many societies by both the political right (who see it as privatization) and the left (who see it as radical social transformation). It is perhaps best defined as "a group

process where people who lack an equal share of valued resources gain greater access to, and control over, those resources" (Bernard Van Leer Foundation 1990:2). As a result, "poor communities come more explicitly to assert rights and responsibilities in determining the direction of their own development" (Bernard 1990:7). This power must be real, formal and legitimate, including both the ability to use formal structures, regulations and rules, and control over decision processes, knowledge, and techniques. People who are empowered "have the power to find direct solutions to their problems – they propose solutions, they do not beg for them" (Bernard Van Leer Foundation 1990:5).

Another implication of this definition is that there cannot be a standard recipe for achieving participatory development; what makes it 'work' varies tremendously across different economic, political and cultural contexts. It is certainly facilitated by the organization of groups able to provide mutual support to participants and to gather what are often isolated, individual needs into collective demands. And it arises from several processes: through the mobilization of popular or political will by existing structures (such as political parties), through animators or animating organizations, through the process of the "gradual empowerment of local groups or communities which have organized themselves to defend collectively their livelihood and promote their interests" (Stiefel and Racelis 1990:2), and through the conscious decentralization of government mechanisms or the creation of local institutions of self-government.

The issue of decentralization is particularly crucial in any attempt to encourage governments to facilitate the participation of a broader range of actors in development. Decentralization is a process of growing importance due to what are seen as several key limitations of centralized systems: their limited reach of **effective** service, their inability to promote sustained local-level action, their limited adaptability to local circumstances, and the creation of dependency through their activities rather than self-sufficiency (F. Korten 1981). Because of such limitations, many systems in both the North and the South are going through a process of decentralization, either by territory (to smaller units) or by function (to NGOs, private groups, etc.). This strategy is meant to achieve various results: (1) to generate more resources and assure their more equitable allocation and effective use within the decentralized administrative units; (2) to improve the quality of decision-making and planning by relating these processes more closely to indigenous cultures and to local conditions, needs, and practices; (3) to encourage innovation and participation; (4) to increase local responsibility and accountability; and (5) to stimulate communication down and (especially) up the system of control. It is ultimately seen to be a "means to ensure wider representation of legitimate interests in education" (Weiler n.d.:4) and to make these interests more responsible for educational quantity and quality.

In theory, decentralization should lead to the redistribution of power. It has been argued, however, that the process is often more rhetorical than real and, as 'compensatory legitimation', is designed to manage and diffuse conflict and fragment reform movements rather than bring about real change (Weiler n.d.). The important questions in this regard are: (1) **what powers are being decentralized** (e.g. only data collection and not policy-making, only resource extraction and not expenditure) and (2) **why such decentralization is occurring** (e.g. for the reasons listed above or because an impoverished State can no longer finance its services).

The answers to these questions will determine to some extent which of the various and quite different forms and strategies of decentralization – each with its own particular implications for participation and empowerment – are adopted (Rondinelli *et al* 1990, Hallak 1990, Bray 1987). **Deconcentration** involves handing over authority and decision-making powers from a higher level of the central government to lower levels – regional, district, cluster – a first step to local autonomy, but still accountable to, and staffed by, the central ministry. **Delegation** transfers (or lends) certain specific management responsibilities for some activities to other units, governmental or non-governmental, implying somewhat stronger (but easily recoverable) local autonomy. **Privatization** is the divesting of functions to the private sector, either voluntary or for profit. **Devolution** strengthens sub-national units of government and actually transfers decision-making powers to local bodies. It is in the actual devolution of power to local lower-level bodies of government (and even to community associations and NGOs) that the greatest scope for participatory development can be found.

### 3. Advantages and disadvantages of participation

It is important to make clear that participation – and any accompanying devolution of authority and 'empowerment of the masses' – should not be seen as a new panacea for underdevelopment. It is a difficult, frustrating process, sometimes risky and often unsustainable. But in the best of circumstances, it brings two kinds of benefits to individuals, communities, and society at large. Most directly, greater participation in a particular sector of development (education, health, agriculture) can lead both to a greater demand for the services of that sector and to services more relevant to community needs. More generally, participation can

also lead to changes in knowledge, attitudes, skills and the distribution of power across individuals and communities, which can enhance people's capacities to improve their own lives and 'empower' them to take greater control of their own development. Such results can in turn lead to development activities which are more immediately useful and successful and, in the longer term, more sustainable (Bernard Van Leer Foundation 1990, D. Korten 1987, Hamadache 1990, Myers in press, UNICEF 1978, UNICEF 1986, Zainal Ghani 1990).

A great part of the impact of participation and empowerment lies at the level of the **individual** and in the context of 'human resource development'. Some of the impact is cognitive. Through greater involvement in a variety of development activities, people can gain more knowledge, learn better practice and end with a greater awareness of the problems that exist, the causes behind these problems (which may or may not be amenable to local control), and, in some cases, their possible solutions.

Some of the impact is also psychological: greater self-confidence and self-reliance, less dependence on external inputs and 'wisdom', greater pride in the significance and validity of personal and collective knowledge and experience, a greater sense of accountability and responsibility, less of a feeling of marginalization and powerlessness. The combination of such impacts can lead to greater demand; people gain a better idea of the kind of life they want to lead, a greater understanding of what prevents them from achieving such a life, greater knowledge about what services (and of what quality) should be available to assist them, and more willingness to make their needs known and, when necessary, to play a larger role in fulfilling these needs themselves.

Much of the same kind of impact occurs at the **community** level as well. Communities can feel and become less marginal and powerless, more self-reliant and independent, more accountable and responsible. Empowered communities can: (1) gain greater control over information and local technologies; (2) form alliances and networks within their own area or across to others; (3) work toward the more efficient and effective management of local resources and, in the longer term, greater ecological sustainability; and (4) develop organizations, structures, regulations, procedures – a 'corporate identity' – which can serve them well, both in the whole range of community development activities and as the basis for negotiating, from greater strength, with outside institutions and bureaucracies. The result can be greater social cohesion, economic development, cultural unity, and the assurance that local services – such as education – meet the needs, reflect the traditions and share the goals of the community.

In the best of circumstances, such achievements at the community level redound to the benefit of the **society at large**. Greater participation within a society can lower development costs (through more volunteer labour and the use of more local expertise and resources), make development programmes more cost-effective, and ensure greater equity of the benefits of development within and across communities. It can also increase the impact and sustainability of development programmes by encouraging more of a "hand-crafted approach to development" (UNICEF 1986). With such an approach, the utilization rates, continuity, and maintenance of development programmes can be improved (UNICEF 1982). Without such participation, the opposite may occur; thus, for example, "if the educational planners fail to consult the teachers before introducing reforms, they cannot but expect half-hearted support on the part of those concerned with their implementation" (Bude 1985:258).

But both sceptics and advocates of participatory development recognize that it is a process fraught with difficulties, disappointments, and unkept promises (Brownlea 1987, Bude 1985, Bude 1989, Dove 1980, Hollnsteiner 1982, Madan 1987, NFE Exchange 1981, UNICEF 1978, UNICEF 1986, Zainal Ghani 1990). "For some [participants]... the benefit of the participatory process is suspect; the participation involves people who have less skills or knowledge than those responsible for making decisions, are less accountable for whatever the outcome might be, or have a more self-interested level of involvement or concern than perhaps might be expected of the ultimate decision-makers. In these situations and for these people, participation is burdensome, an unwarranted cost, and does little to improve the quality of the eventual decision" (Brownlea 1987:605).

Several issues are important in this regard. First, many communities, it is argued – perhaps especially those most disadvantaged – are not at all homogeneous in nature. Social stratification, divisions along caste and ethnic lines, personal rivalries and social factionalism, the incompatibility of interests are all factors which make it very difficult to talk of 'community' mobilization through participation. A community seen as 'natural' in some ways (such as a caste) may not necessarily be the community most appropriate to mobilize towards a particular outcome (such as sanitation), and a community defined by geography, perhaps most appropriate for improving sanitation, may be too riven with social discord to permit mobilization. In such a context, participation may bring unresolved and unresolvable conflicts out into the open, exacerbating rivalries of class,

caste and ethnicity by making explicit potential differences in goals and tactics, rather than keeping them constrained and hidden through the operation of traditional roles and responsibilities.

Second, sceptics argue that marginal communities (and many governments) cannot bear the added expense of participatory processes – often in terms of financial resources and at least in terms of the time and energy of participating community organizations, government agencies and individuals. These processes can also raise expectations and then frustrations, lead to greater political and social instability, and mislead marginal populations, who have little margin for risk, into taking risks and then failing, with possible disastrous effects. Others argue as well that the lack of a participatory grass–roots tradition in many societies (often accompanied by a sense of fatalism about their future and scepticism about their efficacy) and a lack of technical expertise, supervisory skills and animators lead inevitably to failed projects or a decline in the quality of services provided and therefore lead back to extensive cooperation with external, professional agents.

Third, the participatory process may place greater power in the hands of the 'wrong' people –factionalists, demagogues, racists, reactionaries. It can also be taken over by those parts of any community – i.e. often corrupt and inefficient local elites and party cadres – most able (financially and personally) to 'participate'; these groups may use their increased authority to manipulate the 'participants' and extract further resources from them. Any attempt to encourage community involvement in development may therefore lead instead to the encouragement of people who speak only for given segments of the population. It is they, rather than the 'poorest of the poor', who benefit. The result may be an unequal distribution of participation itself and of its benefits – either of the direct benefits meant to be derived from the new service or of the more generalized benefits of involvement in the development process.

Fourth, a further negative outcome of participatory processes may be the domination, at the local level, of narrow community self–interest, which may be based on short–term perspectives and aim at short–sighted benefits. Such self–interest may ignore longer–term political or economic implications for the community or the larger society and contradict more general goals of national integration, the dissemination of scientific truth and the modernization of society. Also, 'popular' traditions and customs in areas such as health, nutrition, productivity or social justice may, in fact, represent "developmentally inadequate practices and behaviour" (Rondinelli 1983:139) which should not be reinforced in development programmes or reflected in local social services (Schwille et al 1986).

Fifth, another problem lies in the risk of tokenism – only marginal change, wrapped in new packaging, leading not to an alternative model of development but rather to the reinforcement of central power and the reproduction of central values. Participation, in other words, may end up being 'system–maintaining', "designed to transform disadvantaged and disaffected groups into 'responsive citizens' implementing policies outlined by some higher authority", rather than 'system–transforming', designed to "effectively transfer political and economic power to hitherto disadvantaged groups and thus to introduce more radical social change" (Pearse and Stiefel 1980:65). Attention paid and energy wasted by the general population on such token achievements are then lost to attempts to change more fundamentally the basic political and administrative patterns of a society. The process of change therefore becomes de–politicized. Likewise, the very public efforts to wrap the new package in an attractive cover can make it possible for a government to opt out of its responsibilities for delivering basic social services and for the better management, or more equitable allocation, of resources. This may end up with the government co–opting NGOs and other community–based associations into State mechanisms and bureaucratic processes.

Sixth, the demands of participation can threaten the political order of things. In simple terms, for example, "how many of the ruling elite would be comfortable with a critically conscious peasantry, and how many teachers with a body of educands who are developing critical consciousness?" (Dent Ocaya–Ladiki, quoted in Bude 1985:275). The result may be suspicion and fear among the elite and repression of the population.

Seventh is the sheer inability to know, and to show to others, when a participatory process has succeeded. Participation is a process and its products are, as described above, often psychological, procedural or organizational in nature, rather than concrete in terms of money saved or services delivered. "As a process, participation evolves at its proper pace and rhythm, adapted to the people involved rather than to bureaucratically or politically defined projects or goals. It may go in unforeseen directions and may not in the short term have an immediately quantifiable or measurable impact" (Stiefel and Racelis 1990:3). The lack of process indicators and measures means that success is easy to claim but difficult to substantiate.

A final problem relates to the inability to standardize or generalize the implementation of participatory development, due to the different configurations of participation in various regions of the world and even in different parts of a country. There are many reasons for such variety: different histories of development,

different social relationships and cultural traditions related to participation, and different political constraints or freedoms. Attempts to develop manuals, guidelines and training materials related to participatory approaches must therefore be tempered by their extensive adaptation to local conditions.

Despite these problems, however, participatory approaches to development have proven instrumental, in particular contexts and under particular conditions, in expanding the supply and increasing the relevance of basic social services and in enhancing people's capacities as individuals and as groups to improve their own lives and to take greater control over their own development. This occurs most readily, of course, under two conditions: (1) that the users of this approach recognize, and move to control, the possible negative aspects of participation described above, and (2) that the dominant actor in development – the government – is committed, at all levels, to working more collaboratively with, and encouraging the greater participation of, other partners in development. In order to encourage more active partnerships in educational development at the school and community level and the greater participation by educational personnel and the community in educational matters, it is necessary for governments and the donor agencies which support them to affirm such a commitment and then move to develop the organizational norms, the skills and attitudes, and the structures and procedures required to implement more participatory development.

#### **4. Implementing participatory non-formal basic education programmes: issues and recommendations**

Many different causes for any given development problem (e.g. continued high fertility rates or low enrolment in education) might be identified, but each proposed cause may lead to a very different type of solution. For example, if the cause is said to be internal, technical inefficiency in delivering the needed service, the solution may be to provide more training of personnel (e.g. in population education or teacher training) and to improve the efficiency of the system's infrastructure. If the cause is seen as the service delivery system not fitting in with the socio-cultural and economic context of the target group (e.g. a family planning message inappropriate to local cultural beliefs), a better analysis of the context and a more appropriate design of the service are felt to be required. If the cause is seen as lying in the oppression and inequities inherent in the dominant ideological, cultural, and economic system, then the solution requires both the consciousness-raising and mobilisation of the ultimate 'target group' and a transfer of at least some power and control over the system and the service to them.

It is this last 'cause' which appears the most appropriate for participatory and collaborative approaches as a way of helping to educate and mobilise previously unmobilised populations, to raise their awareness of the problems surrounding them and of their own potential to resolve them, and even to increase the effectiveness of the many self-help programmes begun among, but often not sustained by, such populations. The problem, of course, lies in how to convince decision-makers and planners of the need for such approaches; how to strengthen the norms, establish the structures, and implement the technical procedures to make possible these approaches; and how to train the persons concerned (at various levels of the system) in the knowledge, skills and attitudes needed to put them into place.

##### **4a. Participants in the process**

In order to develop and implement projects that will promote participation and collaboration in non-formal basic education and development programmes, it is necessary to analyse the nature of the major actors, with their strengths and weaknesses.

1) *Adult educators* themselves, with special skills in training and mobilisation, are often able to play an important role in development, both in and outside the classroom. Too often, however, these educators are relegated to minor and narrowly defined roles in development.

2) *Universities* can also play a larger development role through the professional assistance of their personnel and through the work of centres for continuing education, study service schemes and development outreach projects. However, university staff may often work more comfortably at rather theoretical levels of analysis, may have problems communicating with marginal communities and may not be familiar with methods of educating and mobilising adults.

3) The *private sector* can be useful in encouraging adult education programmes, particularly to the extent that they are seen as helping to increase the productivity of its enterprises. However, it may want results in a rather short time period and may judge success in numbers of clients reached rather than in learning achieved.

4) *Local government*, including political and traditional leaders (chiefs), can also be of considerable importance, especially as catalysts between development agencies and villagers. Such leaders, however, must sometimes be convinced of the value of activities that might loosen their traditional and often exclusive hold on local communities.

5) *Donor agencies*, in their relationships with both governments and NGOs, are often essential participants in development and not merely as sources of funds. More and more are putting participation and/or the involvement of NGOs as a condition for funding. But their frequent 'guarding of territory', their rigid conditions for funding and their desire for quick results and for quantitative measures of impact can create difficulties for more process-oriented approaches, while their overall power can lead to dependency and to the subtle (or not too subtle) 'fashioning' of the needs of recipients.

6) *NGOs* are often absolutely necessary to fill gaps left by government in the provision of services, to serve as 'catalysts' or 'bridging organisations' able to bring people and government together and encourage co-ordination of resources and efforts, and to experiment freely with innovative approaches to development. But they, too, frequently suffer from rivalries and jealously guarded territory, and from limited outreach, overestimated potential and problems of accountability.

7) *Government* is recognized on the one hand as often possessing the human and material resources, the infrastructure and the legal basis to create an 'enabling' environment in which many actors in education and development can participate. On the other hand, it is frequently criticised for being over-extended and traditional in approach; rigidly divided by sectors and dominated by hierarchical decision-making; disinterested in adult education; suffering from the high turnover and lack of job security of its personnel (especially at the extension level); politicised, corrupt and dominated by patronage; and often acting as enlightened 'teachers' to the 'barbarians' of the hinterlands.

8) *Extension agents* (including teachers and administrators in both formal and non-formal education programmes) are particularly crucial actors in development, but also as agents face a special dilemma: Are they merely part of an 'extended elite', representing the top of the bureaucracy to the bottom? Are they go-betweens and mediators between top and bottom? Or are they champions of the communities and populations in which they work? In other words, do they consider themselves primarily accountable to the bureaucracy above them or to the community below? Should they be trained principally as experts in a particular sector, thereby perhaps becoming 'hard-boiled professionals' with little interest in interacting across to other sectors or down to the community? Or should they be trained in the co-ordination and animation of various sectors, thereby perhaps never gaining expertise in a particular field?

#### **4b. Stages and levels (where and when) greater collaboration can occur**

While responsible participation is necessary at *all* stages and levels, in developing participatory processes there is the need for a gradual, guided, step-by-step process; it does not just 'happen' but must be carefully planned and, to the extent possible, governed by technical guidelines which present alternative approaches to participation and suggest ways in which such approaches can be implemented. Those areas most conducive to participation and collaboration include:

1) *Contribution and management of resources at the macro-level, the level of the extension agent, and the community level.* For example, the sharing of resources from private enterprise (health centre staff, facilities), government (supervisory staff and a general policy framework), a donor (money) and a local NGO co-operating with a North American research and training centre (technical assistance, training, equipment, supplies).

2) *Needs assessment with various agencies working together to assess local needs, often with the active collaboration of the community itself.* For example, pre-school trainers and teachers making regular visits to homes in their districts to assess the educational needs and concerns of families, or active dialogue between private enterprises and the communities in which they are established in order to decide what kinds of health or adult education programs are most needed.

3) *Programme design and implementation.* At the macro-level, especially early in these programmes, but also periodically throughout their lives, important joint activities to design and decide on major issues of implementation. This process is usually aided by a strong multi-sectoral body such as a (technical) advisory committee or steering committee. At the extension agent level, pre-school trainers and tutors could work with each other, and with the

community, in developing training and teaching materials.

4) *Monitoring and evaluating both programmes and their agents.* For example, teacher trainees and their tutors involved in action research on various issues and particularly on the evaluations of newly developed curricula.

#### **4c. Factors and conditions that facilitate participation and collaboration**

1) *Organisational norms.* In order to change, institutions must *want* to change. Clearly many innovations have succeeded because individual ministries or units within ministries, as well as NGOs, wanted to create a better system of delivering a social service and were willing to work collaboratively to achieve it. Such norms are reflected in several areas:

(a) The need for *building upon traditional participatory processes* such as 'harambee' in Kenya is crucial. Although now often used merely to extract further resources from rich and poor alike, harambee was originally (and is still occasionally) a method of genuine collaboration and therefore can be useful, to some extent, in facilitating partnerships.

(b) Another key is the *willingness of central government agencies to surrender some control to lower levels of the system and to feel somehow accountable to both local and national levels of the system* – and to actually do this rather than merely preach it. The role of government in a more open system is not to control all aspects of development, but rather to facilitate and enable others to exercise some authority.

(c) This relates to another important norm – *of teamwork and multi-sectoralism*. It must be understood that people from quite different traditions can exchange perspectives, share experiences, and learn from each other. The idea of joint activities, at all stages of the development process, is crucial.

(d) Behind most successfully participatory programs is a *high-level commitment to change*. It is important that the Ministry in which a programme sits is a strong supporter of its participatory approach.

(e) An additional norm of great importance in some countries is a *willingness to trust and support NGO activities* and even to grant them further autonomy and influence (i.e. to 'empower' them).

(f) A final norm is *the need for the system to accept that the community has something useful to say* in regard to education and development issues. In a health example, the community can contribute to knowledge about health, about ways to transmit appropriate information about good health behaviour, about the relevance of family planning messages, and about the knowledge of village people in regard to economic development, the current and potential role of women, etc. Getting this fact accepted often requires the sensitisation and training of government staff in the ability to work with, and permit some autonomy to, community groups.

2) *Resources.* Additional resources are needed for these innovations to work – but *not* massive investments in facilities, materials, or training. Seed money, the pooling of resources and the sharing of costs among staff of various sectors, and training in limited but important skills, such as record maintenance at family planning clinics, are the resources most often needed to make these activities work. Also of importance is the presence in many programmes of staff members able to devote themselves full-time (and over the long-term) to the design and implementation of the reform.

3) *Structures and procedures*

(a) *The need for commonly understood objectives and strategies, a 'shared vision' of the programme, and clear, systematic, consistent guidelines concerning participation and collaboration are important for the successful implementation of participatory programmes.* Formal rules and regulations may not always be necessary, especially at the village level, but the procedures and mechanisms must be explicitly and generally understood by each partner, at each level. They may include – for each partner – clearly defined (and even written) descriptions of roles, tasks, responsibilities, and functions; rights and limitations; and procedures for accountability. They may also sometimes include quite explicit agreements

and contracts, and commonly accepted formats for proposals, accounting, and reporting.

(b) To achieve such a state of common understanding requires, in turn, *open dialogue, frank feedback and clear channels of communication among the participants*. This can be aided by two mechanisms. The first is some kind of high-level forum (a technical advisory committee, a joint commission) where all the partners can meet to exchange opinions and move towards a clear understanding of the programme and their roles within it. The second is consistent and continuous *joint activities* – from planning and the development of a budget and work programme, through operations and the distribution of funds, to staff training, and joint monitoring and evaluation. This will more likely lead to joint 'ownership' of the activity and thus to greater chances of success and sustainability.

(c) *Decentralisation and local authority to adapt* are essential to successful collaboration. Mechanisms must be developed not only to share power across sectors, but also to devolve power down the system and out to other partners at lower levels. Successful projects in general work because they are developed in a context of relatively decentralised structures and procedures which allow them a freedom of action not otherwise or previously found in their systems.

(d) The innovations are able to work as they do because of *structures and procedures established to encourage participation by various actors at many different stages in the development process*. This includes health workers and private enterprises, community leaders and local artists, local district development officials, NGOs and others. The ultimate aim of a project should be to involve the community itself more directly in development activities.

(e) A final factor of importance is *the focus on process*. Most innovative projects are concerned, at least in their formative stages, with the development of various kinds of participatory processes, rather than the achievement of specific targets or prescriptions of success. This means, for example, that programme development is seen as a continuous activity, experiential in nature, with considerable emphasis on monitoring and formative evaluation. It also means that a premium is placed on the development of a small, flexible animating agency for the programmes, able to work with both formal structures of the bureaucracy and more informal, structures at the community level.

Finally, other structures and procedures that are important include:

- the use of already-existing community-level structures and local associations: community-run pre-schools, health units, development committees or literacy groups;
- inter-sectoral steering committees and co-ordination of field services at the district level;
- the greater use of traditional media, popular theatre, and local artists in development programmes;
- attempts to develop more integrated, longer-term development programmes, rather than working exclusively in a project mode;
- at the macro-level, the solution of problems of job security and pay equity (e.g. between NGO and government agents working in the same sector); and
- the official recognition of participatory activities, leading to higher status, increased confidence, and perhaps greater upward mobility among all participants.

4) *Knowledge, skills, and attitudes*. Those working with participatory programmes must have a particular competence in order to innovate – knowledge of what to do, skills to do it, and a willingness to experiment, fail and try again. They must know how to work with community groups, how to gain the support of political and administrative figures, and how to work in flexible, collegial and supportive ways – to adopt a 'mindset' more democratic and less hierarchical in nature. They must learn to accept new ideas, use knowledge of good practice that already exists (instead of trying to impose knowledge from above), and seek the help of the community in the assessment of needs and the design of alternative solutions.

Of particular importance in successful participatory programmes is the role of the 'extension agent', broadly defined to include the pre-school teacher and trainer as well as the health educator and the family planning clinic worker. As discussed earlier, the work of such agents is critical to the success of development programmes, but it is also very complicated; they need to share loyalties to officials above and clients below, to divide their sense of responsibility and accountability in many directions, and to decide who they represent to whom. Several skills and values are clearly important in this regard. These include: (a) the need to be specialised in one discipline (health, literacy) in order to have credibility with the community being served, while at the same time being skilled in liaising with specialists in other areas; (b) the ability to serve as an animator and motivator of local participation; (c) the ability to serve also as a multiplier, and thus to be able to synthesise lessons learned and to manage collaboration and interaction within and across groups; (d) skills and knowledge related to adult learning processes; and (e) a propensity to practical action and an ability to understand the organisation and the dynamics of the communities in which they work.

Government staff at other levels must share many of these characteristics. At the district level, for example, where many development ministries are represented and many collaborative programmes are meant to be developed, staff must be particularly open to links across sectors so that collaboration occurs not only in regard to 'showing and telling' what each agency is doing, sharing available resources (such as transport), or co-operating on a special project basis, but also in annual programming and budgeting of development activities for the entire district. And much of such collaboration at these lower levels can only flourish if those at even higher levels have the flexibility, the co-ordinating skills, and even the humility to make collaboration work both in their policies and in their daily practice.

The tension in this area is the dilemma of which comes first: the attempt to produce more participatory and collaborative knowledge, attitudes, skills, and behaviours in the various actors, or the introduction of mechanisms, structures, and processes which might facilitate collaboration. This relates to the issue of the role of personality in participatory development. To what extent are successful collaboration among partners and successful examples of participatory development dependent on either a charismatic leader or the right mix of personalities? To what extent can the development of more collaborative structures and procedures, and of regulations to facilitate them, substitute for the lack of such a mix?

#### **4d. Problems and constraints**

Finally, it is important to look at the problems most frequently encountered when designing and implementing participatory programmes. Of particular interest are the problems which appear at the interface among the collaborating organisations, especially among government agencies, communities and the catalysing NGOs. Common constraints include the sheer distance among the actors – geographical, social, ethnic, political, and cultural; differences in perceptions, working styles, personalities, and approaches; previous negative experiences and hidden agendas; even differences in salaries (donor, government, NGO) among those meant to be working as equals. The result can be jealousy, inability or unwillingness to seek compromise or clarify respective responsibilities, taking refuge in technical approaches by government and in ideological rhetoric by NGOs, and the superficial implementation of participation at very limited levels of the system. Among the most common and important constraints to implementing participatory programmes are the following:

1) *A lack of resources, in terms of finances, personnel, labour and time.* Local councils, for example, find it difficult to pay regularly for pre-school teachers after they have been trained, and a lack of paper and printing facilities hinder the dissemination of books. On the other hand, however, the nature of some programmes, especially those in the usually under-funded ministries of social services and of community and co-operative development (as opposed to education and health), make them – often quite proudly – less dependent on large amounts of resources than the programmes of larger ministries, partly because the programmes deal less with building infrastructure and more with developing processes.

2) *The relative weakness of the 'non-traditional' partners.* A major obstacle to many new partnerships is the sheer lack of experience and skill in encouraging participation and collaboration. These processes do not happen by fiat or automatically, but rather require new managerial and supervisory skills, attitudes and behaviours among the actors in development. Extension agents (e.g. health officers, literacy teachers) able to co-ordinate their activities with other agents, private enterprise managers able to appreciate the need for community involvement in factory or plantation health schemes, district officers able to work comfortably with programme staff of non-government organisations – all of these are not easy to find or, once found, to sustain. Also, families struggling for survival, surrounded by the inherent passivity and illiteracy of many communities, do not find it easy to participate in

labour-intensive, collaborative activities.

3) *The inability or resistance of institutions and individuals to change.* The inertia of inflexible systems, bureaucracies (both at various levels of government and of private enterprise) and individuals hinders many programmes. Bureaucratic delays, lack of teamwork and co-ordinating mechanisms, absence of clear rules as to who should do what and when, poor technical support from those meant to provide it, fear of losing control to other agencies, to lower levels of the system or to outsiders – all make it difficult, at least early in the various projects, to encourage new initiatives. Particularly difficult, especially in those projects involving 'technical' ministries such as health and agriculture, is the common belief that the community can contribute little to the scientific issues with which extension agents deal.

4) *Organisational and administrative obstacles.* Logistical problems can plague a publishing programme, while late and often irregular payment of newly-trained pre-school teachers badly affects their motivation. Staff turnover creates problems; when agency staff trained in a certain approach and method leave, much time and effort are wasted. Different salary rates among 'partners' (e.g. the NGO staff member working with a government counterpart, with the former often paid more than the latter) also cause considerable difficulty.

Despite these problems there is some evidence to show that increased participation and the development of institutions at a local level (e.g. literacy classes and child-care centres) can lead to the building and strengthening of other institutions and organisations (income-generating schemes, women's organisation) and thus have a multiplying effect on community involvement in development. This may in turn lead more easily to a process of 'community learning', where there is greater integration of formal, non-formal and informal learning with other development and mobilisation activities.

But caution must be exercised about the easy assumption that communities (or community-level development workers) *want* to take over added responsibilities, especially in contexts where communities have learned to expect assistance from governments and NGOs. Thus, communities may not only lack skills for planning, implementing and evaluating their development activities, and lack a common purpose and a clear sense of priorities; they may also have very high expectations for solutions to their problems from external 'experts' and funding bodies.

## 5. Conclusion

In summary, experiments in participatory education and development programmes have shown that more active participation by a wider range of actors leads to changes both in the development process and among the partners themselves. There are more partners and more sectors involved in non-formal education and development activities, acting in a more integrated fashion. There is more community participation in non-formal basic education and development. More resources have been gathered – and not only from external donors. Government resources, as well, have been increased in some cases, and more local resources also gathered. More importantly, perhaps, more of these local resources have gone directly to local communities, rather than being expended on central programme expenses. The quantity of services provided has increased. The services provided have proven to be more relevant to local needs. Finally, there is evidence of more skilled development agents – more flexible, confident, interactive, facilitating, responsive to people's real needs and able to be trained in these behaviours through systematic training programmes which focus on practical work, participatory approaches, and community involvement.

## Appendix D1: Magrimond: Learning as community process

Magrimond is a small settlement near Kalomo in Southern Zambia. Its inhabitants are mainly retired civil servants whose links with their rural homes have been cut over the years and who were offered a piece of land by the government on their retirement. They and their families know little about agriculture and animal husbandry, about housing improvements and hygiene; they live out of meagre pensions and Magrimond was until 1989 known as a hopeless settlement in which initiatives of private organisations and ministries, of churches and clubs found little or no response. Observers always noticed that there were no toilets in Magrimond, for instance.

In 1989, a Sierra Leonean community worker was attached to two youth income generating projects in Kalomo, a bakery and a vegetable garden. He was able to make the young people concerned confident and assisted them in organising themselves and their work properly, with good results. The women in Magrimond

heard about this, contacted him and asked him for his assistance; on his advice, a women's club was founded which after local fund raising started vegetable gardening, brick making, and knitting. Within the club, women taught each other and shared their knowledge. In order to involve the whole community in self-help, a one week village workshop was organised in November 1990. Mrs Kambaje, the chairwoman of the club, explained that the workshop was run by the club for the community, with the Sierra Leonean acting as a facilitator and with the aim to learn from and with each other. She sums up the workshop experience: "We learned how to live in a village and how to work as a team. We made (during the workshop) a survey of each family and discovered that the main problem was lack of toilets and drinking water. So we encouraged each family to dig a latrine, to donate money for cement, and our club (made and) provided the bricks." And she continues: "Before, we had to fetch drinking water from town. We thought that we were too poor to draw the (drinking water) pipe here but our women (the club members) explained at the workshop that each household should donate and then we can afford it, so it happened."

The small settlement of Magrimond is today a rural community with its own market and a vegetable selling outlet in the nearby town of Kalomo; it produces and sells bricks; women knit and sew jerseys, dresses, school uniforms in their community; a small women's group makes soap and body lotion. The houses are clean and well kept, each with a vegetable garden and a toilet; potatoes and maize are produced in community fields. A maize grinding mill is also run by the women. A local development committee coordinates village activities, in which the men and young people have now joined in. At regular intervals, the development committee assesses self-help activities with the community which is now well organised and has quickly been able to repay credits with which the grinding mill was bought.

## **Appendix D2: Women in Modji-Ganga, Bénin**

Modji-Ganga is a village of some 500 inhabitants, 200 km north of Cotonou. The people are subsistence farmers, some of whom in addition cultivate cotton as a cash crop. The able-bodied male population is working in towns or even in neighbouring Nigeria, and those who live constantly in the village are the weak, the children, the old, and the women on whom the responsibility for the family rests. It is rare that men return for good to the village, as there is the belief that those who come back will die. Modji-Ganga thus was a community without plans, without a vision of a future, with people fighting for survival, at least until a Malian field worker joined them and was accepted by the community.

The chairlady of the local women's group, Mrs Oloke, offered lodging to the field worker in her house, and prepared food for him. Local school leavers and Mrs Oloke taught him the local language; the fact that he wanted to learn *Idaasha* made him different from the government officials working in the area; it also made locals gain self-confidence, as they were now even teaching, though they had always been told that they were not educated or civilised.

The local women's group had been founded by CARDER, the regional action centre for rural development; CARDER extension workers normally use a top-to-bottom approach based on preconceived programmes, and promote in particular the growing of cotton and soya beans. There was little interest in assisting the group to run a wider self-help programme. The group members, initially 16, looked for a means of getting additional income and started to cultivate maize collectively. Their main problem was illiteracy and their lack of managerial competence; the fact that they come from two castes also created difficulties.

Mrs. Oloke's house, where the field worker lived, became an informal community centre, once the Malian was known and accepted. In discussion with women group members, he assisted in improving on the organisation and management of the group. At the request of the group, he applied to the district authorities for a functional literacy trainer, and a person now comes to the village once a week. With the help of a UN project, the group acquired a cassava mill and uses it to make *gari* (parched, fermented cassava), a favourite staple food of West Africa, which is sold at the local market. Managerial and financial problems of the group were overcome by on-the-job training, and therefore the group decided to set up, with credit provided by the UN, a grain storage system, solving a problem of the village community where no storage facilities existed and grains had to be bought at high prices from traders once there was nothing left locally. In late 1989, the group started to grow rice, an example which was soon followed by local families setting up own little rice fields.

The women's group, founded as a reaction to pressure from the side of socialist authorities to move into cash crops, is now a lively exercise in self-reliance, with about 25 active members. Its impact on village life persuaded the village chief to provide the necessary land for rice growing (land ownership is traditionally reserved for men). In its dynamism, the women's group was instrumental in getting the whole community to request a borehole and pump from UNICEF – the borehole was sunk before the end of 1989, the pump is

managed by the community and each community member pays an annual fee for its maintenance. A result of the availability of water has been the introduction of vegetable gardening both for an improvement of the local diet and for sale (for the latter in particular 'non-indigenous' food like tomatoes, spinach, peas). As during the rainy season the community was often separated from its fields by a river, the next effort was to build a simple foot bridge, an effort successfully completed at the end of 1990. Also, the women's club organised a relationship of mutual assistance, of learning from and with each other, with women's clubs in five neighbouring villages.

### **Appendix D3: Case Study: Participatory Skill Learning**

In Chinamora communal land (near Bindura, Zimbabwe) a field worker from Mauritius works with a number of women's groups and assists them to improve upon their self-help capacity. He is a beekeeper, and he started his involvement with them in this capacity.

Before the field worker arrived, a local beekeeper had been harvesting and selling honey in the area. He had placed simple hives made from woven mats into trees in the forest, and some of them attracted bees; by smoking them out, he collected the honey. A group of women had seen his work, and they wanted to do something comparable; together with the local beekeeper, they received training in a centre; an NGO assisted them in buying simple hives and equipment; but their training had not been based on local circumstances – they placed their hives in their gardens, and after a year, they were still waiting for the bees to come. The old beekeeper continued to collect his honey in the forest.

The beekeeper from Mauritius started working with the group by teaching them how to catch bee colonies in the forest; beehives were constructed jointly, following Kenyan and Mauritian experiences, and later trying new local designs; he instructed them in safely handling bee colonies and producing a good quality honey. After the technique of bee-keeping and honey extraction, marketing the honey and managing the income became the next training subjects, again using local experiences as the starting point, this time of women selling vegetables and mushrooms at the market: local sales, sales at the district market in an own stall and sales through a national women's organisation developed a market for 1000 litres of honey a year. The women soon understood that part of the income had to be re-invested, or invested in additional enterprises. Two-thirds of the income presently goes into the business at hand, which now also includes knitting jerseys; one third of the income is distributed among the women. The village women themselves have been able to provide direct training to a women's group coming from a mining cooperative in another province of Zimbabwe.

The learning process took place in the local community. It also involved the only community member who had experience with bees and honey collecting. His involvement assisted in making the local women feel more secure when working with bees; he also assisted in designing new beehives with local material. His advice as a local expert becomes important as far as the following aspects are concerned: finding bee colonies, working with bees, designing and selecting beehives, sales of honey, storing honey. His inclusion in the women's team also considerably eased problems of social acceptance (a money-making women's group), though such problems are less common in Zimbabwe's communal lands than elsewhere in Africa: the communal lands are the areas to which people had been re-settled after white settlers took over fertile land for commercial farming; thus, people come from different clans, though usually two or three chief clans alternate in taking charge. The market women sharing their sales experiences profited from their participation, by learning the management of finances; they formed an own group, started selling products for other small-scale growers; coordinated their sales with the beekeepers.

The learning process was participatory: every trainee contributed to it at one stage or the other, complementing purely technical aspects. Questions pursued by the whole team included: first experiences in identifying and catching queen bees; experiences with safety measures: the mask, the dress, the gloves, the shoes, and adaptations to these for use by women; experiences with collecting honey and purifying the collected honey; experiences with different types of beehives; storing honey starting with proposing and finding/creating appropriate containers; selling honey and distributing the income; recognising when the market is saturated and developing alternative skills.

The local group is part of a national women's movement, and a field coordinator of this organisation was instrumental in setting up support and providing information of local experiences at the national level. The field coordinator assisted in setting up a marketing structure and in organising necessary transport. She also encouraged cooperation with other women's groups, resulting in practical training of initially one such group. Close links now exist between the local and an associative community, as well as between different local

self-help groups.

*Appendices D1, D2 and D3 reprinted from:*

Weyers, H. ***Participatory Training for Development: Community Learning*** 1998. Out of Africa Publishers, Windhoek.

## **Appendix E: Practical projects: A beginning, not an end**

Village people want to improve their lives. They can see that some people are becoming richer while they stay poor. It is very important to respond to the immediate needs of the poor. However this is a delicate position. Full human development requires that people –

- think critically about their situation
- act to improve their situation, and
- develop means, in co-operation with others, to overcome the obstacles they meet.

Projects are only a part of the process towards development, not an end in themselves.

The following exercise can help raise a few questions about the relationship of projects to a just society.

### **Case Study of a Co-operative**

A priest in a village, along with several people from the parish council, decided that two of the problems in the village were:

- 1) school leavers had no jobs and were idle, and
- 2) building schools and clinics was very expensive because they had to get contractors from a far-away town.

They investigated with the Ministry of Social Services and got the idea of beginning a local technical school of carpentry and masonry.

After a year, the technical school was established. School leavers were admitted to the school. Besides learning the skills of carpentry and masonry, they were taught some management skills (how to run a small business) and team work. The aim was to help the young men to work together co-operatively and to find jobs for their own teams.

The technical school gradually became known in the area and a primary school asked these 'fundis' (skilled handymen) to build four new classrooms. The young men were very excited about their first contract. In order to begin work, they needed to have tools, a concrete mixer, and other materials.

Many people in the area had heard about developing businesses and buying shares in a company. The priest with the 'fundis' decided to ask community people to buy shares in their company at \$20 each. Each shareholder would receive 10% interest on their investment at the end of each year.

The priest with the 'fundis' got 20 people to buy shares. This provided enough money for all the tools necessary to begin work.

After the next year, the 10% interest was given to each shareholder. The Building Company was getting many contracts to build schools, clinics, and houses. The 'fundis' from the technical school were paid an average of \$40 per month, depending on how quickly they could complete their work. A bonus of \$100 was given to each worker at the end of the year from the profits. The extra profits were put into buying new tools and equipment for the work. The decisions about how the money would be used were made by the priest, along with the government officer of the area.

After the shareholders received their interest, six shareholders called a meeting with the 'fundis'. The priest had been moved to another mission. They told the group that they now owned the company. The decisions about profits would be made by them from then on. The 'fundis' would receive the minimum wage of \$35 per month.

Three months later, three of the 'fundis' left for Nairobi to find other work. Eight of them stayed in the village and worked for the six shareholders because they had no other place to work. The teams no longer worked together.

### Discussion questions

- 1) What happened to the technical school students? Did their aim of working co-operatively get achieved?
- 2) What were some of the positive aims of this project?
- 3) What procedures were developed that helped the entire project to meet the needs of that area?
- 4) What hindered development?
- 5) Why did this happen?
- [...]
- 6) What guidelines could have been developed to protect the 'fundis'?

*Reprinted with permission of the publishers from:*

Hope, A. and Timmel, S. ***Training for Transformation, Book 1*** 1992. Mambo Press, Gweru, Zimbabwe.

## Appendix F: Learning–Training Methods

The literature on training is full of a wide range of training methods and techniques. These are being used, abused and misused, mostly unknowingly. We take a method, we use it; we hear of a technique, we implement it. But what is the rationale behind each method? Are all methods alike? On what basis can we choose methods? Is there any difference between method and techniques? What are the advantages and limitations of different methods?

These are some of the questions dealt with in this chapter.

### Considerations for Choosing a Training Method

A framework is essential to make the choice of an appropriate learning–training method. Several factors can be built into this framework. Some of the main considerations in this choice are described here.

#### 1. Focus of Learning

As emphasised earlier, participatory training has a combined focus on knowledge, awareness and skill building. Each of these components facilitates certain kinds of learning and is best dealt with by a certain set of training methods.

#### Knowledge–creation:

- Lecture
- Reading
- Audio–visual Aids
- Symposium

Lecture is the most appropriate method for imparting information and concepts. With literate learners, reading materials can also serve this purpose. Audio–visual aids enhance the quality of a lecture; a symposium is several persons giving lectures on the same topic. Various such techniques can be used to supplement this method.

#### Awareness–raising:

## Small Group Process Structured Experience

Various ways of using small group process and discussion contribute to awareness-raising: different types of structured experiences promote this type of learning.

### **Skill-building:**

- Practice Demonstration
- Apprenticeship
- Project
- Field Work

A skill can only be learnt through practice; various forms of practice can be created for this purpose.

## **2. Creating a Learning Environment**

This is one of the most important aspects of a training programme, since it sets the stage for further events. To create an atmosphere which is conducive, relaxing, accepting, supporting and at the same time challenging calls for using different training methods. A sense of psychological safety is one of the crucial ingredients of a learning environment.

Some methods amply demonstrate their effectiveness with a certain group of trainees, and may be threatening to another. Talking in a large group about one's problems may work with a group of social workers, but may hamper the process for a group of tribal women. Similarly, some methods provoke questioning and analysis, others lead to self-analysis and internalisation. Depending upon the subject matter, the training objectives and the group of learners, flexible use should be made of methods in order to create and sustain a learning environment. Even though the focus of learning may indicate the use of one set of methods, considerations of creating and sustaining a learning environment may change the choice of these methods.

## **3. Valuing Learners' Experience**

All participants come into a training programme with their own sets of experiences. In the process of learning and interacting with both trainers and co-participants, opportunities for sharing their experiences should be created. This reflects acceptance, understanding and respect for their experiences. For example, at the start of a training programme, a small group discussion could be held for participants to share their anxieties while they set out for this training programme.

Training methods that demonstrate the value of learners' experiences and encourage them to value and analyse their experiences can be given a preference at certain early stages of the training programme so that the basic tenet of participatory training is reinforced.

## **4. Promoting Learner Involvement**

A meaningful training programme is one which seeks to find ways of increasing the learners' involvement in their own learning process. Individuals come with their varying needs and expectations. Reaching out to all of them is of crucial importance. This can, therefore, be achieved by using a multiplicity of methods that invite their active involvement. Use of small group events and inviting their suggestions on design and programme are two ways of promoting greater involvement in the learning

## **5. Sustaining Interest**

It can often happen, especially in training programmes of long duration, that as the days go by the initial enthusiasm to learn wanes. If the learners are, day in and day out, exposed to mundane, dry and repetitive learning methods, this will certainly take place. For example, lectures, if given every single day, tend to get very boring, non-participatory and dull. The same subject matter can be handled creatively, if different training methods are used and the task is split into various steps.

The choice of training methods can also be made on the basis of the consideration for sustaining interest of learners.

## 6. Creating Mutuality of Experiences

As mentioned earlier, a significant feature of participatory training is that learning and training go hand-in-hand. Certain methods like small group discussions, role-plays, etc. promote sharing of experiences; others like simulations create awareness-raising, for both the trainers and the learners.

Certain training methods promote an opportunity for mutual learning; certain methods create the possibility of training-learning as simultaneous processes. These methods can be chosen to create a conducive learning environment which emphasises mutuality.

## 7. Modelling

One of the important ways in which learning takes place is modelling – identifying oneself with a person we value and respect. Since participatory training draws its strength from a strong trainer-trainee relationship, often trainees use trainers as their model for learning.

Some methods tend to facilitate modelling; these can be methods where a trainer models a set of learning activities, say, a model learner. This consideration of modelling can be used to choose appropriate training methods in different contexts.

Based on these, and other, considerations the choice of appropriate learning-training methods for dealing with each content area is made. Having broadly decided on the method (say, lecture or role-play) for a particular content area, we then need to plan the details of that method. The next section provides a brief description of some major learning-training methods.

*Reprinted with permission of the Society for Participatory Research in Asia (PRIA) from: **Training of Trainers***

## Appendix G1: Training Techniques

1. Brainstorming
2. Case studies
3. Demonstration
4. Drama
5. Field trips
6. Film shows
7. Fishbowl
8. Games
9. Ice breakers
10. Jigsaw technique
11. The kitchen concept
12. Lecturettes
13. Role plays
14. Panel discussions
15. Peer teaching
16. Pictures
17. Simulations
18. Song and dances
19. Small groups
20. Buzz sessions

## Appendix G2: Trainer's Reference

The following pages describe ways of forming small groups and a variety of non-formal training techniques that can be used to promote discussion, involve learners and make any learning experience more lively and interesting. It also includes guidelines for how to give and receive feedback. [...]

### Non-formal adult training techniques

[...] To be effective, it is important for the trainer to have a firm grasp of how to use each of these [non-formal

teaching] techniques. These techniques will help to actively involve participants in the learning process, and demonstrate to future instructors what can be done to make learning interesting to adults. [...] To aid the trainer in understanding these [techniques] brief descriptions of the following techniques are included in this Appendix:

- 1) Brainstorming
- 2) Case studies
- 3) Demonstration
- 4) Drama
- 5) Field trips
- 6) Film shows
- 7) Fish bowl
- 8) Games
- 9) Ice-breakers
- 10) Jigsaw technique
- 11) The kitchen concept
- 12) Lecturettes
- 13) Role-plays
- 14) Panel discussions
- 15) Peer teaching
- 16) Pictures
- 17) Simulations
- 18) Song and dances
- 19) Small groups
- 20) Buzz session

### 1. Brainstorming

This technique encourages active and imaginative input from participants and taps the knowledge and expertise of the participants. The facilitator's role is to encourage all participants to say the first thing that comes to their minds and to keep ideas flowing quickly. Brainstorming is used to help focus or clarify activities or generate information that can help begin a topic.

**Process:** The facilitator asks a question on a topic to be investigated. The participants are asked to draw upon personal experience and opinion and to respond with as many ideas as possible. As participants put forward their ideas, each idea is recorded on the board without rejecting any. Thereafter the group analyses the information collected.

**Advantages:** It promotes creativity in finding solutions to problems. It is particularly effective in opening sessions to establish goals, objectives and norms for training programs.

### 2. Case study

This technique encourages participants to analyze situations they might encounter and determine how they would respond. A case study is basically a story written to show a detailed description of an event that is followed by questions for participants to discuss. Stories of people with similar problems in other villages make ideal subjects for case study analysis. The case study should be designed in such a way that the story is relevant to participants and they have enough time to read, think and discuss.

**Process:** The facilitator hands out a case study that describes a relevant situation or problem to be addressed (facilitator writes one or uses one that has already been written [...]). Participants read the case study. Participants are either broken up into small groups to discuss or may stay in the large group to discuss the story. The instructor facilitates questioning and approaches to alternative solutions.

**Advantages:** It encourages participants to identify alternative behaviors and solutions to situations and problems they might experience in the community.

### 3. Demonstration

This technique is used to allow participants to see how something should be done. A demonstration brings to life some information that has been presented in a lecture, discussion or explanation. For example, a discussion of how to apply fertilizer may not be nearly as effective as a direct demonstration of how to do it

which participants can both see and try for themselves.

**Process:** The facilitator should explain the purpose of the demonstration. Facilitator demonstrates the procedures or new behavior. Participants are encouraged to ask questions and engage in discussion. The participants practice what has been demonstrated.

**Advantages:** Participants' actual participation in trying what was demonstrated by the facilitator shows if they have correctly understood and makes this information that they cannot easily forget.

#### 4. Drama

When people come together and act out parts they are often able to say more than they might in a normal discussion. Drama can be an interesting, entertaining and, most of all, effective way to get people to discuss and solve problems.

**Process:** Once a problem has been identified, participants can come together and write and act out a play for either the class or the community. The drama they depict should present the main ingredients of the problem, but no solution. After (or even during) the play, they can ask the audience (people watching) for advice on what to do. Following the play actors and audience alike discuss the problem and come up with ideas for action they can take to solve it. Problems might be as simple and local as people coming late or talking so that it disrupts the entire class, or as complicated as the different kinds of sanitation and nutrition problems that affect village health and ultimately development.

**Advantages:** All trainers/instructors will generally have to do is encourage a small group of participants to try this technique with the whole class. It is usually considered such fun that given the opportunity and a bit of encouragement, participants will begin to do these on their own. Trainers may even consider using this as a way to have participants help to present new material from a lesson.

#### 5. Field trips

This technique allows participants to see firsthand how something is done. Facilitator finds a place outside of class in which participants can see, in real life, something that has been discussed in class. Field trips should be well planned and help stimulate the interest of the participants. The kitchen concept discussed below is an example of a special type of field trip that helps learners to see things as done by people in their community.

**Process:** Participants should be briefed on field trip, location, time and purpose of the trip. The participants and the facilitator should make up a list of questions or observations that participants can use during the field trip. Following the field trip, participants should discuss and analyze what they have seen.

**Advantages:** Field trips show participants how information discussed in classes can be applied in real life.

#### 6. Film shows

Film shows and videos can be specially arranged for participants to view.

**Process:** Trainers should select films according to interests of participants and topics under consideration. Participants should be introduced to the film and viewing should generally be followed by a discussion of the film and the information it contained.

**Advantages:** Film shows are generally quite entertaining and easily capture the interest of participants. If well done, films can capture in a short amount of time, information that might take months to cover. It can capture in moving pictures and words images that make stronger points than an instructor or resource could ever do in a lecture. [...]

#### 7. Fish bowl

This technique allows participants on the 'outside' to see something being done on the 'inside'. Participants may observe a role-play or an actual event such as a discussion or a planning meeting.

**Process:** Trainer helps break participants into two or more groups. A small group performs some action or activity in the centre of a larger group. The larger group of participants is asked to observe and analyze the interactions of the inner group.

**Advantages:** As with a fish placed in a bowl of water, participants can see what is happening and discuss what they see. Note: A fish bowl is both similar to and different from a role-play (discussed below). A role-play focuses on the feelings and reactions of the role-playing participants, whereas in a fish bowl the focus is on the observation and feedback that is done by the outer group to the information supplied by the inner group.

## 8. Games

Games are structured activities that have 1) a certain number of players 2) working in a special situation 3) to accomplish a task 4) according to certain rules. [...]

**Process:** Trainers can easily invent games that help participants to learn information or practice skills learned, as way of review. If you do decide to develop a game, make sure that it has all of the components described above. As you develop a game, here are some tips to remember:

- a) To be good and useful a game must be well thought out, so set aside some time to develop and test the game.
- b) If you decide to award points, do so for right answers, but do not take away points for wrong answers – this can discourage adults from participating.
- c) Try to involve participants in developing the games (e.g. let them come up with the questions).
- d) Keep participants working in teams so that quick learners play alongside slower learners and no one individual ever wins.

**Advantages:** Games are generally fun and effective ways for participants to learn new skills or practice skills they have recently learned. Good games can be challenging and effective ways of involving even the most hesitant of learners.

## 9. Ice-breakers

This technique is used to introduce participants to each other or help them to relax, wake up or recapture their wandering interest. As its name implies, the ice-breaker warms the learning environment to the point that the 'ice' keeping participants from interacting with each other is broken up.

**Process:** This technique is usually short and has no specific form. It is how it is **used** that makes it an ice-breaker. A joke, short game or physical activity of some sort can all be icebreakers. For example, to begin a class with new participants you might randomly pair off participants. Have participants work in pairs and find out as much about each other in five minutes as possible. Each participant then introduces his/her partner to the rest of the group. Other examples of ice-breakers include: having participants draw a picture which describes something about themselves and then explain it to the group; solve a puzzle together; or take a "blind walk" in which one person (whose eyes are closed) is led by a partner's verbal instructions.

**Advantages:** An ice-breaker actively involves all participants in an active role. Ice-breakers should be fun and should create an initial bond between facilitator and participants.

## 10. Jigsaw technique

This technique is used to help participants master pieces of information that when put together cover a complete topic.

**Process:** To do this, the large group is divided into smaller groups which are each assigned different aspects of the chosen topic to learn. Each group spends time working together until every member of their group has mastered the topic assigned to the group well enough to teach it to others. One member of each of the original groups now serves as an "expert" for a second group. The second groups are formed by assigning one representative from each of the first study groups to a second group. The group stays together until each member has had a chance to teach his or her subject to the group. The entire group meets together briefly to reflect on the process. [...]

**Advantages:** The jigsaw technique provides an opportunity for people to learn a topic and then immediately afterwards to teach it to others. This technique encourage cooperation rather than competition. It is an effective way to give individuals training experience and to bolster participant confidence in their own knowledge and teaching skills.

### 11. The kitchen concept

This technique was given this title as it was used and developed in Nigeria. It involves using local community resource people to share knowledge with learners about something they have actual experience with. It is a variation on field trip or guest speakers, but with a particularly effective twist.

**Process:** For example, if learners in a literacy class are studying about keeping livestock, it may actually be better if they were to hear from someone in their own community who has been successful at it. An extension agent might still come and follow up with more information, but it will be the neighbor who actually does what is being discussed that will make the biggest impression on learners as he/she will show them what is truly possible. Moreover, learners could even do more than 'talk' about a topic, they could possibly go on a field trip to visit the person and actually see how things should be done. In some cases, people in the literacy class may have skills they can share with other learners.

**Advantages:** As has often been said of adult learners, we should both appreciate and use their knowledge and experience. The kitchen concept puts this idea into practice.

### 12. Lecturettes

Lecturettes are short forms of a lecture which are used to highlight key points of content. They differ from traditional lectures in that they often incorporate participants' interactions and, at times, give the impression of a discussion. They are useful as introductions to topics and to experiential activities. Lecturettes seldom last longer than 15 minutes.

**Process:** Review or read through the information that you want to present. Write out an outline of the key points that you want to cover. Consider what visual aids could help your presentation and prepare them in advance if possible. Identify points where you can involve participants through questioning, discussion or other activities. Practice and time your lecturette to make sure that you have not prepared either too little or too much for the time allotted. As you present your lecturette (or any lecture) keep an eye on the participants and make sure that you are holding their attention. If people start to drift off, do something. A lecturette is only effective if you are able to keep participants listening, involved, and aware of the points you are trying to share.

**Advantages:** Lecturettes can provide detailed and specific information in a short time.

### 13. Role-plays

This technique encourages participants to explore solutions to situations or problems under discussion. A role-play is a small, often unrehearsed drama where participants are given roles that they are supposed to act out. There is no "script" or particular words that participant-actors must say, but there is a description of the situation, the positions they should take, what they might do or opinions they should express.

**Process:** Roles may be set up by the facilitator or participants may make up their own roles. The description of a role-play can be given orally or by handout. Participants acting in the role-play should be given some time to prepare. Participants act out role-play as the character that they are portraying. Facilitator facilitates discussion and analysis of what was seen or felt by participants. 'Actors' are given a chance to describe their roles and what they were doing to see if it matches with what participants observed. Participants then discuss how what they saw relates to their own lives and situations they encounter.

**Advantages:** Discussions following the role-play can centre around the role, opinions, actions of characters as presented by the participants and thus avoid criticism of the participants themselves. This technique is entertaining as well as educational, and improves participants' skills of expression and observation.

### 14. Panel discussion

This technique allows participants to gather information on several new topics at a time from visiting 'experts' or 'authorities' on the topics. It encourages critical and informed questioning from participants and interaction

between guest speakers and participants in exploring a given topic.

**Process:** 'Experts' or 'authorities' are identified and invited in front of the group. The trainer (or predesignated participant) acts as moderator (facilitator) of the panel discussion by asking initial basic questions of panel members and/or encouraging participants to ask questions of panel members.

**Advantages:** This can be a good opportunity to invite guest speakers (up to 3 or 4 at one time) into the training setting. It offers participants a different format for information transfer and a change from the trainers as the focus of attention. Also, it can give participants contact references for future work in the field. If you design your sessions in such a way that the participants become the 'resident experts' on a given topic, they can experience a distinct feeling of involvement and accomplishment on the topic.

## 15. Peer training

This technique allows participants with expertise in a certain field to help in the training process and gives participants a chance for hands-on training of their peers.

**Process:** Trainer solicits participant assistance in training, asks for areas of participant expertise and/or assigns participants topics to be researched, prepared and presented. Or a participant(s) might work together with the trainer to conduct a training session. During the presentation other participants are encouraged to participate actively as in any other session, respecting their fellow participant as the 'trainer' and lead facilitator of learning during that session.

**Advantages:** Peer training can help participants to network for future cooperation, collaboration and support. It takes the role of "expert" away from the trainer and gives the authority and control of learning to the participants. Note: though rewarding, the preparation for peer training activities can be especially time-consuming.

## 16. Pictures

Many training activities can benefit from incorporating a creative component to participant expression of ideas. Drawing pictures (as a group or individuals) encourages participants to express their opinions and feelings symbolically.

**Process:** Trainer identifies a focus for the drawing and breaks participants into groups, telling them how long they have to complete the drawing. Trainer explains that the quality or technical expertise of the drawing is not important, it is the ideas that are contained in the drawing that are of importance. As long as participants can explain what they have drawn to the group, it need not be even recognizable. They should think of the drawing as shorthand notes that record their discussion. Trainer goes around to groups encouraging them. Trainer calls participants back together and asks them to post, share and explain their drawings to the large group. Trainer keeps comments and discussions light-hearted and down-plays negative criticism.

**Advantages:** If this is done well, it helps trainer/participants to overcome their aversion to drawing. It can be a lighthearted and enjoyable activity that can get at affective (feeling) dimensions of participant response. Since future trainers/instructors should be willing to make additional support materials, they should also have practice drawing in a non-threatening situation. (Note: there is usually hesitation in participating in this activity. Placing participants in groups allows them to choose an artist to render their ideas or work together to draw them out. If trainers are careful to encourage and help participants get over their initial hesitation, this activity can be quite rewarding.)

## 17. Simulations

This technique is used to involve participants directly in an experience. A simulation is a model of reality created so that participants can see the effect of certain actions on a given situation. This can be done through a carefully prepared board game or an expanded fish bowl/role-play activity which involves all participants.

**Process:** Identify a situation that you wish participants to experience. Consider the main issues that you want them to understand. Think of a number of actions that could be taken to respond to these issues and possible outcomes of such actions. Use these as guidelines to prepare a board game or extended role-play activity that will actively involve the participants in the situation you have identified. Try the simulation out to see if participants are truly experiencing the essence of the situation as you had hoped. Adjust your simulation

accordingly.

**Advantages:** By simplifying and simulating real-life situations, participants can discover the relationships between various forces and the effect of different actions on those forces. They can develop a feeling for how to act in certain situations. It can be a very good mechanism for introducing information (about development activities, etc.) and developing problem-solving skills.

## 18. Songs and dances

Song and dance is a vital part of our traditional culture and has long been an entertaining learning tool. Words from songs carry messages that can stay with learners for years and dances offer activity that can add an element of fun and action to a literacy class. An instructor can easily encourage learners to create songs and dances that capture a message, key sentence, or even the way letters should be written. These songs can then be shared with other learners. A class may even have an informal competition [...] to see who can come up with the best-liked song and dance. [...]

## 19. Small groups

It is often necessary to break a large training group into small groups in order to facilitate discussion, problem-solving, or team activities and tasks.

**Process:** A specific task is assigned to smaller groups (the task may be the same or may be a different task for each individual group). The purpose of the task is clearly stated and a time limit imposed. How the group's work is to be presented is clearly defined and shared responsibility for presentation is given to all members of the group. Following these instructions, the task is carried out. The small groups come back together and results are presented to the whole group.

**Advantages:** The smaller the group, the greater the chance of individual participation. The more small groups you have, the better your chances of coming up with interesting information and more solutions to problems.

## 20. Buzz session

This is a special type of small group activity that is used when participants need to discuss a topic, express opinions and come to some sort of consensus.

**Process:** As with any small group, the main activity and/or questions are introduced in a large group. The facilitator then divides the participants into smaller groups of 3 or 4 each. Each participant then shares his or her view in the small group and it is recorded. Participants' views are then consolidated within small groups and shared with the large group.

**Advantages:** It gives each person a chance to "talk through" a topic. Buzz sessions allow participants to become more actively involved in describing their opinions in small groups before bringing those ideas to the larger group. They help to build self-confidence.

## Forming small groups

There are many different ways to break participants into small groups, most of these are quite simple and straightforward. The most important thing to remember is that you should continually change the way you do this. Since small groups are used quite a bit during the training, the more variety you can use in breaking people up the more interesting you can make this process for the participants. Here are a few examples of different ways to break a large group into smaller groups:

**Count off** – Have participants count off, one after another, by number (1, 2, 3,...), letter (a, b, c,...) or any other grouping labels that you identify (supervisor, instructor, learner,...; [...] etc.). Give them an example or help them to begin by explaining carefully how many groups they should form.

**Use cards** – Prepare cards that can be passed out face down or selected by participants to help them form small groups. Write numbers, letters or group names on the cards or use different colour cards. This technique provides varied and more random groupings than counting off and is particularly necessary when forming groups for jigsaw, where each participant from the first part group must be in different second groups.

**Use found objects** – Bottle caps (different types), sticks, stones, pencils, pens, beans, corn kernels and many more small objects can be collected, placed in a basket, hat or small box and passed around to allow participants to pick an object. Make sure to count carefully and evenly the number of objects included so that there are sufficient objects for each participant and groups are of the correct number.

**Use team forming strategies** – Ask for volunteers, elect, or otherwise identify individuals to serve as team leaders. Have these individuals choose other participants to join them on their team. You may even choose to provide guidelines for each round of selection (someone you know, someone you don't know, someone wearing blue, someone tall, etc.) or have each new team member choose the next team member.

**Use areas/seating arrangements** – Divide participants into small groups according to where they are seated. Unless you are able to keep participants changing seats, do not use this technique too often as you will end up with similar groups.

**Use personal characteristics of participants** – Divide participants according to where they come from, their background and experience, sex, or other relevant characteristics. Use these characteristics to create small groups with similar participants or a balanced mixture, depending on the task and purpose of the small group.

### **Giving and receiving feedback**

Feedback is information shared with another person which can help them to work better with others. As a trainer of [functional literacy] supervisors there are many occasions when it is important to share information with an instructor about how he/she teaches. One such time will be during the practice teaching sessions. The following outlines some characteristics of effective feedback. The trainers should make sure that they understand these in order to guide participants when they offer feedback and constructive criticism to their peers during practice teaching.

#### **What is feedback?**

Feedback is a communication to a person (or group) that provides information on how his or her actions affect others. It is a way of helping another person understand the impact of his/ her behavior on others with the aim of helping him/her to improve their communications skills and interactions with others.

#### **How to give feedback**

**Be specific rather than general** – Try and give precise examples of what you observed. To be told that one is talkative will probably not be as useful as to be told that "just now when we were deciding the issue, you talked so much I stopped listening".

**Share information rather than giving advice** – If you offer comments and opportunities for the receiver to see for themselves what they did and decide how they might change, this will be much more effective than telling them how they should act.

**Be descriptive rather than judgemental** – If you describe your own reactions to another's behavior, it leaves the individual free to use the information or not as he/she sees it fit. By avoiding judgemental language, it reduces the need for the individual to respond defensively.

**Direct your comments towards behaviour which the receiver can do something about** – Frustration is only increased when a person is reminded of shortcomings over which he/she has no control.

**Consider the needs of both the receiver and the giver of feedback** – Feedback can be destructive when it serves only our own needs and fails to consider the needs of the person on the receiving end.

**Feedback should be solicited rather than imposed** – If the receiver can ask for and be open to feedback, they are much more likely to listen to it. If the receiver is not ready to 'hear' the feedback then it is unlikely that he/she will use it.

#### **How to receive feedback**

Since feedback gives you a chance to see how another person sees your actions, it will make it easier for you to receive feedback that you can use if you keep the following in mind:

- Ask clarifying questions in order to understand the feedback.
- Help the giver use the criteria for giving useful feedback (e.g. if feedback is too general, ask for specific examples so that you can understand the meaning).
- Avoid making it more difficult for someone to give you feedback. Remember, it is often as hard for someone to give feedback as it is to receive it well. If you react defensively or angrily they may give up and you will lose valuable information and insight.
- Avoid explanations of "Why I did that" unless asked.

And remember that, while all feedback is not necessarily worth acting on, if two people give you similar feedback, it may be time to consider adjusting your behaviour accordingly.

### **Facilitating feedback sessions during practice teaching**

Feedback, especially during practice teaching sessions, is best facilitated by:

- 1) First, allowing the participant who taught to be the first one to comment on what they did and improvements they might have made.
- 2) Next, encouraging participants/observers to comment on what they observed and guiding them according to the principles of constructive feedback shown above.
- 3) Finally, adding to (but not repeating) points that others have not brought up and presenting them, also, in a positive and constructive manner. (Note: summarizing the main points at the end is occasionally appropriate but not always necessary).

### **In closing**

The most important thing for the trainer to remember is that the training techniques and skills that have been discussed in this brief trainer's reference section are not the only ones that exist [...]. There are many more techniques and as a good trainer, it will be your task to continue to add to your knowledge and use of different training techniques as well as to master the ones above.

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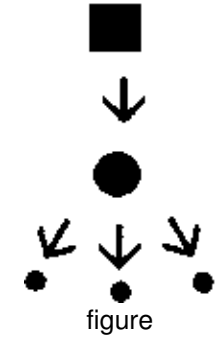
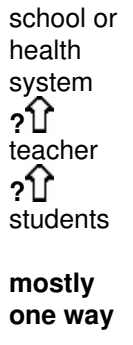
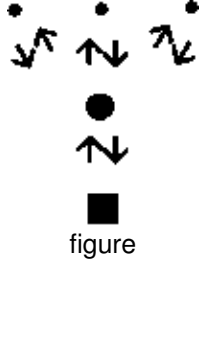
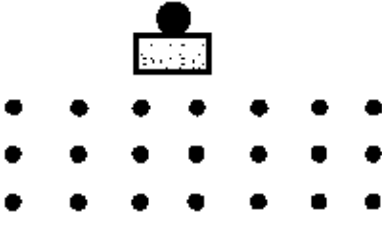
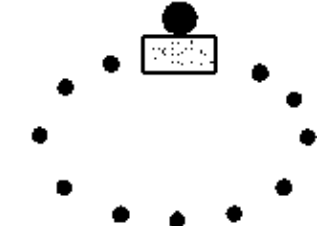
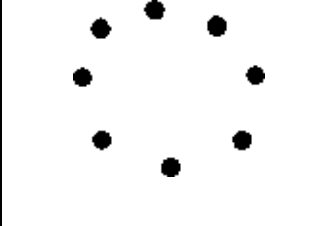
Malawi Functional Literacy Programme **Manual for Trainers of Functional Literacy Instructors** 1991. Lilongwe.

## **Appendix H: Three Approaches to Education**

This chart gives a summary of 3 approaches to teaching. It may help instructors to evaluate their own teaching approach. [...]

	<b><u>CONVENTIONAL</u></b>	<b><u>PROGRESSIVE</u></b>	<b><u>LIBERATING</u></b>
Function	to <b>CONFORM</b>	to <b>REFORM</b>	to <b>TRANSFORM</b>
Aim	Resist change. Keep social order stable.	Change people to meet society's needs.	Change society to meet people's needs.
Strategy	Teach people to accept and 'fit in' to the social situation without changing its unjust aspects.	Work for certain improvements without changing the unjust aspects of society.	Actively oppose social injustice, inequality and corruption. Work for basic change.

Intention toward people	<b>CONTROL</b> them –especially poor working people – farm and city. <b>NO CHANGE</b> .	<b>PACIFY</b> or <b>CALM</b> them –especially those whose hardships drive them to protest or revolt. <b>BEHAVIOUR CHANGE</b> .	<b>FREE</b> them from oppression, exploitation and corruption. <b>SOCIAL CHANGE</b> .
General approach	<b>AUTHORITARIAN</b> (rigid top–down control)	<b>PATERNALISTIC</b> (kindly top–down control)	<b>HUMANITARIAN</b> and <b>DEMOCRATIC</b> (control by the people)
Effect on people and the community	<b>OPPRESSIVE</b> – rigid central authority allows little or no participation by students and community	<b>DECEPTIVE</b> – pretends to be supportive but resists real change	<b>SUPPORTIVE</b> – helps people find ways to gain more control over their health and their lives.
How students (and people generally) are viewed	Basically passive. Empty containers to be filled with standard knowledge. Can and must be tamed.	Basically irresponsible. Must be cared for. Need to be watched closely. Able to participate in specific activities when spoon–fed.	Basically active. Able to take charge and become self–reliant. Responsible when treated with respect and as equals.
What the students feel about the teacher	<b>FEAR</b> – Teachers is an absolute, all–knowing boss who stands apart from and above the students.	<b>GRATITUDE</b> – Teachers is a friendly, parent–like authority who knows what is best for the students.	<b>TRUST</b> – Teachers is a 'facilitator' who helps everyone look for answers together.
Who decides what should be learned?	The Ministry of Education (or Health) in the capital.	The Ministry, but with some local decisions.	The students and instructors together with the community.
Teaching method	<ul style="list-style-type: none"> <li>• Teacher lectures.</li> <li>• Students ask few questions.</li> <li>• Often boring.</li> </ul>	<ul style="list-style-type: none"> <li>• Teacher educates and entertains students.</li> <li>• Dialogue and group discussions, but the teacher decides which are the 'right' answers.</li> </ul>	<ul style="list-style-type: none"> <li>• Open–ended dialogue, in which many answers come from people's experience.</li> <li>• Everyone educates each other.</li> </ul>
Main way of learning	<b>PASSIVE</b> – students receive knowledge. Memorization of facts.	More or less active. Memorization still basic.	<b>ACTIVE</b> – everyone contributes. Learning through doing and discussing.
Important subjects or concepts covered	<ul style="list-style-type: none"> <li>• the strengths and rightness of the present social order</li> <li>• national history (distorted to make 'our side' all heroes)</li> <li>• rules and regulations</li> <li>• obedience</li> <li>• anatomy and physiology</li> <li>• much that is not practical or relevant – it is taught because it always has been</li> <li>• unnecessary learning of big words and boring information</li> </ul>	<ul style="list-style-type: none"> <li>• integrated approach to development</li> <li>• how to make good use of government and professional services</li> <li>• filling out forms</li> <li>• desirable behaviour</li> <li>• simple practical skills (often of little use – such as learning 20 bandages and their Latin names)</li> </ul>	<ul style="list-style-type: none"> <li>• critical analysis</li> <li>• social awareness</li> <li>• communication skills</li> <li>• teaching skills</li> <li>• organization skills</li> <li>• innovation</li> <li>• self–reliance</li> <li>• use of local resources</li> <li>• local customs</li> <li>• confidence building</li> <li>• abilities of women and children</li> <li>• human dignity</li> <li>• methods that help the weak grow stronger</li> </ul>

Flow of knowledge and ideas	school or health system ? teacher ? students  <b>all one way</b>		school or health system ? teacher ? students  <b>mostly one way</b>		students ? group leader ? school or health system  <b>both ways</b>	
Area for studying	The classroom.		The classroom and other controlled situations.		Life – the classroom is life itself.	
How does the class sit?						
Class size	Often <b>LARGE</b> . Emphasis on quantity, not quality, of education.		Often fairly small, to encourage participation.		Often <b>SMALL</b> to encourage communication and apprenticeship learning.	
Attendance	Students <b>have to</b> attend.		Students often <b>want to</b> attend because classes are entertaining and they will earn more if they graduate. 'Incentives' are given.		Students <b>want to</b> attend because the learning relates to their lives and needs, and because they are listened to and respected.	
Group interaction	Competitive (cooperation between students on tests is called cheating.)		Organized and directed by teacher. Many games and techniques used to bring people together.		Cooperative – students help each other. Those who are quicker assist others.	
Purpose of exams	Primarily to 'weed out' slower students: grades emphasised. Some students pass, others fail.		Variable, but generally tests are used to pass some and fail others.		Primarily to see if ideas are clearly expressed and if teaching methods work well. No grades. Faster students help slower ones.	
Evaluation	Often <b>superficial</b> – by education or health system. Students and community are the objects of study.		Often <b>over-elaborate</b> – by education or health 'experts'. Community and students participate in limited ways.		<b>Simple</b> and <b>continual</b> – by community, students and staff. Students and teachers evaluate each other's work and attitudes.	
At the end of training, students are given...	<ul style="list-style-type: none"> <li>• diplomas</li> <li>• irregular, police-like supervision</li> </ul>		<ul style="list-style-type: none"> <li>• diplomas</li> <li>• uniforms</li> <li>• salaries</li> <li>• 'supportive' supervision</li> </ul>		<ul style="list-style-type: none"> <li>• encouragement to work hard and keep learning</li> <li>• supportive assistance when asked for</li> </ul>	
After training, a health worker is accountable to...	his/her supervisor, the health authorities, the government		mainly to the health authorities, less so to local authorities and the community		mainly to the community – especially the poor, whose interests he/she defends.	

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## Appendix I: Paulo Freire's Different Levels or Stages of Awareness



***Why is it that so many people "just don't seem to care" about changing or improving their situation?***

***What can I do to help people awaken to their own possibilities?***

To help health workers answer these questions, it may be useful to discuss the following 'stages of awareness'. These are based on the ideas of Paulo Freire, the Brazilian educator. Freire's methods for the development of 'critical awareness' became widely used in Brazil as a part of literacy programs (for learning to read and write). After the military coup in 1964, however, Freire was jailed and later thrown out of the country. Freire describes three main stages of awareness:



**1. Magic awareness.** At this stage, people explain the events and forces that shape their lives in terms of myths, magic, or powers beyond their understanding and control. They tend to be *fatalistic*, passively accepting whatever happens to them as fate or 'God's will'. Usually they blame no one for the hardships and abuses they suffer. They endure these as facts of life about which they cannot (and should not) do anything. Although their problems are great – poor health, poverty, lack of work, etc. – they commonly deny them. They are exploited, but are at the same time dependent upon those with authority or power, whom they fear and try to please. They conform to the image of themselves given to them by those on top. They consider themselves inferior, unable to master the skills and ideas of persons they believe are 'better' than themselves.

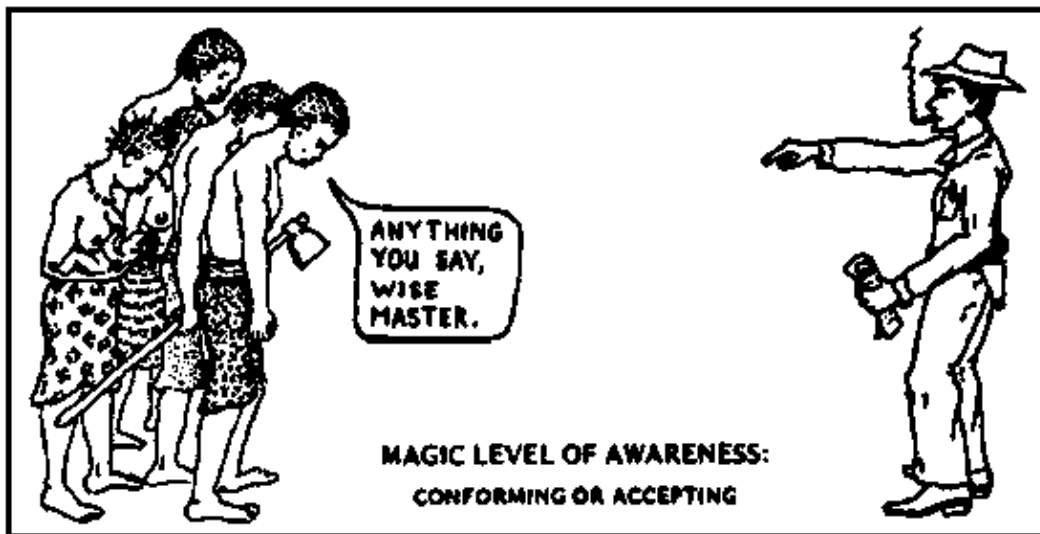


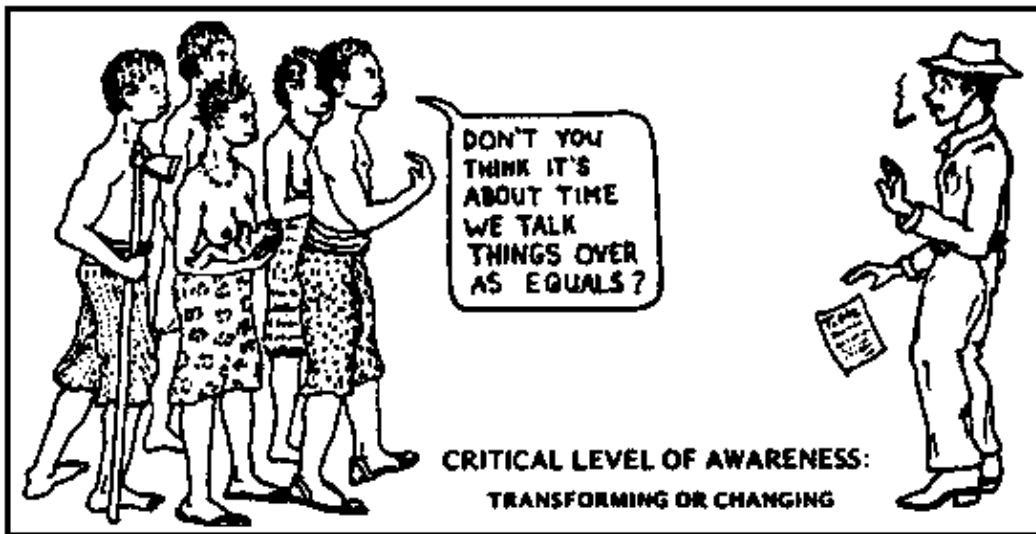
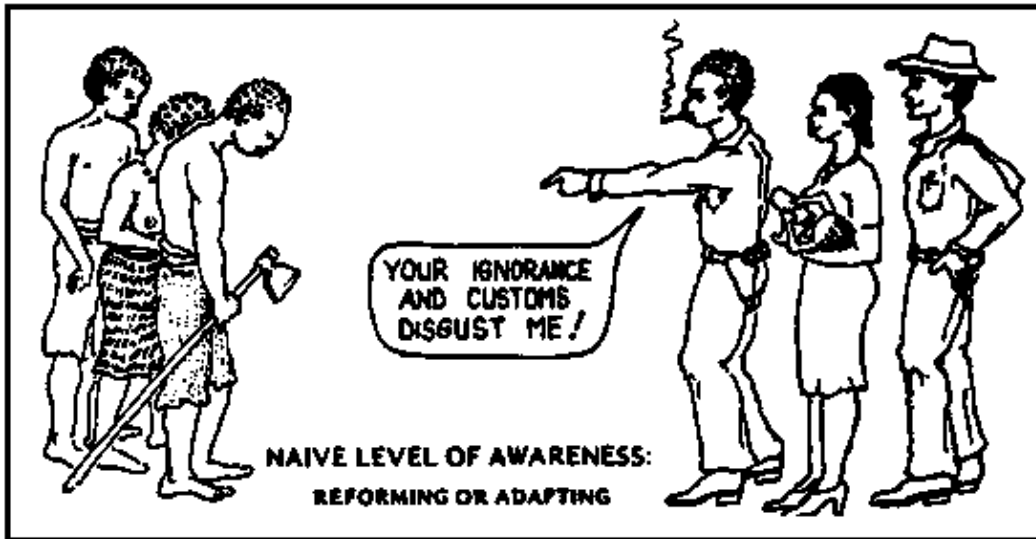
**2. Naive awareness.** A person who is *naive* has incomplete understanding. Persons at the naive stage of awareness no longer passively accept the hardships of being 'on the bottom'. Rather, they try to adapt so as to make the best of the situation in which they find themselves. However, they continue to accept the values, rules, and social order defined by those on top (authorities, big landholders etc.). In fact, they try to imitate

those on top as much as possible. For example, they may adopt the clothing, hair styles and language of outsiders, or choose to bottle feed rather than breast feed their babies. At the same time, they tend to reject or look down upon their own people's customs and beliefs. Like those on top, they blame the hardships of the poor on their ignorance and 'lack of ambition'. They make no attempt to critically examine or change the social order.



**3. Critical awareness.** As persons begin to develop critical awareness, they look more carefully at the causes of poverty and other human problems. They try to explain things more through observation and reason than through myth or magic. They start to question the values, rules and expectations passed down by those in control. They discover that not individuals, but the social system itself, is responsible for inequality, injustice, and suffering. They find that it is set up to favor the few at the expense of the many, yet they see that those in power are in some ways also weak and are also 'dehumanized' by the system. Critically aware persons come to realize that only by changing the norms and procedures of organized society can the most serious ills of both the rich and the poor be corrected. As their awareness deepens, these persons also begin to feel better about themselves. They take new pride in their origins and traditions. Yet they are self-critical and flexible. They do not reject either the old or the new, but try to preserve from each what is of value. As their self-confidence grows, they begin to work with others to change what is unhealthy in the social system. Their observations and critical reasoning lead them to positive action.





In addition to the three levels or stages just discussed, Freire describes another level, which he calls 'fanatic awareness'. This is a step beyond naive awareness, but off the main track of development toward critical awareness.



**4. Fanatic awareness.** *Fanatic* means extreme beyond reason. A fanatically aware person (or group of persons) rejects completely those in power and everything they represent, without trying to separate the good from the bad. At the same time, s/he often returns to the traditional customs, dress and beliefs, but in an exaggerated form. Whereas the outlook of persons with critical awareness is mostly positive, that of fanatics is often destructive. Their opinions tend to be rigid, not flexible. Their actions seem to result more from hatred than from understanding. Rather than learning and communicating with others as equals, they tend to repeat the standard radical doctrines of their popular, yet powerful, leaders.

Persons at a fanatic level of awareness are not self-critical, independent thinkers as are those with critical awareness. They are captive to the ideas of their power-hungry leaders. In some ways, they are still servants and products of the social system against which they rebel. If and when they succeed in overthrowing the

social order, the new system they set up may in some ways be as rigid and unjust as the old system it replaces. For all this, the fanatic is closer to critical awareness than someone in the naive stage and, if given the right short cut, may reach it sooner.

In truth, of course, no one is wholly at one stage of awareness or another. Many of us are fatalistic about some things, naive about others, critically aware about others – and at times a bit fanatic. Still, to reflect on these stages can be useful.

### HELPING PEOPLE DEVELOP CRITICAL AWARENESS

Many leaders for social change feel that critical awareness is not only necessary for community development, but that it should be the primary goal of development. Only when people understand the human causes of their misfortunes and recognize their own capacity for positive action, will important changes take place.

There are various ways to help people become aware of their own ability to understand and change the situation in which they live. These include using teaching methods and aids that help persons learn through exploration, discovery and practice in solving real-life problems. (Most of the methods and ideas in this book are aimed at helping develop critical awareness.)

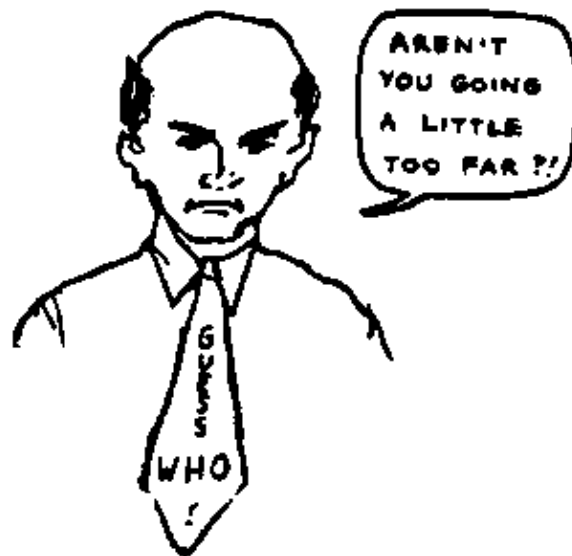
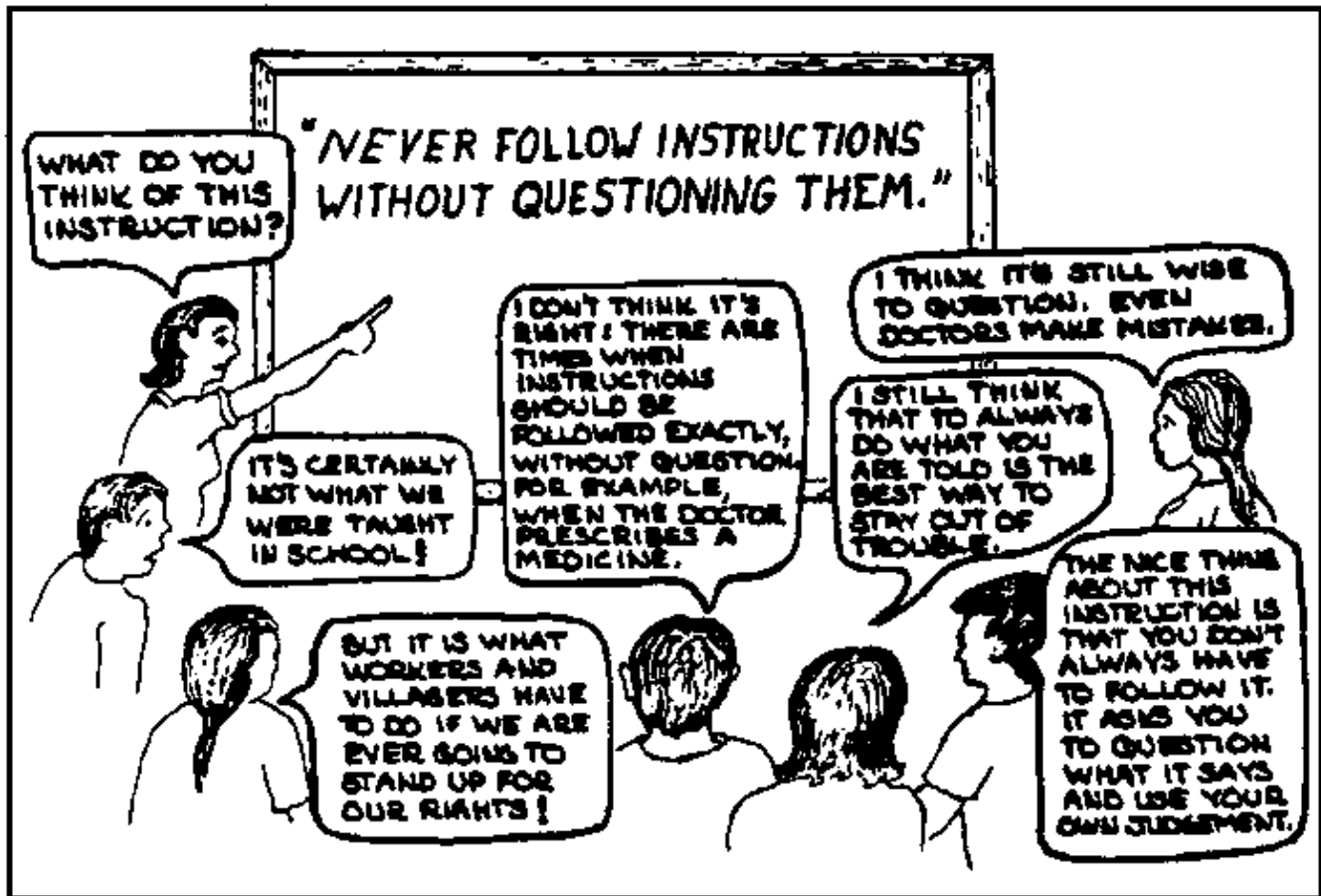
But the most important thing is for instructors or group leaders to treat people as equals, respect their ideas, and encourage them to question and criticize openly.



**Teaching methods either block or help build a person's ability to observe and find answers for herself.**

Teaching methods either block or help build a person's ability to observe and find answers for herself.

To have critical awareness means to question – to doubt things that are often simply accepted. Development of such awareness in yourself and others is an important step in working toward a healthier situation for the poor.



Whether the above instruction is acceptable or not will depend on your point of view.  
 What do you think?  
 What do your students think?

### PAULO FREIRE'S METHOD OF CONSCIENTIZATION

Awareness raising – or **conscientization**, as Freire calls the development of critical awareness

– is an open-ended learning process carried out through 'group dialogue'. A group of persons comes together to discuss and try to solve problems they have in common.

This is different from most educational situations, because the questions that are raised during the group dialogues have **no predetermined answers**. There is **no 'expert'** who has the answers and whose job it is to pass his knowledge on to others. Instead, the persons in the group search for better understanding of the

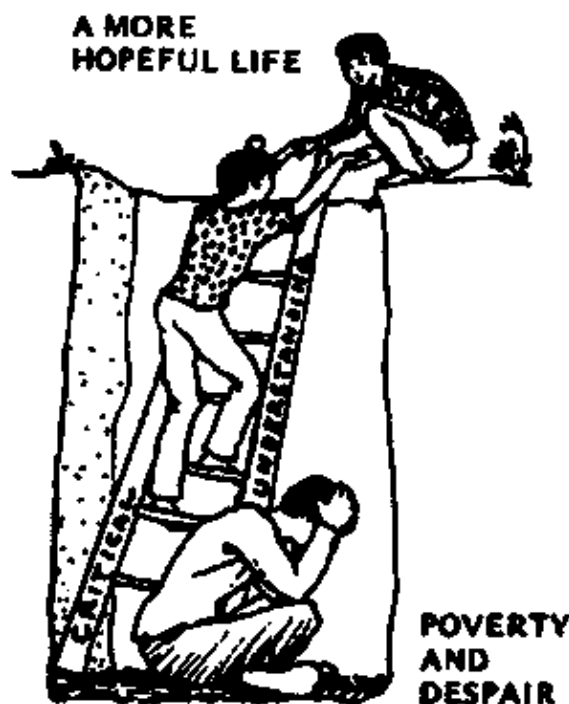
problems they face together. **Each person's experiences and views have equal value.** Everyone takes part in looking at the problems and searching for solutions.

The person who acts as group leader or **facilitator** (whether an instructor of health workers, or a health worker leading a group in her community) needs to keep in mind that her role is not to lecture. In fact, the leader tries to avoid giving her own opinions. Otherwise, persons may simply say "yes" to whatever the leader says.

At the start of a discussion, the role of the group leader is to...

- encourage all persons to take an active part,
- assure them that they are among friends and are free to speak their own thoughts,
- advise them to listen carefully, and avoid interrupting each other, and
- warn them not to simply accept what another person says, but to think about it carefully, or *analyse* it.

It is essential that the group leader genuinely feel that all persons in the group have their own knowledge and valid points of view. That way, everyone can learn from each other. The line between 'teacher' and 'student' is broken. The leader becomes a 'teacher/learner'. Each participant becomes a 'learner/teacher'.



**The leader's role is mainly one of asking questions. These should be questions that help the group see the world around them as a situation that challenges them to change it – not as something unchangeable and beyond their control.**

Helping people to realize that they have within themselves the capacity to understand and change their situation is not easy. This is especially true with persons who have learned to silently endure their misfortune and who accept society's view of themselves as powerless, ignorant, and hopeless (see Magic awareness). But these are the persons for whom a more critical understanding of their situation can be the ladder toward a healthier life.

The group discussion has three objectives, each opening the way to the next:

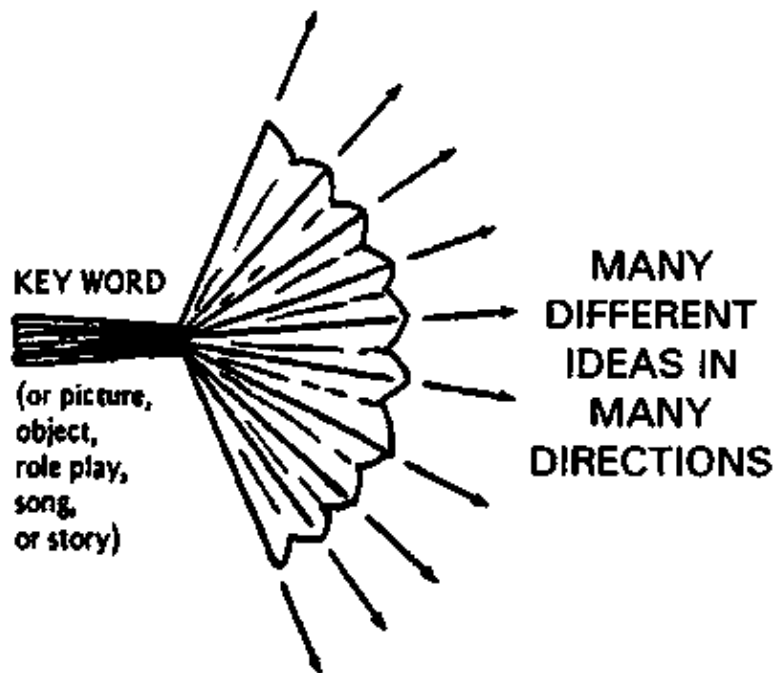
1. To help awaken people to their **personal worth** and potential **group strength**; to help them gain confidence in themselves as thinking, active, capable human beings.
2. To help people **examine, analyze, and take action** to change their situation.
3. To help them obtain the tools and skills they need in order to take charge of their health and lives.

## The use of key words and pictures



In order to help persons look more closely at themselves and their world, Freire found it useful to **start each discussion by having everyone look carefully at a specific word, thing, or situation**. Careful study needs to be done in advance to choose words, pictures, objects, or stories that have key significance to the particular group.

The key word or picture is used to 'spark' the members of the group to discuss themselves, their situation, their abilities, and their problems. Often a single word or picture will touch off a 1- or 2-hour discussion.



The key word or picture is like a fan, because it opens the way to discussion in many new directions.

It produces many new words, new pictures, and new observations in people's minds.

The group leader does not know ahead of time where the discussion will lead.

In this chapter we often speak of key words, objects, or stories as **discussion starters**.

Awareness-raising discussions sparked by key words, pictures, or stories can be used when teaching almost any basic skill: literacy, health, nutrition, agriculture, etc. The number of key words or pictures used and the number of times the group meets will depend in part on what skill is being learned.

### Linking awareness development to the learning of practical skills

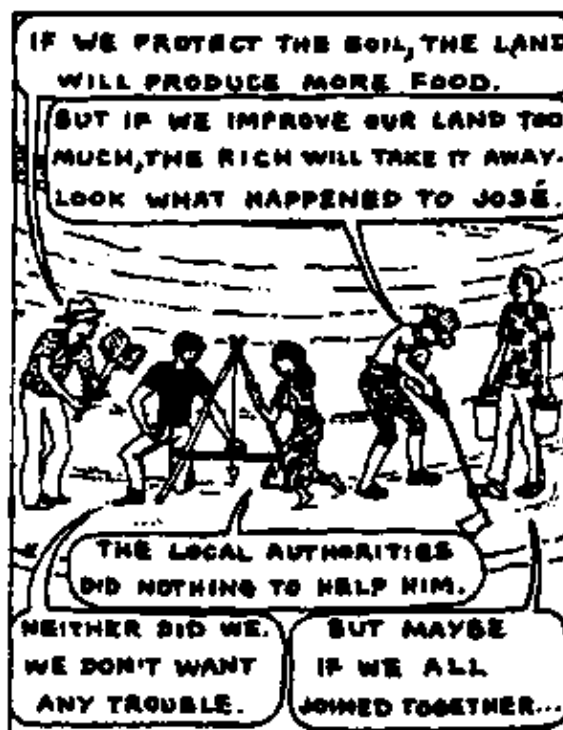
Paulo Freire first developed his methods of 'conscientization' as part of an effort to help Brazilian farm people learn how to read and write. Thus, education for the development of critical awareness was linked from the first with the learning of skills that made the poor more equal to the rich.

This linkage may be a key to success in the use of Freire's methods. In fact, many people who have tried to separate consciousness raising from the learning of practical skills have had serious difficulties. Freire himself, when he began to work in Chile after his exile from Brazil, found that people quickly grew impatient with the consciousness-raising dialogues unless they were combined, from the first, with literacy training. People had not come to 'raise their consciousness', but to learn how to read and write!

**To be most effective, educational methods that increase self-confidence and social awareness should be built into all aspects of training programs and community activities.**

Unfortunately, some training programs separate the development of awareness from the learning of practical skills. Instructors may hold special 'consciousness-raising' sessions based on group dialogue, but use conventional lectures for teaching about health. This is a big mistake. It would be more effective to forget the special sessions but to use awareness-building methods throughout all aspects of training.

This does not mean that 'consciousness raising' should be continually talked about. In some places, it may be wise not to talk about it at all. Rather it means that we should **look for ways to combine awareness-raising discussions with other study and activity**. This we have tried to do throughout this book.



*Development of critical awareness is more 'down to earth' when combined with learning practical skills, or working.*

#### FREIRE'S METHOD IN LITERACY PROGRAMS

In the 1960's, Paulo Freire's program in Brazil became famous because of its quick results: people were learning to read and write in just 6 weeks! Freire's main contribution to literacy training is not speed, however. People learned quickly to read and write, but more important, they discovered their own ability to change the conditions that keep them poor.

We have warned against separating 'consciousness raising' from skills training, but the reverse is also true. Some programs have attempted to use Freire's literacy technique without discussing poverty or injustice. But in such programs, the students do not learn to read and write nearly as well. Freire was aware that the difficult task for his students was not learning the alphabet or recognizing words, but **overcoming the feeling that they were too ignorant to learn**. For these poor farmers, written words were part of the rich man's world, something beyond their reach.

This is Freire's starting point: getting people to take possession of words. Before the first class meeting, the instructors visit the village, getting to know the people and their way of life. Then, together with a small group of local people who will be in the class, they choose a short list of words that are central to the lives of the villagers. Words like **hunger, school, landlord, and vote** may be chosen for their ability to spark discussions in many directions (see the fan on page [119]). The words are also chosen so that every letter in the alphabet is included.

Usually a drawing or a photograph representing a word is shown before people see the word itself. The group discusses each word for a long time before they ever see how it is written. The drawings and photos are carefully chosen to represent a setting similar to, but not exactly the same as, the learners' village. That way, the people can safely discuss the problems of this 'nearby village' without feeling too threatened by criticism of their own lives. Later, when the consciousness of the group is greater, they will feel more secure about discussing their own problems, because they will know that they can change much of what they do not like.

When the learners finally see a word in print, it is not frightening, because **it has become their word**. In this way, the words on a page do not dominate the reader. Readers take control and put words in the order they choose. The action of writing sentences of their own creation is an important part of the conscientization process.

In conscientization, people do not simply discuss their lives. They think and then act to make changes where they are needed. Thus, **reading and writing become tools they can use, instead of weapons to be used against them**.

*Reprinted from:*

Werner, D.B. and Bower, B.L. **Helping Health Workers Learn** 1988. Hesperian Foundation, Palo Alto, California.

## **Appendix J: Paulo Freire's Work on Critical Awareness**

Paulo Freire provides us with both a philosophy of education and development, and a very practical method of:

- getting groups actively involved,
- breaking through apathy, and
- developing critical awareness of the causes of problems.

Freire is certainly one of the seminal thinkers of our time. The program is based on his insights into:

- the different levels of consciousness,
- the direct link between emotion and motivation to act,
- the importance of having the participants themselves choose the content of their education rather than having 'experts' develop curricula for them, and
- the fact that all real liberation and development must rise from the grassroots up.

Transformation is not something that one person can do for somebody else.

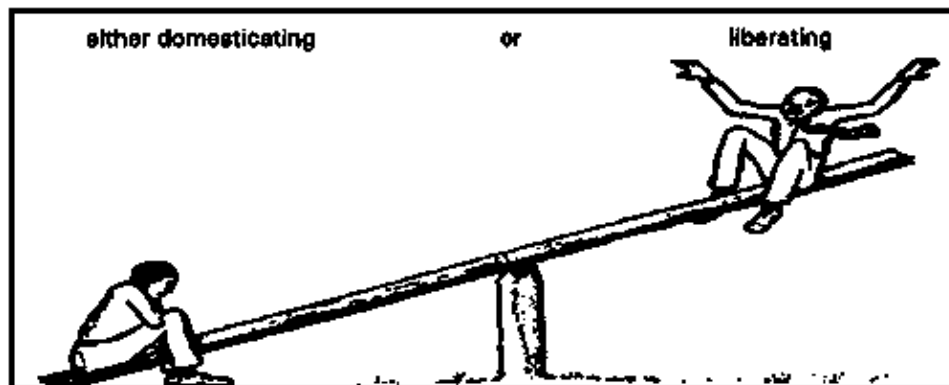
All these insights have helped turn education and development programs upside down in the last [thirty] years.

## KEY PRINCIPLES OF FREIRE

### a. No education is ever neutral

Education is either designed to maintain the existing situation, imposing on the people the values and culture of the dominant class (i.e. domesticating people, as one tames an animal to obey its master's will) or education is designed to liberate people, helping them to become critical, creative, free, active and responsible members of society.

As seen in this diagram, education is



### b. Relevance – issues of importance NOW to participants

People will act on the issues on which they have strong feelings. There is a close link between emotion and motivation to act. All education and development projects should start by identifying the issues which the local people speak about with excitement, hope, fear, anxiety or anger.

A survey team needs to listen to these 'generative themes', or hot issues, in order to tap the energy of the community [...].

The role of the educator is to present to the people in a challenging form, the issues they themselves have raised in a confused form. – Mao Tse Tung

### c. Problem-posing

From the beginning all participants are recognized as thinking, creative people with the capacity for action. The aim of the animator is to help them identify the aspects of their lives which they wish to change, to identify the problems, find the root causes of these problems, and work out practical ways in which they can set about changing the situation. The whole of education and development is seen as a common search for solutions to problems.

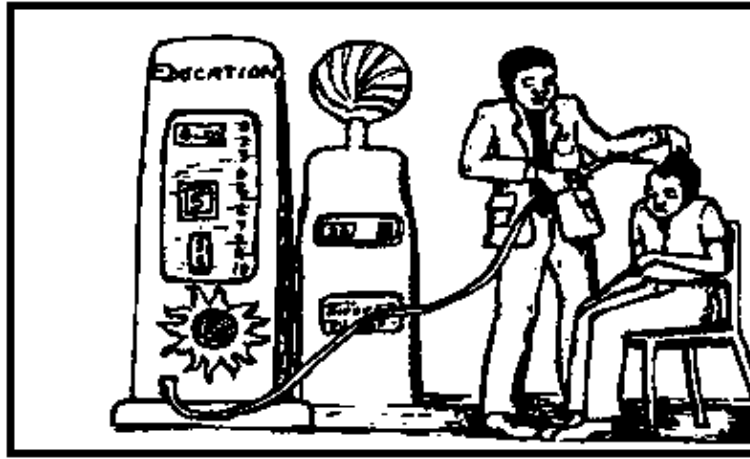
This can be contrasted with the old 'banking approach' to education based on transmission of information from teacher to pupil.

#### Banking approach

- Teacher seen as possessing all essential information.
- Pupils seen as empty vessels' needing to be filled with knowledge.
- Teacher talks.
- Pupils absorb passively.

#### Problem posing approach

- Animator provides a frame-work for thinking, creative, active participants to consider a common problem and find solutions.
- Animator raises questions: why, how, who?
- Participants are active, describing, analysing, suggesting, deciding, planning.



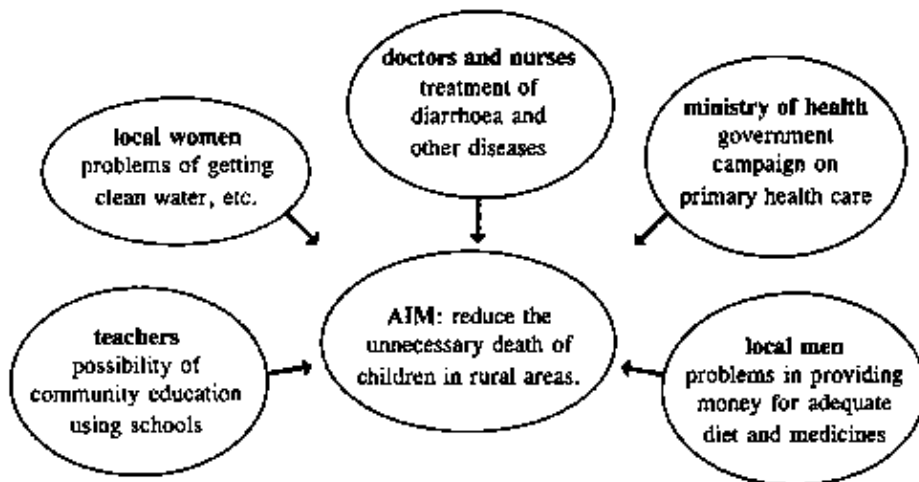
"Problem posing education is prophetic, and as such is hopeful, corresponding to the historical nature of human beings. It affirms people as beings who transcend themselves, who move forward and look ahead,... for whom looking at the past must only be a means of understanding more clearly what and who they are, so that they can more wisely build the future."

Paulo Freire,  
**Pedagogy of the Oppressed, p 57**

**d. Dialogue**

The challenge to build a just, egalitarian socialist society is very complex. No individual knows exactly how to it. No one has all the answers, and no one is totally ignorant. Each person has different perceptions based on their own experience. The so-called 'educated' have a lot to learn from the people since we have been trained mainly through the institutions of the dominant class. To discover valid solutions everyone needs to be both a learner and a teacher. Education must be a mutual learning process.

The role of the animator is to set up a situation in which genuine dialogue can take place – a real learning community where each shares their experience, – listens to, and learns from, the others.



"Some of the dominant class join the oppressed in their struggle for liberation. Theirs is a fundamental role and has been so throughout the history of this struggle. However as they move to the side of the exploited they almost always bring with them the marks of their origin. Their prejudices include a lack of confidence in the people's ability to think, to want, and to know. So they run the risk of falling into a type of generosity as harmful as that of the oppressors. Though they truly desire to transform the unjust order, they believe that they must be the executors of the transformation.

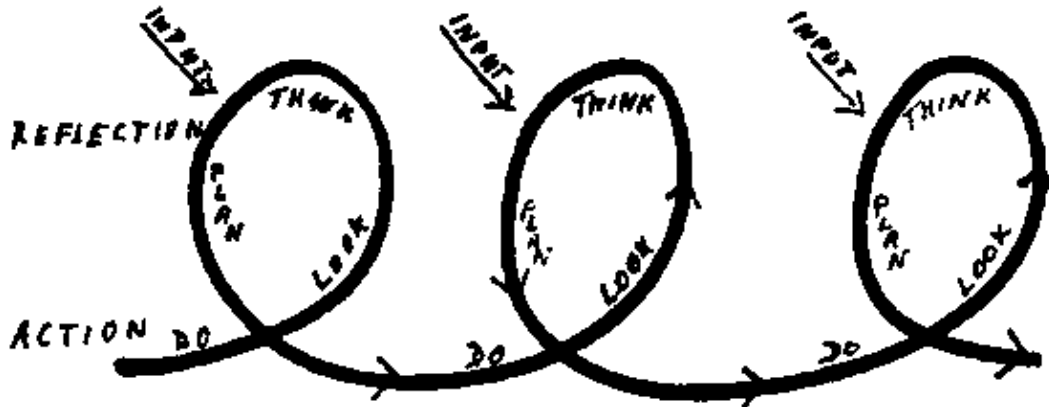
They talk about the people but they do not trust them; and trusting the people is the indispensable precondition for revolutionary change. A real humanist can be identified more by his trust in the people, which engages him in their struggle, than by a thousand actions in their favour, without that trust." "To substitute monologues, slogans, and communiques for dialogue is to try to liberate the oppressed with the

instruments of domestication."

Paulo Freire,  
**Pedagogy of the Oppressed, pp 36, 41**

#### e. Reflection and action (praxis)

Most real learning and radical change takes place when a community experiences dissatisfaction with some aspect of their present life. An animator can provide a situation in which they can stop, reflect critically upon what they are doing, identify any new information or skills that they need, get this information and training, and then plan action. Often the first plan of action will solve some aspects of the problem, but not deal deeply enough with the root causes of the problem. By setting a regular cycle of reflection and action in which a group is constantly celebrating their successes, and analysing critically the causes of mistakes and failures, they can become more and more capable of effectively transforming their daily life.



"At all stages of their liberation, the oppressed must see themselves as people engaged in the vocation of becoming more fully human. Reflection and action become essential. True reflection leads to action but that action will only be a genuine praxis if there is critical reflection on its consequences. To achieve this praxis it is necessary to trust in the oppressed and their ability to reason. Whoever lacks this trust will fail to bring about, or will abandon, dialogue, reflection and communication, and will fall into using slogans, communiques, monologues and instructions. Superficial conversions to the cause of liberation carry this danger."

"While no-one liberates themselves by their own efforts alone, neither are they liberated by others. The leaders must realise that their own conviction of the need for struggle was not given to them by anyone else – if it is authentic. This conviction cannot be packaged and sold; it is reached by means of a totality of reflection and action. Only the leaders' involvement in a real historical situation leads them to criticise it and to wish to change it."

Paulo Freire,  
**Pedagogy of the Oppressed, pp 41–42**

#### f. Radical transformation of life in local communities and the whole society.

This type of education aims to involve whole communities actively in transforming

- the quality of each person's life,
- the environment,
- the community,
- the whole society.

It is not an individualistic academic exercise, but a dynamic process in which education and development are totally interwoven. It recognises that each person has a contribution to make in building the new society, and tries to help each person and each community become more and more capable of, and committed to, the service of the people and national transformation.

**No matter how long the night, the day is sure to come.**

– Congo proverb

Transformation is only valid if it is carried out with the people, not for them....

Liberation is like a childbirth, and a painful one. The person who emerges is a new person, no longer oppressor or oppressed, but a person in the process of achieving freedom....

It is only the oppressed who, by freeing themselves, can free their oppressors.

Paulo Freire

**Pedagogy of the Oppressed, pp 43, 25, 32**

**The age of nations is past.**

**The task before us now.**

**If we would not perish,**

**is to shake off our ancient prejudices and to build the earth.**

Teilhard de Chardin

**Building the Earth, p 42**

### STEPS IN APPLYING THIS METHOD

These key principles can be worked out practically in a variety of ways. The following describes how they can be applied in preparing an integrated development adult education program.

Many educators and development workers have wrestled with the problem of apathy and fatalism in the groups they wished to reach. This method has been developed in the course of a serious attempt to understand and overcome the root causes of these problems, both in rural and 'poor' urban communities. It therefore starts with a survey of the community for which the program is being planned.

**Survey** (developing a program on issues of the community)

As the survey is one of the most important parts of the whole process, it is important that it be done by a perceptive and sensitive team.

The survey is not approached like traditional surveys in which the research workers decide beforehand which facts they are going to find out about and work from very precise questionnaires, etc. In this approach, the team listens primarily to unstructured conversations, in which the people feel relaxed and talk about the things that they are most concerned about. It can be called a listening survey.

The listening situations should be places where the team members themselves will feel unselfconscious. Where possible it is good to let the people know that the team is preparing materials for a particular program and get their full and conscious co-operation. Places like markets, buses, washing areas, bars, etc. can be places where a team can listen easily. (See chapter 2 [of Training for Transformation Book 1] for details on how to do a survey.)

**Analysis of survey material**

The next step is to take the information from the survey and look at it critically. What are people speaking about with strong feelings? Are the issues mainly dealing with problems of subsistence, decision-making or values? Where will action most likely come from? What will most effectively motivate people? In chapters 2 and 9 [of Training for Transformation Book 1] there are a number of helpful tools for analysing the information from the surveys.



### **Preparation of problem-posing materials**

The team then prepares a series of 'codes' or problem-posing materials to stimulate discussion in the learning groups. These codes can be pictures, posters, slides, short stories, mimes, plays or songs. They should present a scene showing a concrete experience of one of the themes chosen, in such a way that it would be familiar to many of the participants.

Through the use of contrasts, related cause and effect, tension points, etc. the code itself should raise questions in the mind of the participants, and stimulate them to think of different possibilities.

The better the code, the more the participants will discover for themselves, and the less the animator will have to 'tell' them the answers.

Most of the success of this program depends on:

- a. whether the themes chosen really are the most important preoccupations of the community, and
- b. whether the codes really do raise questions about familiar situations in the participants' own lives.

Chapters 2 and 3 [of Training for Transformation Book 1] explain in detail this process.

### **The learning group**

The creation of a good learning situation, taking into account the psychological needs of the adult learner, is vital. Each person should have an opportunity to take an active part in the discussion.

Critical awareness means that people must be allowed to speak their own words. Speaking for other people or making them speak your words, does not promote critical thinking. It is often very threatening to accept new ideas and one's first reaction is to resist them. People need to be allowed to express this resistance, as this often makes them freer to accept the ideas later. Mistakes should not be mocked, but expected and used as the basis for further learning. But developing this atmosphere of learning takes new skills on the part of the group leader. These are described in detail in chapters 4, 5 and 6 [of Training for Transformation Book 1].

### **The role of the animator**

The animator's main work is to help the participants to 'unveil' their situation. They will remember much better what they have said and discovered for themselves, than what the 'teacher' has told them. Therefore the animator should not talk much, but should encourage discussion in the group, through asking the right

questions. No one is ever completely ignorant, and no one ever has all the answers.

The animator needs to summarise when necessary and build on the contributions of the participants, once they have investigated the problems as deeply as they are able, and learnt all they can from one another.

The animator has a very important role to play in setting a good learning climate. (S)he needs group leadership skills so that (s)he is sensitive to the dynamics in the group, can draw in the shy people and prevent the talkative ones from dominating. Training for animators to develop these skills is found particularly in chapter 6 [of Training for Transformation Book 1].

### **The direction of the discussion**

Once the group has settled down and a friendly learning atmosphere has developed, the animator presents the code (picture, story, play, etc.) to the group. Six basic steps form the framework for the discussion:

- description
- first analysis
- related to real life
- deeper analysis
- self-reliant action planning.



This whole process develops in the group a critical awareness of their own situation and stimulates the search for solutions to their own problems. This is the basis of 'conscientisation'.

See chapter 3 [of Training for Transformation Book 1] for the practical ways to do this process.

### **Reflection – Action**

Whenever a group is able to suggest something concrete that they can do about one of their problems, the animator encourages the action, participates as fully as possible in it, and helps the group to evaluate it together afterwards. All sorts of self-reliant projects such as credit unions, water projects, co-operatives, etc. have arisen out of this approach to adult education and development.

But the projects are not ends in themselves. They are the beginning of the process for critical awareness and always need to be seen in this light. See chapter 3 [of Training for Transformation Book 1] which elaborates this process. Chapters 7 and 8 [of Training for Transformation Book 1] include helpful tools for planning, decision-making and evaluation which are needed skills in making ideas become concrete.

### **Literacy projects**

Paulo Freire became famous for bringing together the process of developing critical awareness and literacy. Literacy teaching is linked to the reflection and action discussions by using a series of 25 to 35 keywords, very closely related to the generative themes, which cover between them all the sounds in the language. From the 'families of syllables' the literacy participants can build their own words and thus learn reading and writing through a process of discovery. This process is described fully in chapter 4 [of Training for Transformation Book 1].

*Reprinted with permission of the publishers from:*

Hope, A. and Timmel, S. ***Training for Transformation, Book 1*** 1992. Mambo Press, Gweru, Zimbabwe.

## **Appendix K: The Market of Toffo (Bénin)**

**(Adapted from a report by Sanogo Seni)**

The community of Toffo in Southern Benin has a night market. The tradition of this market is so old that people do not know any more why there is only a market during the night. It lies in the middle of the village, and it is protected by a market god whose shrine is located next to the main entrance. The locals feel that ancestors rarely did anything without a good reason, and thus the night market practice is continued. Traditional priests of the area know that a market is not only a place for buying and selling goods; it has always been connected with the chief hearing complaints and providing judgement in cases where village life has been disturbed through actions of individuals. The market is also a meeting place, in which news is exchanged and the local authorities can be contacted without formality. Local herbalists and soothsayers also offer their wares and services at the market.

The night market had lately become crowded; vendors and buyers were careless, and early in the evening already the market was dirty. Radios created a lot of noise and people having to work during the day felt considerably disturbed. Though market vendors have good contacts with each other, pickpockets used the market as a hunting ground. The once beautiful community of Toffo started losing its sheen; careless handling of water, of food remains, of rotten fruits and vegetables attracted mosquitoes and gnats.

Local officials, most of them not from Toffo, decided to move the market to a place at some distance from the village; but the elders of the community did not think that the sacred place, which the market traditionally had been, could be removed without the consent of the market god and the ancestral spirits. The Toffo population, caught between traditional beliefs and the wish for a cleaner and safer shopping area, started to frequent another market in a neighbouring village, Adjaho, during the daytime, and met at the Toffo night market as before, but with less buying power. The security forces started blocking the road to Adjaho and chasing away buyers and sellers at the night market, but did not achieve popularising a new Toffo daytime market.

A community worker, attached to a youth self-help group, noticed the problems and discussed them not only with his host group, but also with other self-help groups and with the authorities, including traditional elders. He learned that certain rites had to be conducted through which the ancestral spirits could express themselves and agree to two issues – the establishment of a day market and the move of the market to the newly designated area.

The community worker discussed the issue with a number of groups: women's groups, a farmers' group, a group of local vendors, a group of Muslim traders, a Christian parish group. His main point was that Toffo had grown considerably, and that the small village square no longer provided room enough for all the trading and communicating activities. Seven of the groups contacted started to accept the idea of the new market, provided the whole village, including its elders, agreed to it.

A small delegation requested an audience with the village elders. The delegation underlined, when talking of the initiative for the new daytime market, that they did not want to offend sacred customs, but simply had the impression that Toffo had grown with the blessings of the ancestors and that a consequence of the growth would be to relocate and reorganise market activities. The elders, after lengthy discussions among themselves, finally agreed to conduct rituals in favour of shifting the market. The groups involved took it upon themselves to discuss the issue with all villagers and to expose it finally at a village assembly, where everybody agreed to the shift. A date was set for the rites, which according to the elders resulted in the consent of the ancestors too.

Today the new market flourishes and is still expanding. As it takes place during daytime, new vendors and new customers have arrived, and the local self-help groups have ample room to display what they produce. Knowing and respecting traditional knowledge has paved the way to introducing new practices and a new awareness; the turning point in bringing opposing views to a joint action was the cooperation between different self-help groups which saw themselves as dynamic parts of the community.

*Reprinted from:*

Weyers, H. ***Participatory Training for Development: Community Learning*** 1998. Out of Africa Publishers, Windhoek.

## **Appendix L: Critical Incident Analysis**

It is suggested to look closely at the real problem-solving processes occurring in a program. Indeed, implicit phenomena and embedded cultural practices are easier to discover when a disturbance occurs in a system, when an unforeseen problem happens. Such a situation offers a positive context to uncover and analyze the "normal" functioning of any communication and decision-making process. One can then observe how the system functions to solve the emerging difficulty. We may discover how different is the real information process from the formal evaluation system.

First, recall in your own national non-formal basic education programme two or three unforeseen events and issues that led to decision to solve the problems. (Problems related to the different dimensions of your programme. For example, attendance problem, crisis coming from the sudden absence of resources or trainers at the local level, sudden difficulties with the content of the program, unforeseen impact or lack of impact).

Second, describe briefly, for each of the two or three cases you have chosen, the problem and the decision that was taken in order to solve it.

Third, for each of the cases, describe the communication process that took place from the moment the problem was raised to the time a decision was taken and implemented:

- How the problem was raised at the beginning? Who has produced and passed on the relevant information? How it was conveyed? To whom?
- What information was used to look at the situation, to make a diagnosis, explore alternatives, take a decision and follow up?
- Did you get information on the feelings and understanding of the participants regarding the problem? If yes how? If not why?
- How the needed information was gathered to understand the situation and to find a solution? Who has produced what kind of information? Who has used it?
- Did you lack some crucial information and if so, how did you try to obtain it?

Fourth, through these two or three examples, describe what is the real flow (or pattern) of information in your program (the way descriptive and evaluative information is produced and used) when a crisis happens?

Fifth, in these two or three cases, what concrete input was received from the evaluation services and sources in these cases? Were the monitoring procedures and evaluation facilities adapted to tackle the issues? How good are the present M & E procedures at communicating what is happening with the programme at the local level?

## **Conclusion**

Our approach is akin to a vision of evaluation as an integrated and built-in process of any educational strategy, that is an open built-in feedback process at the disposal of all actors offering them the information needed at the right moment to tender the learning conditions and programs responsive to the social demand.

*Reprinted from DSE workshop materials.*

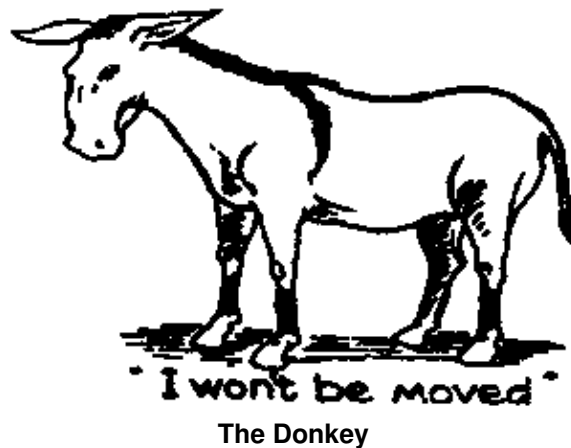
## Appendix M: Unhelpful Behaviour in a Group: Animal Codes

We all delight in hearing we have been helpful in a group, but it is hard to face honestly the fact that some of our behaviour has not been helpful. This exercise uses humour to make this easier.

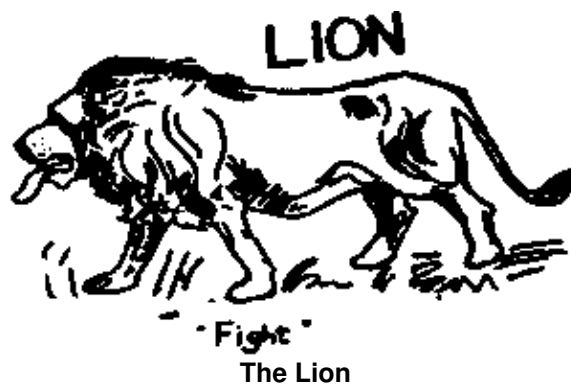
It should only be used after a group has been together for some time and when hard work in groups has broken down the first politeness, and participants have shown some of their characteristic reactions in time of stress.

### Procedure

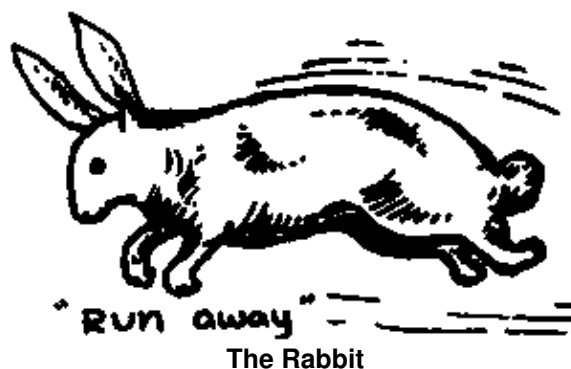
- 1) The animator explains that we need to look at the negative as well as the positive side if we are to improve our leadership skills. Animals show in a very clear way some kinds of human behaviour.
- 2) The animator(s) describe with actions, gestures and humour each type of behaviour, and then they put up a picture of the animal described.



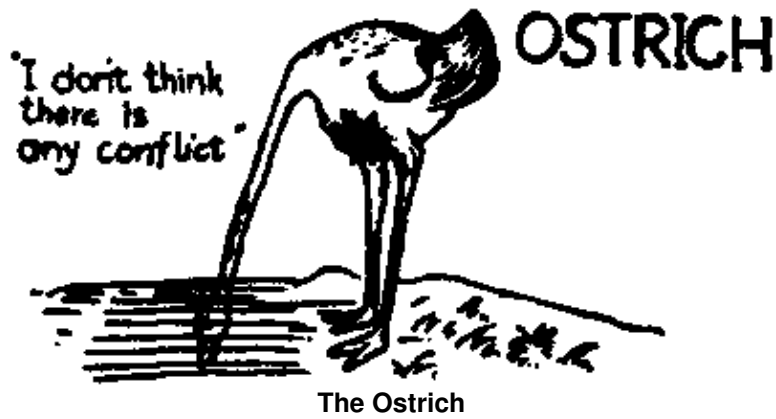
who is very stubborn, will not change his/her point of view.



who gets in and fights whenever others disagree with his/her plans or interfere with her or his desires.



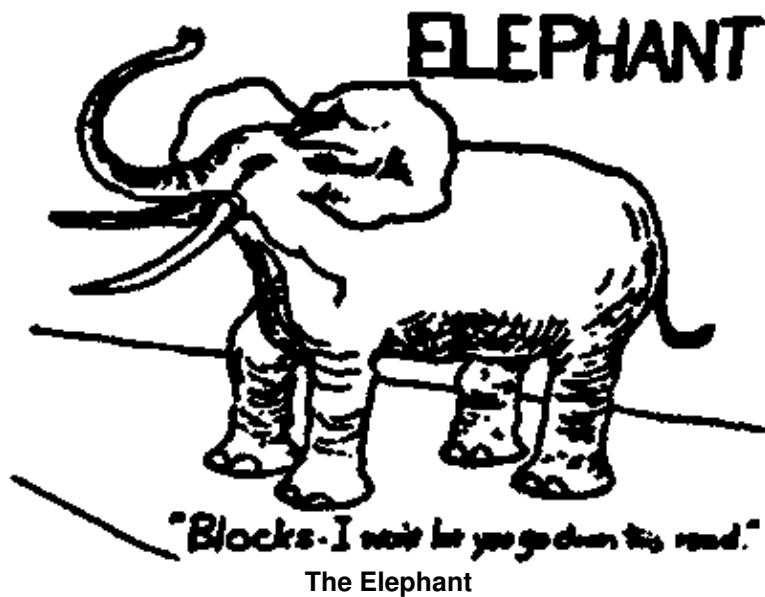
who runs away as soon as (s)he senses tension, conflict or an unpleasant job. This may mean quickly switching to another topic. (Flight Behaviour)



who buries his or her head in the sand and refuses to face reality or admit there is any problem at all.



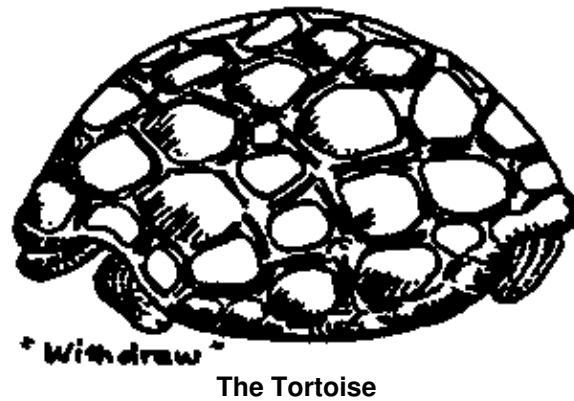
who fools around, chatters a lot and prevents the group from concentrating on any serious business.



who simply blocks the way, and stubbornly prevents the group from continuing along the road to their desired goal.



who looks down on the others, and the program in general, feeling, 'I am above all this childish nonsense.'



who withdraws from the group, refusing to give his or her ideas or opinions.



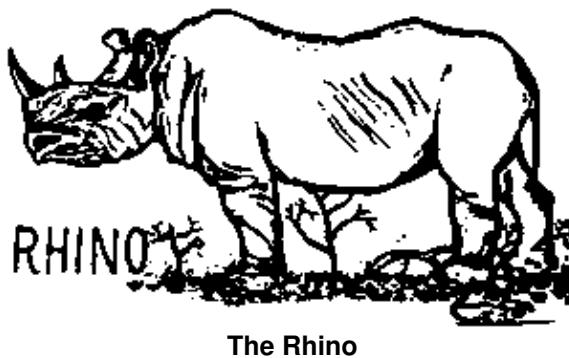
who is always looking for sympathy. 'It is so difficult for me... miauw...



who is always showing off, competing for attention. 'See what a fine fellow I am!'



who hides in the grass and strikes unexpectedly.



who charges around 'putting her/his foot in it', and upsetting people unnecessarily.



The Owl

who looks very solemn and pretends to be very wise, always talking in long words and complicated sentences.



The Mouse

who is too timid to speak up on any subject.



The Frog

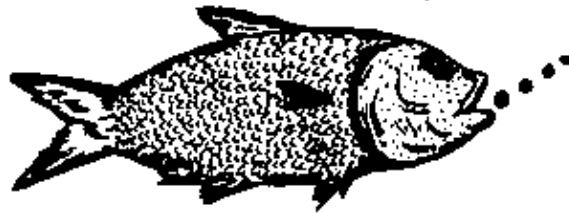
who croaks on and on about the same subject in a monotonous voice.



The Hippo

who sleeps all the time, and never puts up his head except to yawn.

Gloop Gloop



The Fish

who sits there with a cold glassy stare, not responding to anyone or anything.



The Chameleon

who changes colour according to the people she is with. She'll say one thing to this group and something else to another.

3) After each animal has been explained and the pictures put up, the participants are asked to find a partner with whom they feel at home and discuss:

'If and when they have behaved like any one of these animals during the workshop?'

4) Later these animals provide the group with a helpful vocabulary for giving feedback to one another. This should not be imposed upon people but only given if it is requested.

**Time** About 45 minutes.

**Material** Pictures of animals.

*Reprinted with permission of the publishers from:*

Hope, A. and Timmel, S. **Training for Transformation, Book 2** 1992. Mambo Press, Gweru, Zimbabwe.

## Appendix N: How to Approach a Community

One of the key questions in community development is 'How much do the leaders believe the people's own insight into their own problems?' The following code (play) is useful to stimulate discussion on this. As this is a basic principle in understanding and using this Method for Critical Awareness, make sure you have enough time to discuss this question fully. The play takes 10 players who need to practice the play ahead of time. The two Community Development Officers (C.D.O.'s) need to be very clear about their roles.

### C.D.O. Play

**Scene 1:** Four villagers are sitting waiting for a meeting to begin. The CDO comes in and greets each person (but is not very friendly). (S)he asks each person how they are and they each speak of a different problem which they are struggling with: unemployment, a house falling down, a drunken husband, no water, etc.) The CDO hardly listens to these complaints. (S)he is a busy person wanting to get work done. The CDO sits (facing the audience) and opens the meeting. (S)he has come this day to say that this village needs a clinic.

There is money from the government but the village needs to collect money as well. The CDO tells each person what they must do to organise a fund-raising day; one is to collect chickens, others must call a meeting for Saturday, etc. The CDO is dominating and authoritarian. During this meeting, each member of the village group becomes more passive. One gets sleepy, one looks out of the window. One begins to argue with the CDO, but gives up very quickly. One walks out of the room. The animator stops the play when the point is made.



**Scene 2:** This is another village and four villagers are waiting for a meeting to begin. The CDO comes in and greets each person asking how they are. Each person has a different problem and the CDO listens very carefully, questions each person a bit and says that we really need to discuss these problems in the meeting.

The CDO then sits down and begins the meeting. (S)he asks what they think is the most important thing that needs to be done in the village. One person says, they really need a football pitch. The CDO looks very surprised and questions this, remembering the other problems (s)he has heard about. Another villager supports the football pitch. Then a third villager disagrees with the football pitch and suggests a clinic. The CDO is not really convinced of the football pitch, but listens and asks questions. The original idea for the football pitch is argued by three villagers and the one against it finally decides, yes, the football pitch is a good idea. Then the CDO agrees.

The CDO then says, 'Where is the land?' Someone suggests an available piece of land; 'Who will clear it?' They all say they will get the people; the date and time is chosen by the villagers. The villagers get excited and very active during this meeting. The CDO also says (s)he will come to help. When the point is made, the play is cut.

### Discussion questions

- 1) How did the CDO behave in the first village? How did the CDO behave in the second village?
- 2) How did the villagers react in each situation?
- 3) What are the advantages and disadvantages of the approach used by each CDO?
- 4) After 6 months time, what do you think would have happened in the two different villages?
- 5) In real life, which of these approaches have we seen most often? What have been the consequences?
- 6) What approach to community development do we consider best?

### Procedure

If your group is small (about 15–20 people) one procedure for discussion is to put up the first three questions and let them discuss in groups of 3. Then move to a whole group discussion to share the answers to these

first 3 questions. Then the animator asks the other questions.

If the group is larger than 20 people, after discussing the first three questions in groups of 3, put 3 or 4 groups of 3's together (to form groups of 9 or 12 people) and ask one of the other animators to lead the discussion in the other group.

There is no need to write on newsprint, for an in-depth discussion of approaches is needed here.

## Summary

A summary from this discussion is useful. The discussion has most likely centred around whether any one person knows the needs of a community, and the need for everyone's contribution. People will often point out that the villagers are apathetic and not concerned about their problems. The difficulty is how to get the villagers involved in making decisions about their lives. This often can be a very good opening to discuss the Method of Critical Awareness.

Sometimes the group may doubt whether a community group will ever listen to each other and come to agreement on one priority for action. Here it is necessary to look at the direct link between the intensity with which an animator listens to the group members, and the way in which they listen to each other.

Another point that comes from this discussion is that no matter how much we believe in the villagers being involved in deciding their own solutions, this is not always practical because there are also government plans. The five-year plans of most countries do try to take both these approaches into account (villagers give their priorities to the District Development Office and planning is integrated into provincial and then national planning).

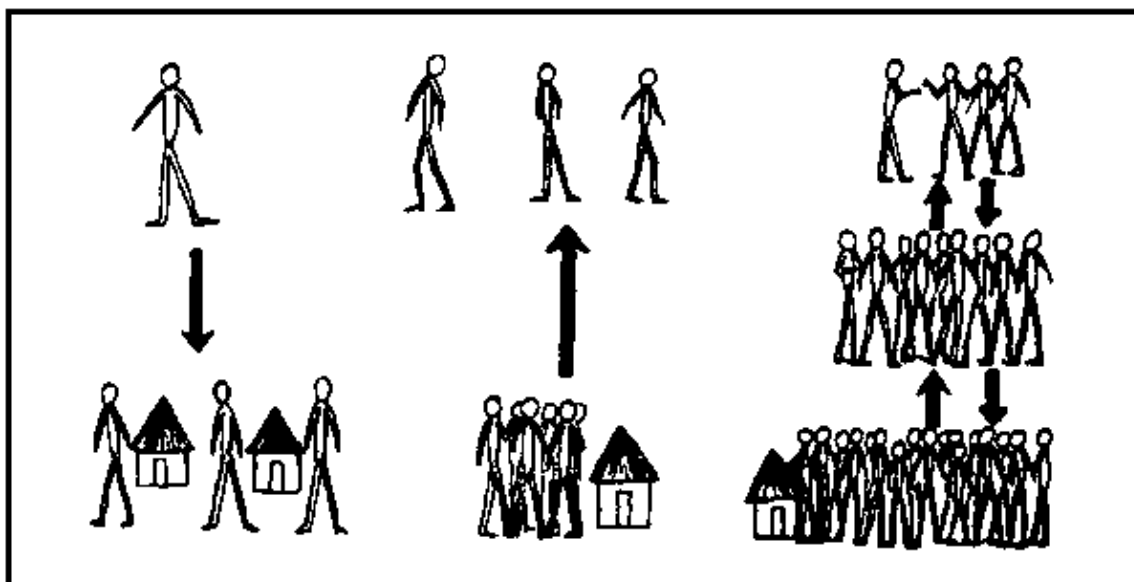
This play raises clearly the two approaches to development:

- a. from the top down, where plans are made by government, and
- b. from the bottom up, where initiative arises in the community itself.

This does not have to become a debate between the two approaches on an either/or basis, but should be an effort to work out how the advantages of each approach can be balanced and combined.

**Time:** This takes about 2 hours. The plays take about 5–8 minutes total.

**Materials:** Large name tags for the characters acting in the plays.



### This Play comes from a Real Life Experience

This exercise was developed from a real life experience in Uganda in 1959. A village had numerous problems in both the health field (all types of worms, malaria, bilharzia, no clinic) and a very poor school from which the teachers were nearly always absent. In a village meeting the people really did insist that their

top priority was to make a football field. I was appalled but the CDO very wisely encouraged the group to go ahead. They made their football field, started playing football, organised a team, played matches against other villages. The football field was turning point in the life of the village. They had gained self-confidence, a structure for communicating with one another, and a sense that they were capable of changing things, Later they tackled many other, 'more important' projects. But were they really more important? Was not their own intuition that they needed something that would build their own sense of themselves as a community, and their confidence that they could achieve their own goals, far more important than my outsider priority that they needed a clinic? This was also a turning point in my own education about how to work with communities. Later I heard many other stories of how football fields had helped deal with serious problems of teenage drinking.

**Anne Hope**

### Who Defines Community Needs?

This exercise is to help individuals see that the way they see the problems of a community might not, in fact, be the way the community itself sees its problems. It is also a useful exercise in helping people to learn to listen to others in a group. It sometimes shows that people with local life experiences (and perhaps less formal education) may have a better insight into the problems people face than those with formal education.

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Hope, A. and Timmel, S. *Training for Transformation, Book 1* 1992. Mambo Press, Gweru, Zimbabwe.

### Appendix O: Implementation Plan and Timeline

IMPLEMENTATION PLAN				
ACTION	WHO	WHEN	WHERE	RESOURCES NEEDED

IMPLEMENTATION TIMELINE												
ACTIVITIES	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

### Appendix P: Participatory Mapping and Modelling: Users' Notes

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The purposes of these notes are:

- a) to outline the main methods, enabling readers to try them for themselves;
- b) to encourage readers to adapt and develop them and invent new methods;
- c) to let readers know where they can find out more.

### **Background and Uses**

Maps and diagrams are an essential part of any planning activity. Maps are especially important in rural development projects where planning, implementation, monitoring or evaluation are required. This is especially the case when the subjects are land use, watersheds, afforestation, agricultural development etc. Increasingly in recent times, village maps showing the layout of the villages, the infrastructure and houses etc. are being used to map the household statuses of health, wealth, education and other socio-economic conditions.

Rural people are natives of the areas that we are talking about. They have been living in these areas, most times over several generations. They have a great ability to represent their surrounding accurately and diagrammatically – whether they are literate or illiterate. When given an opportunity, they are able to highlight those items that are of importance and interest to them.

In this way:

1. outsiders are able to gain much more information about a particular location or situation in a village, the village itself, its resources, its land use pattern, or watershed situation than they would otherwise;
2. outsiders also gain insights into the ways in which rural people think, their priorities, and their reasons for wanting or not wanting, for doing or not doing certain things;
3. they are also able to locate and pinpoint situations details pertaining to each house such as the presence or absence of any chronic diseases, family planning, number of children, educational status, wealth, land holdings, livestock etc.

### **Different Types of Mapping and Their Uses**

As mentioned earlier, there are two major types of maps:

- a) a village layout map showing houses and village infrastructure
- b) a village resource map showing the resources of the village such as land, soil types, land use, irrigation etc.

#### **1. Mapping on the Ground**

This is simply done by drawing on the ground by hand with a stick, with chalk on concrete, or by using [coloured] rangoli powder. Mapping on the ground:

- a) is visible to several people;
- b) can generate a good deal of discussion;
- c) can contain a lot of information;
- d) can be altered or corrected easily;
- e) can be sequentially developed if required; and
- f) can be expanded, as usually the space (ground) is unlimited.

The ground map can either be a plain one or it can be coloured with rangoli or other coloured powders to indicate various subjects such as land use: dryland, irrigated land, forest land, wasteland, housing layout etc.

Mapping on the ground has the disadvantage that it cannot be carried away unless it is copied on paper.

#### **2. Mapping on Paper**

Mapping on paper has similar uses as mapping on the ground.

a) It has an advantage over mapping on the ground in the sense that it is a record which can be carried away.

b) It is also participatory, though not as much as when mapping on the ground (this is mainly because the size of the paper is limited and offers limited space for people to gather around it and participate).

c) Another variation in mapping on paper has been the use of coloured paper, cut out in different shapes and stuck on a plain background. This method was used to map the command area of an irrigation tank in Kolar District in Karnataka, and was evolved by a farmer. It showed clearly and accurately the different plots, shapes and sizes according to layouts, ownership and survey number – this tallied with the official map of the area.

Its main disadvantage is its limited size – which does not allow for greater detail or elaboration. Mapping can be done with pencil or by using different coloured pens.

Details such as land use, layout of plots of lands, or houses in the village itself, and problem areas in each can be easily done either on ground or on paper. With village resource maps, comparisons between the past, the present and the future can be mapped. Treatment plans can also be mapped. With village infrastructure maps or social maps, extension of the map to show wealth and household assets such as land and livestock, household problems, economic status, health status, education status and so on is possible by marking on the map itself with various symbols either drawn or placed. Seeds and different coloured powder can also be used to mark specific houses/situations/problems. In this way selection of beneficiaries for different programmes and monitoring of the impact of programmes on specific families can also be done.

### **3. Modelling**

This is an advancement over mapping in the sense that it three-dimensional and shows in greater detail the features of an area such as a watershed or a tank and its command.

It has been found to be more participatory even than mapping on ground or on paper, and is a lot of fun for villagers and outsiders alike. Rangoli and other colours form an essential component of this method as do other local materials for making models of houses, people, culverts, bridges, electric lines, vehicles etc.

Modelling has been found to be very useful in land use planning, watershed planning etc. where the problems, treatments, and opportunities can be indicated on the model itself, jointly by the villagers and the outsiders. In modelling, the detail allows for a focused discussion that is easily understood by all. Models can be historical (what did the area look like 50 years ago) or futuristic (what will the area be like 20 years hence). Other variations of the theme are if we have one type of treatment. For example, planting eucalyptus, what will it look like in 20 years' time, or if we plant a mixed forest, what will it look like in 20 years' time? In either case, what will be the benefits/effects?

However, models cannot be carried away and hence would either have to be photographed or copied on slides or paper.

### **Some Practical Applications**

As mentioned earlier the mapping exercise is useful in a variety of ways. Their participatory nature makes them an extremely useful tool in understanding the situation that exists in a village or a watershed and leading from here, to planning of development programmes for that village or watershed.

Evolving from plain pictorial representations of village resources and layouts, a lot of 'hybridisations' and extensions have taken place. Some of these are listed below. The list is by no means complete, nor have we reached the limit of what is possible. Much more can be added on in terms of the methodology, content, uses and applications. And anyone can try to do it for themselves.

### **Situation Assessment**

Establishing the current status of the village and its resources.

#### **A. Village Social Mapping (see Figure 1)**

This involves asking the villagers to make a map of the current/existing situation prevailing in the village. Starting with a layout of the village, one can then move on to marking out the following:

- a) Caste distribution and location
- b) Population (no. of adults and children male and female, different age groups etc.)
- c) Health mapping: locating houses with persons having chronic ailments, malnourished children, family planning etc.
- d) Socio-economic Status: indicating distribution of landless or homeless families, small and marginal farmers, other occupations (rural artisans), local resource people, widows, etc. Wealth ranking of the village community can also be done this way.

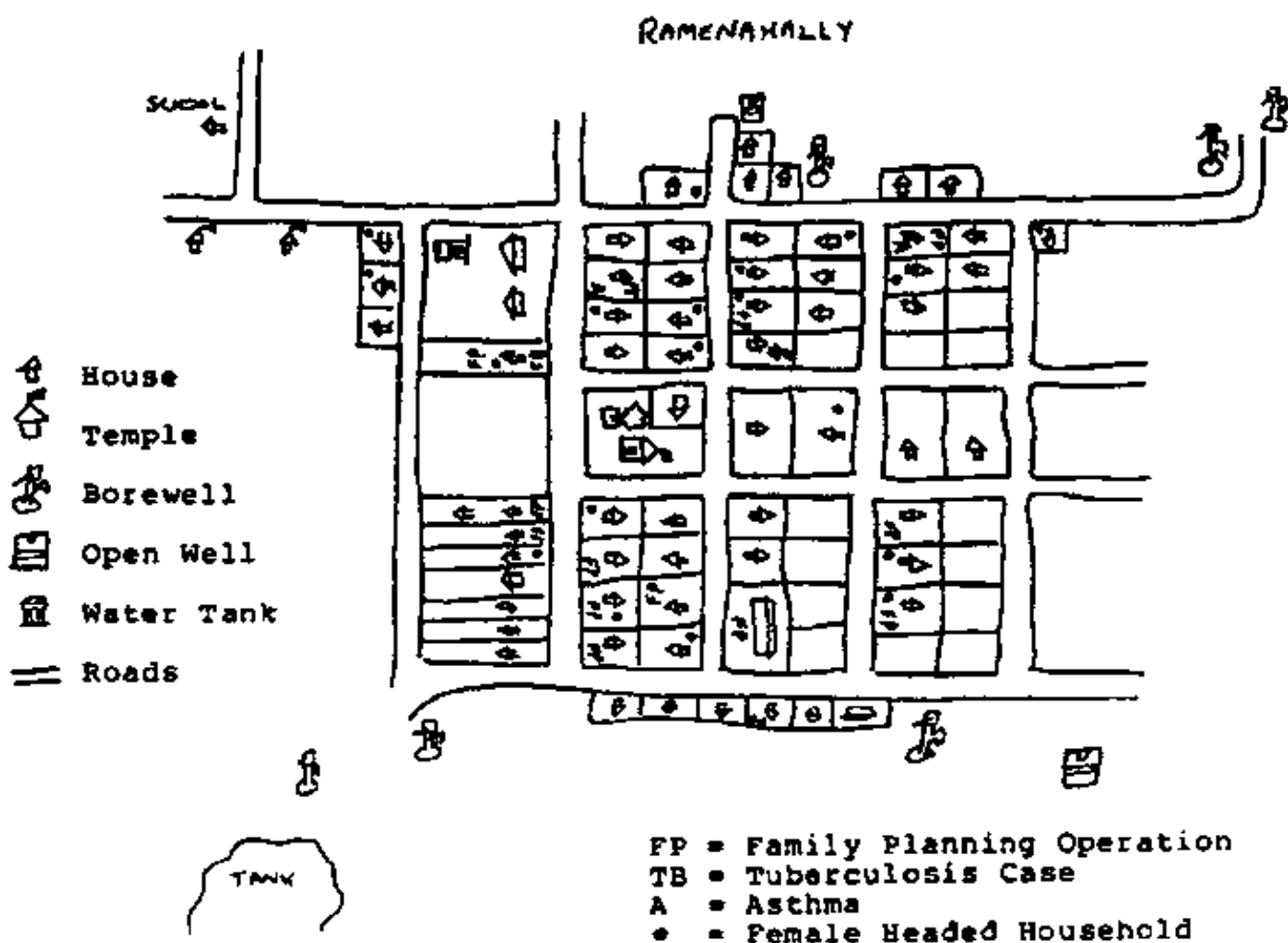


Figure 1. Social Map drawn by villagers of Ramenahally

### **B. Village/Watershed Resource Mapping (see Figure 2)**

Here the villagers are asked to make a map of the village land/watershed. This could be added on to the map of village layout (Social map). In this type of mapping, it is possible to represent the visible and invisible physical features of the village/watershed. These would include vegetation (forests, trees), land use (cultivated, uncultivated waste, grazing land, forest land, irrigated land), land ownership patterns, land productivity, cropping patterns etc.

In a recent exercise the farmers of a watershed did a 'Matrix Ranking'<sup>1</sup> of different types of soil according to various criteria such as type of crop, drainage, yield/productivity, ease of management and land value, and indicated on their map where these different types of soil occurred.

<sup>1</sup> Matrix ranking is the subject of another paper, entitled "Quantification, Scoring and Ranking". PALM series IV G. Available from MYRADA.

In the case of watershed planning, it has become customary for the different transect<sup>2</sup> groups to converge on the map/model of the watershed to represent their observations/suggestions regarding indigenous technologies, problems, solutions and opportunities on the map/model in full view of each other and the whole village, thus generating a great deal of healthy discussion, leading to more accurate and refined planning.

<sup>2</sup> Transects are described in PALM series IV entitled "Transects in PRA". Available from MYRADA.

This example indicates how various PRA exercises can be linked to one another (sequencing). It is also possible to combine methods in other ways, for example combining the social map with the village resource map ('A' with 'B') would give a more comprehensive picture of the village in its totality. One could then begin to observe how various factors begin to interact such as the trends and the impact of populations on deforestation, land use, land fragmentation, migrations etc, or the land ownership patterns in terms of various economic groups and the type of land they own, e.g. the relationship between wealth and land productivity.

An inventory of local technology is also an important component to which appropriate new techniques can be added to arrive at a 'basket of choices' from which the community chooses, based on their needs and constraints and capabilities.

### **Time Series**

Representation of either the socio-economic situation of the village community or the village watershed resources (or both) over a period of time can be obtained, and related to each other. This gives extremely interesting historic profiles/transects which help us to know what the situation was like several years ago, how it evolved, and the reasons for this evolution.

### **Participatory Village/Watershed Planning**

This has been tried extremely successfully and is emerging as a very powerful means of participatory planning<sup>3</sup> of rural development programmes. Here both villagers and 'outsiders'/ planners can sit together to discuss the village and its resources using the map as the focal point. Treatments can be marked on the map simultaneously. An advanced way of doing this exercise is to allow the villagers themselves to arrive at a development plan of which they then make a presentation to the 'outsiders'/planners. This would serve as the basis for discussion and negotiation. The plan however should include the elements of equity and appropriate technology.

<sup>3</sup> This subject "Participatory Planning using PRA Methods" is the subject of paper PALM series IV H. Available from MYRADA.

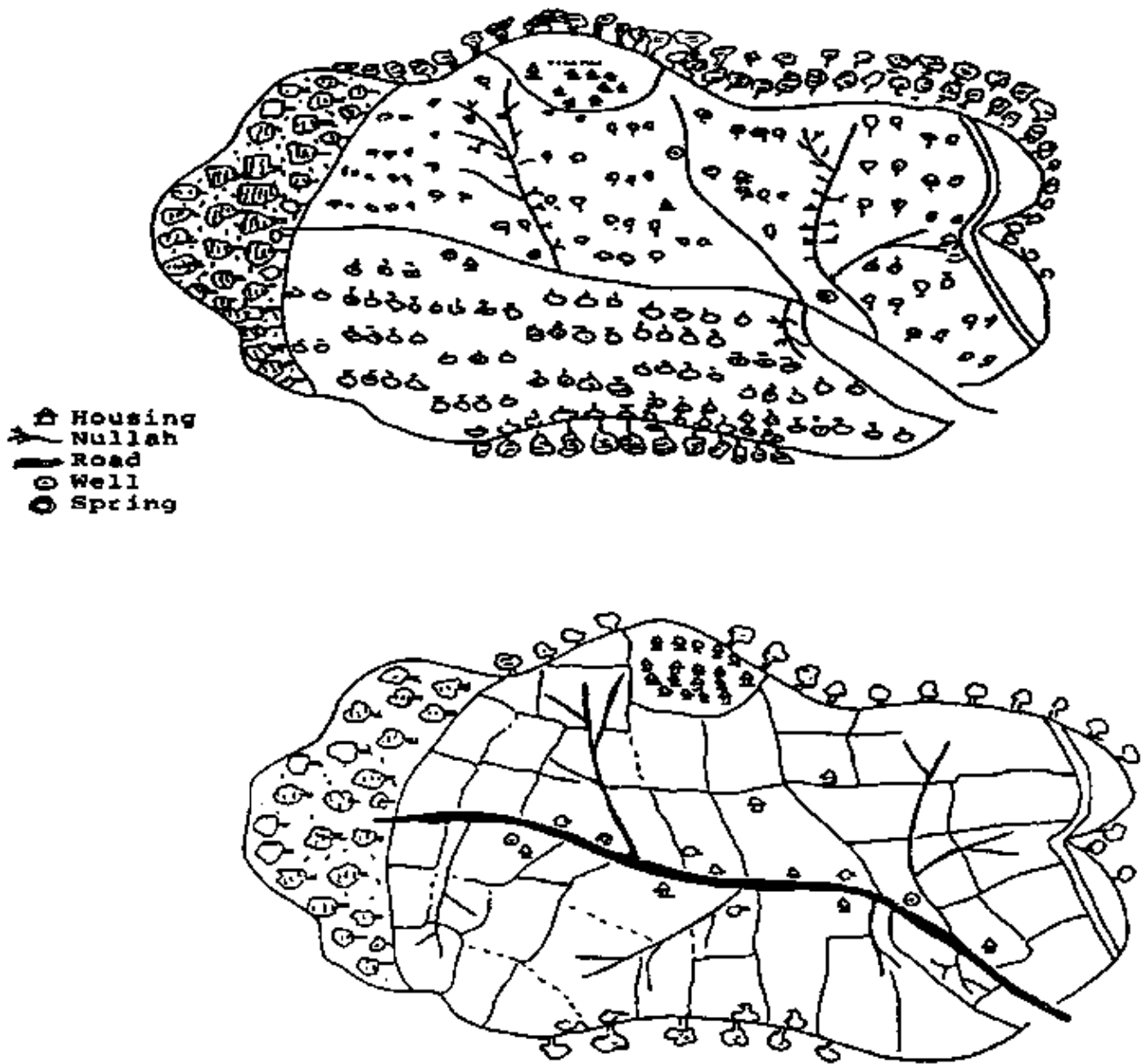


Figure 2. Maps drawn from two watershed models made by people of Ardanarypura village, Karnatka, India. The top shows the watershed 50 years ago, the bottom as it is today (1990). PRA team from MYRADA, Bangalore.

### Other Applications

Variations of this theme are when items are brought by outsiders into the village for discussion. These include aerial photographs or ordinary photographs (taken from a vantage point and giving a good view of the terrain and features), maps and plans of the area/villages. Farmers show a great ability to interpret these documents and discuss them, sometimes even pointing out gaps (for instance, one farmer in Nepal pointed out that the aerial photograph shown to him must have been an old one, as it had only 18 houses in it, whereas the village had 20 houses – 2 houses having been constructed recently).

#### 1. Users' Notes for Mapping

##### DO

1. Do spend some time thinking about the exercise – what information do you need, why etc.
2. Do select your work group (including village men and women).

##### DON'T

3. Do select a work spot: someone's house, under a tree, in the open, the village square, a threshing yard, etc.
4. In the case of mapping on paper, first draw an outline with pencil before you use coloured felt pens.
5. Do allow the villagers themselves to draw the map according to the way that they perceive things and decide among themselves.
6. Do facilitate the exercise by asking relevant questions at the right time.
7. Familiarise yourself with the features on the map by actually verifying features in the village.
8. Try to add to the map additional information such as households by caste, wealth ranking, assets owned, tree preferences etc.
9. Copy ground maps out on paper and make copies of them for documentation and training purposes.

Don't dominate proceedings.

Don't interrupt – remember the villagers are concentrating hard.

## 2. Users' Notes for Modelling

### DO

1. Do have a fair idea about the terrain and the features of the area that is going to be modelled.
2. Do spend time thinking about the exercise:  
HOW you are going to go about it,  
WHERE you are going to locate it,  
WHO you wish to involve,  
WHAT you are going to depict,  
WHY you need to do the exercise etc?
3. Do brief the people well about the exercise and the purpose of it.
4. Do make the exercise into a game which everyone – the men & women (young & old), the outsiders – enjoys. Allow children to participate.
5. Do involve the villagers in the selection of the spot. The best places are flat, with a good vantage view of the area being modelled. A fairly open or public place is likely to enhance discussion and participation.
6. Do have a fair sized model: at least about 5–6 feet in size so that various features can be depicted.
7. Do facilitate the exercise in such a way to promote participation. Discuss the project with the villagers. Ask them what they think is the best way to proceed. Allow them to construct the model themselves – including details such as nullahs, fields, vegetation, houses, temples.
8. Do watch how things turn out and take shape. If at the end certain things are left out, ask the villagers 'What about this... or what about that?'<sup>4</sup>
9. Do use locally available materials as much as possible, such as twigs of different species to show vegetation or:

### DON'T

Don't take it for granted that the model will appear on its own. The exercise needs to be facilitated.

Don't overdo the planning part – you might end up doing only planning.

Don't be too strict or rigid in the development of the model –either the place, alignment or colour scheme etc. Let the villagers decide.

Don't make the models too small.

Don't interrupt the flow of work once it gets going. Let the people argue among themselves and come to decisions regarding size, colour, shape, location etc.

Don't overdo the detail. You may neglect the main features.

- pebbles & stones (to show pavements, stone rivetments, nullah training or checkdams, degraded eroded patches)
- twigs and twine (to show electric lines, transformers, handpumps etc)
- matchboxes for houses
- twine for electric lines
- grass to show crops.

Don't use sophisticated material.

Supplement these with items such as:

- rangoli powder<sup>5</sup>
- toys (men, women, carts, buildings, bridges)
- coloured card (for houses etc)
- bits of pipe and so on.

10. Do try to make alternate models of 50 years ago, 20 years hence, models showing proposed treatment plans and so on – using the existing model as a base.

Don't scrap the models. Keep them as long as possible for discussions.

<sup>4</sup> In most cases you may not have to. In one case the children were extremely keen to have their school a respectable size. In another, an elderly woman earned the wrath of the villagers because she threw out a stone that was representing a large rock in the village where the villagers used to sit and chat in the evenings!

<sup>5</sup> Roughly about 1 kg of each colour – up to 6 colours – should be adequate. White powder may be required in a larger quantity (say 4–5 kg) as it can be used to mix with other colours. Chili powder gave us red colour and turmeric powder gave yellow. Blue we obtained from 'Robin Blue', mixing yellow and blue we got green colour. Yellow and red gave us orange. We had our 6 colours. One can try variations of this. Red can also be obtained by crushing bricks. Black from black soil or powdered charcoal, grey or white from 'chunam' or ash.

The quantity of coloured material can be increased greatly by using fillers such as sand or sawdust, with which the colours are mixed to increase the bulk. This enhances the quality of the model as the colours then become easy to apply.

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**RRA Notes Number 12, July 1991.** International Institute for Environment and Development, Sustainable Agriculture Programme.

## DSE in brief

The German Foundation for International Development (DSE) provides a forum for development policy dialogue and offers initial and advanced training of specialists and executive personnel from developing and transitional countries. In addition, it supports German experts in their preparation for assignments in developing countries and maintains the largest documentation and information centre on development cooperation issues in Germany.

DSE works in the areas 'Education, Science and Documentation', 'Economic and Social Development', 'Public Administration', 'Industrial Occupations Promotion', 'Food and Agriculture', 'Health' and 'Print Media'. Conferences, meetings, seminars and training courses support projects which serve economic, social, and ecologically compatible development, thus contributing to an effective, sustainable and wide-ranging development.

DSE cooperates with partners at home and abroad. A considerable number of the programmes take place in developing countries, and the rest in Germany. Since 1960 DSE has given advanced professional training to more than 140 000 decision-makers, specialists and executive personnel from over 150 countries. Every year more than 10 000 participants take part in DSE's dialogue and training programmes.

DSE contributes to development cooperation on the basis of the guidelines of the German Federal Government's development policy. The German Foundation is funded by the Federal Ministry for Economic

Cooperation and Development (BMZ). Some of its programmes, however, are financed by other donors (e.g. other Federal ministries, the Federal States, the European Union).

Additionally, the Federal States of Baden–Wurtemberg, Bavaria, Berlin, North Rhine–Westphalia and Saxony provide conference and training centres. Since its foundation in 1959 DSE has been jointly financed by the Federal Government and the Federal States. This corresponds to the German Foundation's decentralized structure with specialized departments (Centres) and conference centres in a number of Federal States.

## **Rössing Foundation in brief**

The Rössing Foundation is one of the more established Namibian NGOs and has been operational since 1978. The objectives of the Rössing Foundation are to further the practical education of Namibians in order to achieve greater national productivity and to increase understanding among the inhabitants of Namibia; to encourage the creation of opportunities for people to use their education; and to promote the advancement of the living standards of the people of the country.

In order to achieve these objectives the Rössing Foundation manages eight adult education centres throughout Namibia that offer a range of courses which include literacy, vocational skills training, teacher support programmes, maritime training, commercial skills training and communication skills training. In addition to these activities the Rössing Foundation also facilitates a range of community based training and development programmes in the fields of preschool learning, agriculture, library services and craft development.



German Foundation for International Development

The Rössing Foundation  
Windhoek, Namibia

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