

**THE DEVELOPMENT AND
CO-ORDINATION OF
CATCHMENT FORA THROUGH
THE EMPOWERMENT OF RURAL
COMMUNITIES**

Nicole Motteux

WRC Report No 1014/1/01



Water Research Commission



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**THE DEVELOPMENT AND CO-ORDINATION OF CATCHMENT FORA
THROUGH THE EMPOWERMENT OF RURAL COMMUNITIES**

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August 2001

Project No. : K5/1014
WRC Report No. : 1014/1/01
ISBN No. : 1 86845 791 5

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LIST OF ABBREVIATIONS

Catchment Forum/Fora	CF
Catchment Management Agency	CMA
Catchment Management Projects	CMP
Department for International Development	DfID
Department of Water Affairs & Forestry	DWAF
Integrated Water Resource Management	IWRM
Kat River Valley Project	KRVP
National Water Act (36 of 1998)	NWA
Non-Governmental Organisation	NGO
Natural Resource Management	NRM
Rhodes University	RU
River Health Programme	RHP
Transitional Local Council	TLC
Traditional Rural Council	TRC
South African Association of Drama and Youth Theatre	SAADYT
South African Scoring System Version 4	SASS4
United States Agency for International Development	USAID
<i>Water Management Area</i>	WMA
Water Research Commission	WRC
Water User Association	WUA

1. EXECUTIVE SUMMARY

1.1 Background

Catchment management for the integrated management of water resources is an important cornerstone of the present national policy on water resource management, as promulgated under the National Water Act (36 of 1998). As noted by WISA Divisions of River Basin Management, and Management and Institutional Affairs (2000), "Catchment management in South Africa aims at a situation in which stakeholders in a catchment will themselves be able to identify the critical issues and the best strategies to address them." Statutory Catchment Management Agencies (CMAs) are to be established to assist in the management of water resources at the scale of the Water Management Area (WMA), an area which may include one or more primary drainage area. At the more local level of, for example, the tertiary catchment, the formation of non-statutory Catchment Fora (CF) is being encouraged as a platform for local involvement in resource management. At the same time, irrigation boards are being transformed into more inclusive Water User Associations (WUA), bodies with a Department of Water Affairs & Forestry (DWAF) approved constitution responsible for managing the water resources of a particular area.

While models for catchment management practices are available from countries such as Australia, Great Britain and the United States (Department of Water Affairs & Forestry, 1996), South Africa is faced with the situation where some 60 % of the rural population can be considered as being marginalised in terms of access to both the water resource and decision making fora. A major challenge therefore is to find effective ways to empower this group so that they have a meaningful voice in the management of the catchment resources on which they and others depend for their livelihoods. This report describes the outcomes of research into methods for empowering such communities. The work was carried out in the Kat River Valley, in the Eastern Cape.

Research into community empowerment in the Kat Valley had been ongoing for five years prior to the start of the current Water Research Commission (WRC) project. The focus had been on raising environmental awareness and building capacity to manage the water resource at the local scale of two villages (Fairbairn and Hertzog). By the end of 1998, events had progressed to the point where the desire had been expressed by the villagers to become part of the broader water management structure of the whole catchment. The ensuing WRC project, the subject of this report, focussed on facilitating the effective participation of these and other village communities in the Kat River in both the transformation of the Kat River Irrigation Board into the Kat River Water Users Association, and the development of a Catchment Forum in which broader issues relating to catchment management could be tackled in a more informal structure. While both these bodies have a catchment wide constituency, bringing together a wide range of social and

economic groups, the Catchment Forum has been village inspired and has been an invaluable platform for empowering participating communities to a point where they are able to take the lead in certain areas. One example is the development of a proposal for a Landcare programme to tackle land degradation, an important factor affecting both land and water quality in the catchment.

This report does not document in detail the many activities that took place in order to achieve the present outcomes. Neither does it provide a manual presenting the protocol to be followed in order to bring disempowered communities into a catchment management forum. Rather it provides a personal reflection by the project researcher on the processes that unravelled themselves during the course of the project. These processes do not relate so much to the setting up of catchment management structures, but rather to the development of human relationships which lead to capacity building and empowerment amongst all those involved in the process.

2. PROJECT AIMS

- 2.1 To facilitate the development and coordination of a Catchment Forum in the Kat River Valley (Mpofu District, Eastern Cape) through awareness building, learning and empowerment, so as to enable the people of the Kat River Valley to take a positive role in the management of their catchment.
- 2.2 To ensure that the empowerment process already initiated by Motteux (1996-97), and now driven by the community of Fairbairn, will be positively channelled into a Catchment Forum. This will enable the process to be sustainable and ensure that their new 'power' does not make the community of Fairbairn worse off through despondency.
- 2.3 To identify differences of interest and priorities among the different users, especially those who are disadvantaged, and to give them collectively awareness and confidence to confront others and argue their case. (In effect, identification of common ground proved to be a more effective way forward.)
- 2.4 To transfer the policy, principles and goals of 'integrated catchment management' to ground level and bridge the gaps between the Department of Water Affairs and the Kat River Communities.
- 2.5 To hand over the process to Kat River Valley communities (Mpofu District), with the insiders determining the agenda, categories and details.

- 2.6 To be critically aware of the facilitator's behaviour as a joint learner in the process and to welcome and embrace error so as to initiate a process of accountability.
- 2.7 To share ideas and experiences concerning principles, approaches and methods in the establishment of a catchment Forum with outsiders and help to facilitate other national water user projects.

3. RESEARCH PRODUCTS

- 3.1 Effective management of the Kat River through participation, partnership, integration and empowerment between and amongst Mpofu communities. These include the rural communities, ex-Ulimcor Citrus farmers and the Kat River Valley Citrus Co-op.
- 3.2 Appropriate methods to implement principles and goals of Integrated Catchment Management. Target Group: DWAF and WRC Integrated Catchment Management programmes.

4. PROCESSES FOR CATCHMENT MANAGEMENT

4.1 Capacity building

Capacity building necessitates practitioners being able to see and appreciate participants as equal human beings. It is a process embedded in self-reflection, for both the practitioner and the stakeholders. It is about creatively enabling collective learning and creating a place of representation that enables stakeholders to observe, to perceive what they are, discover what they are not, and imagine outcomes and possible actions. It should encourage the role playing of different perspectives in order to imagine varying actions and to explore alternatives. Capacity building is centred on the stakeholder, and it is the stakeholder who enters into negotiations and discussions concerning catchment management. Capacity building has got nothing to do with fancy technology and meeting rooms - it is concerned with the stakeholders' needs. Capacity building liberates ideas, emotions and sensations, in the encouragement of self-growth. It works with human concepts (feelings, emotions, life experiences, fears and strengths), stimulating learning, knowledge exchange and internalising of information. In so doing, it inspires (Boal, 1995).

4.2 Methods and methodology

The Kat River Valley Project (KRVP) was rooted in participatory methods and methodology. Thus the work is nurtured within the stakeholders, not imposed by outsiders. The outsiders are only guides for a limited period of time. Working in participatory methods and methodology is not as simple as 'bringing stakeholders together to talk'. It is work that is deeply rooted in philosophy and ethics. In this, it is crucial that practitioners constantly reflect on their work and methods, to ensure a healthy self-critical mode that promotes accountability. This report does not provide a recipe book of guidelines for developing CF and WUA, because to do so implies that 'fail-safe methods' exist and that they work. They do not, for it is in the slow process of building capacity and engendering empowerment that stakeholders come to claim catchment management concepts as their own. The moment that they do marks the birth of sustainable CF and WUA.

4.3 Conflict resolution

Conflict is an inescapable reality. This is not a negative fact, since conflict is a catalyst for negotiation that brings participants to a platform upon which needs can be recognised as overlapping. However, in order to reap these benefits, the stakeholders have to be able to articulate their needs confidently and the practitioner needs to be supportive, neutral and open. Conflict is resolved through an inclusive process of negotiation. It is important to note that negotiation is not a once-off event: as stakeholders evolve, conflicts will arise and will need to be addressed. Given the historical, social and cultural context in which negotiation takes place, it is vital to have skilled, professional interpreters who can affirm the stakeholders' grasp of necessary information. The practitioner needs to be aware that, on occasion, it may be more productive (and more constructive for the stakeholders) to engage the services of a neutral, external facilitator. Practitioners also need to be very well prepared so that the manifestation of conflict is properly facilitated.

4.4 Articulation of stakeholder needs

Stakeholder's needs form the basis for catchment management practices, including the establishment of WUA and CF. At the outset, stakeholders may struggle to know and to formulate their needs. Thus, a process of capacity building is essential. Once stakeholders have been empowered to articulate their needs, all parties (including institutions) must come together to negotiate common needs. These identified needs enable the creation of a platform upon which the structures of CF and WUA can rest. These needs, however, are not a fixed entity and require constant negotiation and re-evaluation. Therefore the practitioner must be open, flexible and patient throughout the process.

4.5 Evolution

Catchment management is necessarily a long, carefully considered process, which involves awareness building, group development, and maturation to enable co-investment. The practitioner is not excluded from the evolutionary process: opportunities for learning and growth abound. The end result of evolution must always be action. The stakeholders must be able to celebrate tangible outcomes of the capacity building process. A lack of any change will cause stakeholders to become despondent and reluctant to participate further.

4.6 Staff needs

Catchment Management Projects (CMPs) have to be understood holistically: staff needs, project needs and grassroots workers' needs all have to be considered. It is also necessary that each of these is accountable to the other. This requires openness, a sense of responsibility, communication, cooperation and commitment from all those involved.

4.7 Management

In CMPs, the style of management is crucial to the project's success. An open, flexible, democratic, decentralised, participatory style is necessary in order to allow all staff to take ownership of the project. Professionalism must be high on the agenda: the stakeholders deserve nothing less. CMPs necessitate strong leadership in order to realise innovations, guide the process and inspire stakeholders towards agreed goals. Such leadership, however, cannot and should not be authoritarian or hierarchical. In fact, the complexity and volume of work characteristic of a CMP prohibits attempts to manage people in this way.

Budgeting in CMPs is also not conventional and fixed. For example, people may provide their services at cheaper rates than usual. However, this does not mean that budgeting can be lax or irresponsible. In fact, it should be quite the opposite, as a great deal needs to be done on a limited amount of money. Also, when services have been provided at a lower rate, it is vital to negotiate a means by which the worker can find a sense of fulfilment in the work. If this is not done, the chances are high that the worker will become unmotivated and resentful.

Finances to support grassroots workers need to be built into the systems of the CMA. This is vital because, in South Africa, there is so little capacity at this level that the workers need to be supported. If a process is built up and then simply dropped, stakeholders become despondent and fearful.

5. PUTTING PARTICIPATION INTO CATCHMENT MANAGEMENT

5.1 Starting point

- 5.1.1 Formulate the principles on which catchment management is to be based, identify indices of accountability.
- 5.1.2 Build the core and specialist advisors team: project coordinator/facilitator/practitioner, core grass-roots facilitating team, advisors, office support.

The grass roots facilitating team are a key element in ensuring the success of the project. They must be adaptable, self-motivated, self-reliant and capable of creative thinking. Drama and other workshop skills will need to be developed. Interpretation and report writing in both English and a vernacular language are key skills which must be available in the team.

5.2 Creating an investment plan with the communities

An investment plan may be defined as a timetable of events, roles and responsibilities and evaluation indicators. An investment cycle in catchment management projects is a useful tool with which to construct well thought-out programmes, ensuring that they are not developed in an ad hoc manner. An investment cycle must be created with the stakeholders to ensure that the investment is owned, wanted and cared for by the stakeholders, both currently and in the future.

5.3 Field work

The objective of field work is to bring marginalised groups into an active participation in CF and WUA. The efforts are realised through capacity building, which is a flexible and fluid process with a concrete goal in mind. Thus methods (of field work) should be shaped by the end goal, rather than the methods dictating the process.

The methods that bring about the above outputs are: awareness-raising programmes; background research; action planning with the stakeholders; regular feedback; continuity between activities; task allocation; employing diverse methods to reinforce concepts; being adaptive and creative; networking.

5.4 Action planning workshops

A logical framework enables stakeholders to work together in establishing the inputs, activities, outputs, outcomes and the goal of the project. Within this collaborative effort, short-term activities form the building blocks for the project's overall plan.

There must be action and that action must involve all stakeholders including, if necessary, other government departments such Land Affairs and Environmental Affairs.

6. CONCLUSIONS

This report demonstrates the author's firm belief that there are no 'recipe book' methods which can be applied to developing CF and WUA in a participatory manner. There are, however, guiding principles which will help the practitioner to avoid falling into traps which weakens the sustainability of the project. These traps include using extractive methods, imposing external beliefs and systems to the detriment of local ownership, not appreciating the centrality of local stakeholders' needs, and avoiding dual accountability.

Sustainability of a project is only achieved over time and is the result of engendering a process of capacity building, networking and conflict resolution. In order to allow stakeholders to take on responsibility, responsibility must be given to them. Capacity building is vital in this regard. The practitioner must be expendable, and must sooner or later be able to leave the project.

Conflict will inevitably occur on the journey towards CF and WUA. Through its resolution, conflict can be used in a positive manner to provide opportunities for growth, reconciliation and change. Outside assistance should be called in to resolve conflict where the facilitator feels this is advantageous.

Professionalism is non-negotiable in CMPs. Negotiation of all work needs to occur with all stakeholders and agreed indicators of accountability need to be put into place.

Every CMP needs to have a long-term goal and cannot be driven by haphazard planning. It is important that stakeholders are included as designers of both long-term and short-term plans.

In the National Water Act, responsibility for water resource management is closely tied to DWAF and the CMA. Currently, DWAF sees CF as structures which enable communication with stakeholders and as valuable tools for facilitating the consultation process. It is crucial, however,

to appreciate that sustainable resource management will not be realized if CF are merely seen as consultative bodies. CF have the potential to be fora for decision making and action at a local level. These actions should be prepared within a framework defined by the strategic catchment plan prepared by the CMA and endorsed by DWAF.

Ultimately, the integrity and efficacy of CMPs depends on their adherence to ethics, participatory principles, self awareness and honesty. Without these traits, CMPs cannot be built within communities, with stakeholders. It is only when CMPs are built within communities, with the stakeholders, that they are sustainable.

7. RECOMMENDATIONS FOR FURTHER RESEARCH

Further research is necessary to balance the rapidly rising demand for socio-economic tools that support water resource management with the limited supply of South African experience in this area. This research complements the focus on technical research outputs for water resource management in the country.

The National Water Act presents a real opportunity for a totally new way of managing water resources in South Africa. Participatory processes, capacity building and empowerment of formerly disadvantaged communities is central to the sustainable resource management philosophy of the National Water Act.

Some specific recommendations for further research include:

- It is necessary for future work to investigate how practitioners can co-create evaluation and monitoring systems with stakeholders, in accordance with the National Water Act.
- To develop approaches that allow stakeholders to participate in determining the Reserve and setting environmental objectives.
- Strategies need to be developed which will ensure that information sharing becomes more accessible: including the preparation of booklets and information leaflets.
- Practitioners in this field often work in isolation from other projects. There is a need to encourage practitioners to come together and share their experiences in order to provide a coherent, less *ad hoc* body of knowledge. Each project will have varying experiences to offer, but the global picture created by sharing all the knowledge could assist DWAF and

governmental bodies to assess the efficacy of their policies at the place where they impact most or not at all: grassroots.

- Aspirant or inexperienced practitioners need to be trained through on-site training; that is, the trainee practitioner and experienced practitioner work together in the field.
- Any further research should actively seek to encourage DWAF personnel into the field, where they are able to take part in the work and learn more, much faster.



1. INTRODUCTION: WHAT IS INVOLVED IN CATCHMENT MANAGEMENT PROJECTS?

1.1 Introduction

This report is written about and for Catchment Management Projects (CMPs), for example as envisaged in the National Water Act (No. 36 of 1998). It highlights the lessons of the Kat River Valley Project (KRVP) funded by the Water Research Commission (WRC), from February 1999 to December 2000. It is important to appreciate that although the learnings are encapsulated within one project, 45 sub-projects were run beneath this umbrella of the Kat River Valley Project (KRVP). The overall aim of the umbrella and sub-projects was to bring about a structure in which diverse groups of stakeholders could form a Water User Association (WUA) and Catchment Forum (CF). The latter structures were identified by the Kat River Valley stakeholders as the aim of the project.

The primary audience of this report is intended to be leaders, managers and practitioners of catchment management or related projects. It is hoped that this report will give local stakeholders some guidance in the task facing development agencies which is "to adopt strategies and methods which build up the capabilities of grassroots or community based organisations, because it their membership - the primary stakeholders, clients, beneficiaries, target group - which actually 'produce' development, not the agency" (Fowler, 1997, p. 9).

The learning detailed in this report is grounded in my seven years of experience in communities and water related work in the Eastern Cape, South Africa (Motteux, in prep.). This report is essentially a personal account of the rich experience gained in running the KRVP. There is no doubt that I made mistakes and stumbled sometimes along the way, but these lessons only served to grow the project and the work. They are, therefore, included in this report. It is important that the reader critically evaluates the relevance of this information to their own experience, particularly because this work is embedded in a very specific context and may not always be applicable to other areas of the country. Thus, this report cannot be seen as a formula or a fail-safe set of lessons to be imposed on other catchment management situations. There is no simple, universal method of improving catchment management. In each case, the process depends heavily on the area's history, the stakeholders, timing, the environment and the practitioner, all of which are factors which are highly mutable. There are, however, lessons gained from others' experience which can be very helpful.

This report sketches, in broad strokes, core themes intrinsic to the formation of CF and WUA. It uses experience gained from the KRVP in which stakeholders were involved in participatory based development, and were enabled to come together and agree on catchment management strategies and the formation of a CF and WUA. In light of a participatory, critical approach, this report reflects on aspects such as practitioner errors, break throughs, deadlocks, threats and opportunities. What this report does *not* do, is to provide a step-by-step guide to every single phase of the process in all 45 sub-projects. And for good reason. Such a report would only encourage the belief that formulaic guidelines can be discovered and then imposed on other situations, without due regard to relevance and context.

Thus, the broad lessons offered in this report are intended to assist the reader to understand the complexities inherent in CMP processes, as well as the fact that practitioners, leaders and managers profoundly affect these processes and therefore need to be accountable and responsible for their actions. Sections 2 to 6 offer a broad introduction to building capacity in marginalised groups in order to enable participation in WUA and CF. Sections 7 and 8 outline in detailed steps the processes that were undertaken in the KRVP.

1.2 Project background

DWAF required the transformation of irrigation boards, established in terms of the Water Act, 1956 (Act 54 of 1956), into Water User Associations in terms of the National Water (NWA or the Act). The WUA have to be representative and inclusive of the water users within a catchment or sub catchment. The features of a WUA are listed below:

- Membership of CMA through broader grouping
- Membership of CMA committees when its operational issues are addressed
- DWAF may initiate establishment
- Monitored by DWAF
- Takes over DWAF functions
- Management delegated at local level
- Delegation of functions

(Khorommbi, pers. Comm., 1999)

The purpose of Catchment Fora (CF) "is to provide a platform to discuss water-related issues of common concern to people living in the catchments and seeking ways of addressing these. Such CF are widely seen as an important requirement for the effective operation of Catchment Management Agencies (CMAs). The National Water Act No. 36 of 1998, does not refer to CF per

se, but indicates that voluntary grassroot structures are critical to the catchment management process. Such local structures would provide channels for people to be actively involved in managing water resources" (Karar & Seetal, 1999).

The KRVP began in early 1999 in an academic environment that had been exposed to research projects that were predominately science-based, as well as some traditional anthropological work. The KRVP emerged from my PhD and was set up as a research project as opposed to being commissioned as a mainline DWAF project. Both of these factors profoundly influenced the style, thinking, operation and organisation of the KRVP and this report.

The aims set out in the proposal to the WRC in 1998 were as follows:

- To facilitate the development and co-ordination of a Catchment Forum in the Kat River Valley (Mpofu district, Eastern Cape) through awareness building, learning and empowerment so as to enable the Kat River people to take a positive role in the management of their catchment.
- To ensure that the empowerment process already initiated by Motteux (1996 - 1997) and now driven by the community of Fairbairn will be positively channelled into a Catchment Forum. This will enable the process to be sustainable and ensure that their new 'power' does not make the community of Fairbairn worse off - i.e., despondency.
- To identify differences of interest and priorities among the different users, especially those who are disadvantaged, and to give them collective awareness and confidence to confront others and argue their case.
- To transfer the policy, principles and goals of 'integrated catchment management' to ground level and bridge the gaps between Department of Water Affairs (DWAF) and the Kat River communities.
- To hand over the process to Kat River Valley communities (Mpofu district), with the insiders determining the agenda, categories and details.
- To be critically aware of my behaviour as a facilitator (joint learner) and to welcome and embrace error so as to initiate a process of accountability.

- To share ideas and experiences concerning principles, approaches and methods in the establishment of a Catchment Forum with outsiders and help to facilitate other national water user projects.

The project drew on the skills of diverse groups of people ranging from academics, students, researchers, freelancers, advisors and field assistants. The team activities began to increase rapidly during the latter part of 1999 as the stakeholders became more committed and involved in the KRVP. The team were important in coping with the workload, decision-making, implementation, information distribution, administration, editing, dealing with information flow, and so on. The KRVP made use of approximately 34 personnel in the two year period. I was the only full-time worker and in this capacity I contracted in a core group of staff members, namely the Catchment Research Creative Group and an Environmental educator. This core group received the support of the project leader, the project advisors, the editor, the administrators, students and fellow researchers. Other groups, such as Rhodes University (RU) Journalism students and the River Health Group performed particular tasks when necessary. This report stands as a broad summary of lessons learnt by the team, but the opinions expressed here are my own.

In this report, I use the term 'practitioner' rather than 'facilitator', as in catchments where there is great poverty, diversity and a generally low level of capacity, a full-time, fully involved professional is required. I see a facilitator as someone who brings additional skills to the project for a specific period of time, e.g., conflict resolution skills in the process of negotiating water allocations. I feel that if we are to make projects like this one work, it is crucial that we acknowledge the necessity of full-time practitioners dedicated to the task of inculcating catchment management practices. As matters currently stand, our level of maturity is simply too low to depend on fleeting guidance from outsiders. (For a further discussion on maturity, see Section 7 and Figure 4.)

If at any time a practitioner feels it is necessary, it can be fruitful to seek the support of an outside facilitator. (Equally, there are times when the stakeholders will benefit from outside assistance.) In the KRVP, there were instances in which I felt capable of working alone, as well as instances in which I requested support, for example, in inviting a facilitator to attend a meeting. In such an instance, the practitioner needs to fully inform the facilitator of the goals of the meeting and provide a detailed background. Making a comprehensive list of the stakeholders and their issues is an effective method of detailing this information.

1.3 The present status of the Kat River CF and WUA

The stated outcome of the project was achieved in terms of the aims and objectives listed above. This is a point of view shared by the CF members, the steering committee of the WUA, outside stakeholders, the funders, as well as personnel of the KRVP. The project was not only a success in these terms, but also because all those involved learnt lessons, evolved, listened, struggled, changed and developed as each participant acknowledged and embraced feelings around issues such as lack of confidence, entitlements to water and resources, language barriers, racism, ageism and sexism.

The Kat River Water User Association has keen representation from villagers, small irrigators and large irrigators. The Kat River WUA has a representative steering committee that meets for both WUA and CF meetings. The majority of inhabitants in the project area have a good understanding of the functions and the concept of the WUA. The WUA has acknowledged the need to support functions of catchment management, and has thus enshrined it in its constitution. Both capacity building and the development of the initial phase of the WUA constitution was financed by the KRVP with no financial support from DWAF. Future work, such as the finalising of the WUA constitution, is dependent on funding from DWAF. This financial support can be complemented by human and social capital supplied by the local stakeholders. Furthermore, the WUA will require substantial resources for carrying out their primary functions and therefore has started to seek aid from service providers such as Amatola Water (Amanzi & Water) and Sanitation Services South Africa.

The Kat River Valley CF does not have a formal status, i.e., it is not a Section 21 company and thus does not hold delegated powers, either in its own right or via DWAF. The members of the CF are a representative group of stakeholders committed to participating in sustainable resource management. Although the CF members are enthusiastic, they still have many issues to address, such as overcoming transport, communication and financial obstacles, and deciding what their overall plan is. However, the strong interest displayed by the CF in becoming involved in a Landcare project may result in the CF evolving into a more formal structure.



2. SHARED GROUND 1999 - 2000

It is my belief that the term 'study area' is a phrase which allows practitioners to distance themselves from the lived realities of the stakeholders in the communities. The truth of participatory projects such as these is that the practitioner comes to share in the lives of the stakeholders and the stakeholders in the life of the practitioner. The area in which the stakeholders live, and the practitioner works, should not become a mere geographical location which can be visited and dismissed at the practitioner's convenience. It is for these reasons that I prefer to call the Kat River Valley area 'shared ground', rather than a 'study area'.

2.1 The Kat River Valley

The Kat River Valley Project's (KRVP) main aim was the development of a Water User Association (WUA) and Catchment Forum (CF) in the valley of the Kat River in the Eastern Cape province of South Africa. The area in which the KRVP operated will form part of the broader Catchment Management Agency (CMA) of the Tsitsikamma and Fish River Water Management Area (DWAF, 1999). The Kat River Valley is some 80 kilometres in length and some 1600km² in areal extent, encompassing a wide range of user groups. These include the urban municipalities of Seymour and Fort Beaufort, extensive privately owned citrus estates in the lower reaches of the Kat River towards Fort Beaufort, which have an interest in meeting exacting standards of international environmental management (ISO 14000) and, in the middle to upper reaches, many thousands of poverty-stricken, black community members who desire improved and regular domestic and agricultural water supplies (see Figure 1.) Despite the catchment's complex and diverse group of stakeholders (in terms of race, affluence and basic needs), the key groups were motivated to establish a WUA and CF because of the common realisation that joint management is essential to ensure fair distribution of water and best management practice.

Up until the 1970s, land in the middle to upper reaches of the Kat River below Seymour Dam had been commercially farmed by 'white and 'coloured' farmers, with tobacco, potatoes and citrus being the main agricultural products. The reliable flow of the Kat River and fertile valley soils had permitted successful, intensive irrigation farming to be pursued. The expropriation of property in the district from 'white' owners and its transfer to state control ensured the migration of 'whites' and 'coloureds' from the district. Transfer of property to the Ciskei state led to the marginalisation of the majority of the African population, the loss of their jobs and the denial of access to the means of production in the district (Nel, 1997). However, some ex-'white' farms were taken up by Ulimcor, a government parastatal, to provide training opportunities to selected farmers in the Kat River Valley area. In recent years, Ulimcor has transferred the land to allow these farmers to

manage the farms. No rights to the land were transferred. Former farm-workers remain on the land, but have no rights or guaranteed access to it or to the means of production. Only the selected farm managers have the rights to use this land, which is found in areas such as Lorraine, Klipvlei, Dumrae, Oakdene, Gonzana (Fry, pers. comm., 1999).

During the expropriation, not all the land was taken up by Ulimcor; some of it lay open with no organised structure. In some of these instances the land was leased to 'white' farmers for short periods of time. The Ulimcor land currently has no tenure and thus villagers are able to use it, e.g., Tamboekiesvlei, Hertzog and Fairbairn. This area is also populated by a few 'black' farmers who have had land tenure since the early 1900s. They are based in the Fairbairn area.

The rural service centres in the former Ciskei, Seymour and Balfour, are currently small and impoverished, and suffer from a legacy of disinvestment, economic collapse, political control and endemic poverty (Nel & Motteux, 1999).

The setting up and development of CF and WUA requires working with an extensive group of people. Catchment management requires the involvement of stakeholders, including villages, small-scale farms, large-scale farms, farm labourers, urban settlements, nature reserves, peri-urban settlements, towns, city, Regional Council, TLCs (Transitional Local Councils) and TRCs (Traditional Rural Councils). Government stakeholders, regional and national DWAF, and government departments such as Environment, Agriculture, Education and so forth also need to be included in the process. Beneficiaries such as markets and tourists also need to be taken into account.

The KRVP research initially focussed primarily on the communities of Fairbairn and Hertzog. Latterly, the development of the project included local stakeholders within the mid and lower reaches of the Kat River Catchment, as listed in the below table:

Table 1: The Local Stakeholder Groups in the Kat River Valley

Local Stakeholder Groups	Description	Population
Seymour	Small, impoverished, rural service centre Water source: Kat River Dam and some communal standpipes Shortfall in all forms of infrastructure, in terms of roads, water, telephones and electricity connections Water-borne sewerage is non-existent and the 'bucket system' is utilised Absence of any formal businesses or industries in the service centre, with the exception of a few general stores and spaza shops Hardly any farming Organisations housed in Seymour are Masincedane Development Corporation, TLC office, World Vision, GTZ Creche, Primary schools, High Primary Schools and High School	5000
Balfour	Small, impoverished, rural service centre Water source: Kat River, Balfour River, some piped water Shortfall in all forms of infrastructure, in terms of roads, water, telephones and electricity connections Water-borne sewerage is non-existent with some households having site and service toilets and bucket systems Absence of any formal businesses or industries in the rural service centre Few general stores and spaza shops Limited farming Organisations housed in Balfour include the TRC office, Philani and Working for Water Creche, Primary schools, Higher Primary Schools and High School	3500
Tamboekiesvlei, Fairbairn and Hertzog	Villagers that have access to land Water source: Kat River, 25 L drums. Tamboekiesvlei have piped water Poor infrastructure in terms of roads, water and electricity Few public telephones Water-borne sewerage is non-existent Few home stores Fair amount of farming Organisations housed in Tamboekiesvlei, Fairbairn and Hertzog are Hertzog Agricultural Co-operative, Micro Projects, some development from Public Works (Community Hall) and possibly MBB Primary schools and creche	2500

Upsher, Paradise Plateform & Picardy	Most surrounding citrus land has been transferred by Ulimcor to selected managing farmers Ex-farm labourers do not have access to the land The only exception is the Upsher women have access to 1 ha of land on the property of a citrus farmer Water source: Kat River Poor infrastructure in terms of roads, water and electricity and public telephones Water-borne sewerage is non-existent Few home stores Upsher has a community-based organisation, namely Zamakphila	1000
Amherst, Oakdene, White, Tidbury Toll and Gonzana	Most of the surrounding citrus land has been transferred by Ulimcor to selected managing farmers Ex-farm labourers and villagers do not have access to land for farming Water source: Kat River Poor infrastructure in terms of roads, water and electricity and public telephones Water-borne sewerage is non-existent Few home and formal stores	2500
Blinkwater	Small, impoverished, rural service centre Community land not utilised A few individual plots of land are farmed Water source: Kat River, borehole water, a shop tap Poor infrastructure in terms of roads, water and electricity and public telephones Water-borne sewerage is non-existent Few formal stores Higher primary school	2500
Ntilini	Village Individual land owner community garden Communal standpipes and electricity Poor infrastructure in terms of roads and public telephones Water-borne sewerage is non-existent Formal stores Creche	3500

Riverside Enterprises	Commercial citrus farms with some livestock Packing shed Interest in setting up a conservancy ISO 14000 accredited Water source: piped water, Kat River, borehole water Good infrastructure in terms of roads, water, electricity and telephones Water-borne sewerage exists Primary school	200
Fort Beaufort	Urban Town Presence of formal and informal businesses and some industries Presence of stores, shopping centres, spaza shops, petrol stations, salons, hotels, Bed and Breakfasts Water source: Municipal water from the Kat River Good infrastructure in terms of roads, water, electricity and telephones Water-borne sewerage exists A TLC office is located in Fort Beaufort Creche, Lower Primary schools, Higher Primary Schools and High School	7000
Lower Kat Citrus Farm	Commercial citrus farms with some livestock Applying for ISO 14000 Water source: piped water, Kat River, borehole water Good infrastructure in terms of roads, water, electricity and telephones Water-borne sewerage exists	200

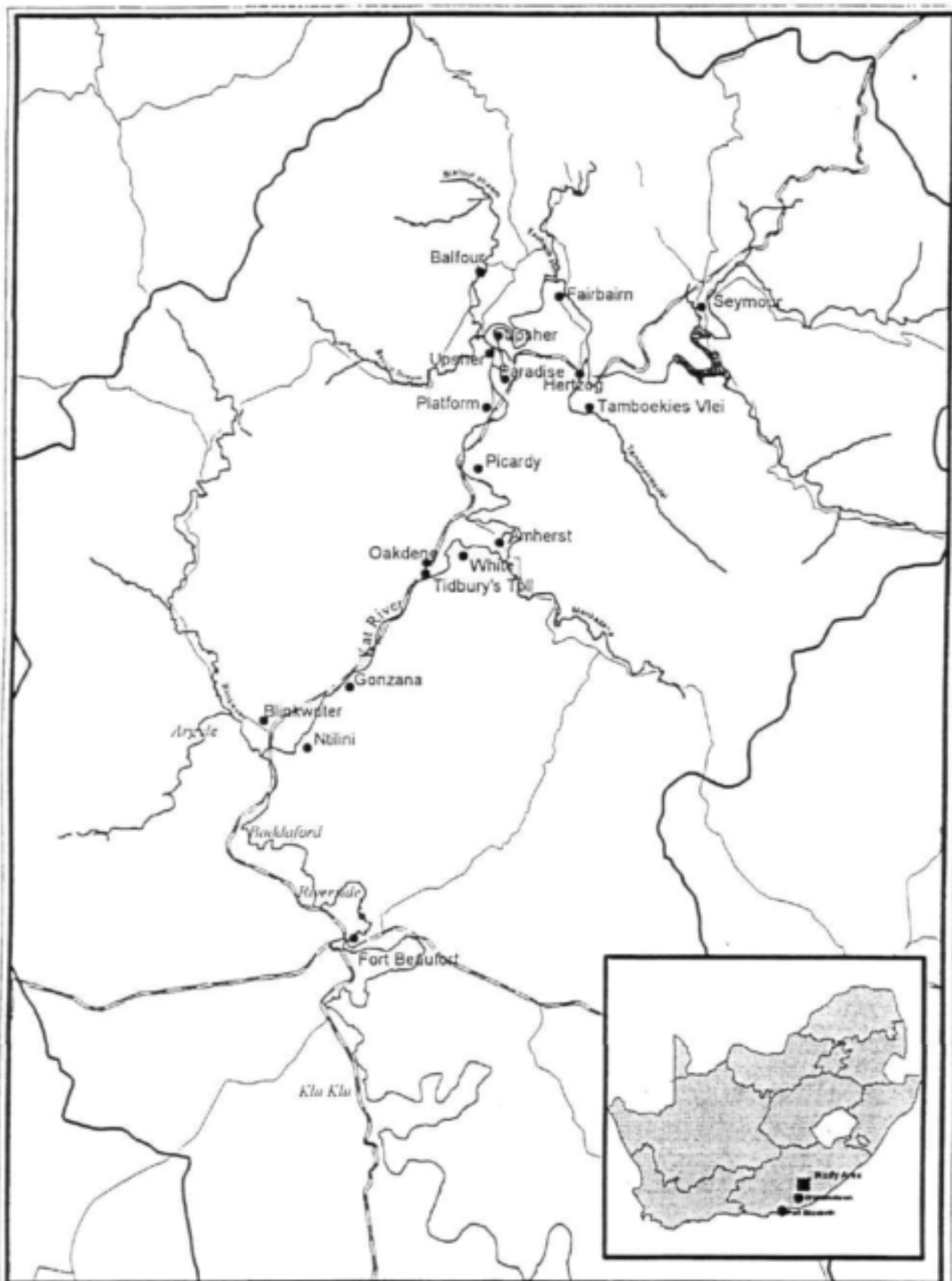


Figure 1: Kat River Valley - The Study Area

Prepared by Alistair McMaster (12/2000)

0 5000 10000 15000 20000 Meters



Legend

- Rivers
- Roads
- Arterial Road
- Communities
- Kat dam
- Catchment Bound

Rough approximates of each stakeholder group give a useful idea of the total number of stakeholders in the KRVP: a village has 1 000 to 2 000 people; a commercial farm with staff has 200 people; small impoverished rural service centres have about 4 000 people; and an urban centre about 7 000 to 20 000 people. The KRVP reached approximately 13 villages, 3 small, rural service centres, 10 commercial farms and one urban centre, totalling an approximate population of 28 000.

As a note to practitioners: we should always be aware that we are guests in the area and that we are privileged to be invited to share in and impact on people's lives. This brings with it a solemn responsibility not to abuse the trust placed in us, as well as the necessity to be sensitive to our status as guests. It is also important to acknowledge that a 'foot in the door' of the area in which one hopes to work implies neither ownership nor endless access. This attitude, which informed all the work conducted within the Kat River Valley area, is in contrast with a traditional research standpoint in which participants are viewed as research subjects, not as clients.

2.2 The Kat River Valley's physical landscape

The Kat River Valley is a tributary of the Fish River on the Eastern littoral of South Africa. The altitude increases from approximately 600m at the confluence of the Kat River to 1600 metres at the top of the escarpment. The valley itself is deeply incised into the landscape with alluvial terraces bordering the river that support agriculture activities. Vegetation consists largely of valley bushveld biome and river thicket. At higher altitudes there are pockets of afro-montane forest and grassland vegetation. The climate can be described as mild with summer temperatures ranging between 20 and 35 degrees Celsius and winter temperatures ranging between freezing and 20 degrees Celsius (Magni, 1999).

The Kat River Dam, situated in the upper reaches of the Kat River, is the only major impoundment along the river. The Dam was commissioned in 1970 with the purpose of irrigating alluvial soils on the banks of the Kat River Valley. This irrigation was mainly for the production of citrus produce as well as tobacco, lucerne and maize in the area between Fort Armstrong and the upper reaches of the catchment. With the formation of Ciskei, the irrigation scheme was broken into a number of smaller schemes such as the Elandspost Irrigation Settlement Scheme and the Kat River Irrigation Scheme. These schemes were dependent on outside assistance and on Ciskei and South African Government money to survive and were generally unsuccessful once the financial and agricultural assistance was removed (Magni, 1999).

Fort Beaufort takes its water from a weir on the Kat River, below the town, after water is released from the Dam. Seymour pipes its water directly from the dam. Other such as Blinkwater, Balfour and Buxton, fall outside the area of the Kat River Irrigation and have to take their water for irrigation and domestic usage from the tributaries of the Kat River on which they are situated (Magni, 1999).

3. CAPACITY BUILDING AS A CORNERSTONE

3.1 Capacity building in catchment management projects

The present absence of set guidelines and structures for CF (Catchment Fora) limits the potential engagement of local and external stakeholders. Even where legal frameworks or guidelines exist, e.g. WUA, local stakeholders may feel ill equipped to enter into this kind of process. Thus, a lack of awareness among local stakeholders of their rights and responsibilities, coupled with a lack of capacity at higher levels, can make any attempt to form CF ineffectual and unsustainable. The reality 'on the ground' is that previously marginalised stakeholders are rarely able or equipped to participate in CF or WUA. It is for this reason that efforts to strengthen local stakeholder capacity are paramount in order to realise catchment management through CF or WUA. There is a pressing need to explore ways in which disabling environments affect the stakeholders' ability to participate and form catchment management structures, as well as to seek solutions which may well help to overcome these obstacles. The importance of the practitioner's role in building the capacity of local stakeholders (particularly the marginalised communities) is reflected in the following statement by Jurgo Van Wyk, Assistant Director, Water Quality Management, DWAF, who points out that: "capacity is often a huge stumbling block" for CF (Van Wyk, pers. comm., 2000).

Capacity building is particularly crucial in groups that were formerly marginalised. These groups have a history of being crushed and may come to the capacity building process with no 'voice', little formal knowledge and very low self-esteem. Added to this is the reality that some of the necessary processes of capacity building - public meetings with all races, for example - can be especially alien and intimidating for the marginalised groups. Possible ways forward in this context include providing a space in which capacity building can take place through a process of awareness building, the creation of institutional structures and the implementation of actions. This report reflects how capacity is an intrinsic part of the participatory process and is embedded in all aspects from conflict through needs' recognition to management. Although this section deals specifically with capacity building, it cannot be seen in isolation from the other processes.

Capacity building for the development and sustainability of CF and WUA must be inclusive of both the formerly dominant and the disadvantaged groups. This is necessary because apartheid policy displaced the skills and abilities necessary for coordinating and developing CF and WUA, both within groups and between groups. Elements such as distrust, distance, discomfort and misunderstanding characterise relationships both between white, coloured and black groups and within them. Thus all parties shy away from open, interactive communication and tend to feel

inhibited in expressing their views openly. For this reason, capacity building should not focus only on the formerly marginalised, but must be an inclusive process.

As an inclusive process, capacity building needs to acknowledge that the formerly dominant and marginalised groups may have differing aspects to grasp, learn and understand. In this, no group should be prioritised - capacity building for all groups should take place together. Jing (2000) draws attention to this in her work in Yunnan Province in southwest China. In this situation, stakeholders differed in terms of power, perceptions and values, and in bringing all the stakeholders together it was found that "it should be the stakeholder with more power who learns to use tools that can be easily understood by stakeholders with less power" (p. 41). Thus the practitioner and the stakeholders need to be sensitive to different needs and refrain from making concrete judgements about groups, as within each issue and task, groups and individuals will require varying support.

Capacity building for catchment management is not about the health of the river, but about the collective and individual health of the communities - physically, mentally, their confidence levels and level of self-esteem, past experiences, fears, strengths and opportunities. This is so with all stakeholders and, in particular, with those who were previously marginalised. Races, gender, ages and cultures have been driven apart and face stark inequalities, power imbalances and misunderstandings. Because CF seeks to bridge these gaps, strong interpersonal skills are a necessity. In this, capacity building in CF does not begin with teaching people about catchment management concepts or by providing once-off training workshops: it is about providing a "therapeutic space" (Boal, 1995, p. 23). This requires working with situations that have blocked catchment relationships, and such situations may be irrational, emotional and sensitive. Thus, the work needs to acknowledge unconscious and conscious forces, heal the 'voices' and encourage openness to listen, encourage desire and the hands and minds to act.

The facilitator is not excluded from this therapeutic space, as the facilitator needs always to be open to self-learning and growth. "A process is therapeutic when it allows - and encourages - the patient to choose from several alternatives to the situation in which he finds himself, the situation which causes him unwanted suffering or unhappiness" (Boal, 1995, p. 25). In this, it is important to recognise that "...the patient does the work" (Boal, 1995, p. 27), assisted by fellow stakeholders and the facilitator in order to aid identification, recognition, resonance, alternatives and solutions.

The various stakeholders must be provided with the necessary platforms¹ upon which they can ask questions or debate their needs. For example, within the KRVP the stakeholder group consisted of commercial white, coloured and black farmers, small-scale farmers and Xhosa villagers. This group agreed jointly that everyone required background information on CF and WUA. They also acknowledged that the method for disseminating the information would need to take into account differences in language, culture, age and needs, while the basic message would remain the same.

Thus, those black, white and coloured stakeholders who were literate were sent written information and further questions were answered on visits or by fax, email or telephone. The illiterate stakeholders need for information was addressed by translating the issues into Xhosa and then presenting the information to them through drama. This was then discussed in groups or individually. The goal of this awareness campaign that seeks to build capacity is that stakeholders will meet and take joint responsibility for their catchment issues, as opposed to trying to do so in isolation. As Highwater (1981) points out, separate processes are by their very nature, not visionary, and cannot promote such an outcome: "For those who are walled up everything is a wall ... even an open door" (Highwater, 1981, p. 213).

An example in the KRVP of bringing together different communities, races, ages and professions was the holding of a drama festival celebrating the tales of the Kat River. In this festival children from different communities staged their plays for an audience of adults, teachers and professionals. It is important to integrate and mix different groups, as this enables the various groups to appreciate different and common needs. Integration and mixing can be achieved by changing meeting venues, so that people drive or walk to places that they don't usually go to and visit different contexts. Such meetings can include a transect walk in which the dwellers show the other stakeholders their area, and investigate up-stream and down-stream effects which encourages stakeholders to examine their relationships with each other.

Integration takes place at the catchment scale, between different groups, as well at the village level. It includes all ages, races, cultures and both genders. It is not a once-off occurrence, it must be built into the CMP, especially because relationships based on trust and communication take time to develop. Also, until stakeholders are in a position to work as collective members of a CF, practitioners must seek to identify opportunities for integration.

¹ In this instance, I define a platform as any event or meeting that seeks to bring about positive change. This can take the form of a workshop, a one-to-one discussion, a newsletter, a festival and so on.

Engendering capacity needs to be seen as an evolutionary process, in which capacity building takes place at every point on the progression. In simple terms, the evolution may involve some of the following changes in a three stage process:

- In the first stage people, usually at the individual level, become aware of their position, rights and responsibilities. This leads them to bring their position, rights and responsibilities into open discussions with fellow stakeholders and wider stakeholder groups in order to form a group. It is from this basis that the group starts to implement agreed functions. Thus, in the first phase of the evolution of CF and WUA, previously marginalised people may move from having little or no 'expert' knowledge towards learning to have a say and realising the need for a structure.
- In the second stage, people may come together with their local and learned knowledge in order to negotiate and find common ground. This articulation and sharing of knowledge allows a shift to learning, hearing, and testing and discovering their voice in motivating for a representative structure.
- In the third phase, participants work together with ability, confidence and the necessary knowledge in order to implement an agreed framework with accountability and responsibility.

Capacity building in catchment management seeks to provide stakeholders with the ability to work together as a group, to organise, mobilise resources, acquire skills in accounting, driving, communicating and coordinating. Within the KRVP, increased stakeholder capacity enabled the local stakeholders to become increasingly enthusiastic and begin to plan for further workshops that would rely on partnerships and create action 'on the ground'. As the work load increased, responsibilities were negotiated and shared. Within this context, the stakeholders came to own the work - they expected continuous updates and accounts of progress. Increased 'buy-in' to catchment management projects multiplies the amount of work, as was demonstrated in the KRVP between the months of May and July 2000 in which approximately 33 platforms were provided for stakeholders (see Appendix A).

3.2 Concepts of capacity building

Many of the concepts below are derived from Boal (1995):

- Capacity building is about the person and therefore necessitates practitioners being able to see and appreciate participants as human beings.
- Capacity building is about seeing the person as an 'equal' human being, and not perpetuating power imbalances.

- Capacity building is about enabling collective learning.
- Capacity building is about creating a space, a platform, a place of representation that enables stakeholders to observe, to perceive what they are, discover what they are not, and imagine outcomes and possible actions.
- Capacity building has got nothing to do with fancy technology, meeting rooms - it is concerned with the stakeholder.
- Capacity building acknowledges stakeholders' local, collective and self-knowledge. It should provide a platform upon which stakeholders can visualise, dramatise and reflect on the situation from different angles and viewpoints. It should encourage the role playing of different perspectives to imagine varying actions and to explore alternatives.
- Capacity building acknowledges that human beings are capable of imagining themselves in a situation or picturing an event that they have been through - that they can see it, act it, feel it and think it. In this way, future or possible scenarios can be prepared for and reflected upon. This ability belongs to the stakeholder within their context.
- Capacity building can play out all possible combinations of a situation. Elements of the topic can be stretched or condensed in terms of time and space. For example, a role-played negotiation can be enlarged to focus on gaining a voice and seeking options, while omitting the other features for the moment.
- Capacity building encourages reflectivity so that a stakeholder can learn "to be his own spectator" (Boal, 1995, p. 13). In addition, other stakeholders can also add to, guide or offer suggestions in a portrayed situation.
- Capacity building is centred on the stakeholder, and it is the stakeholder who enters into negotiations and discussions concerning catchment management.
- Capacity building that uses drama - image techniques, games and special improvisations - provides the space to develop and reshape ideas and worldviews "by turning the practice of theatre into an effective tool for the comprehension of social and personal problems and the search for their solutions" (Boal, 1995, p. 15).

- Capacity building works with human concepts (feelings, emotions, life experiences, fears and strengths), stimulating learning, knowledge exchange and internalising. In so doing, it inspires.
- Capacity building liberates ideas, emotions and sensations, in the encouragement of self-growth.

4. THE BASIS OF METHODOLOGY AND METHODS

4.1 Introduction

At the WRC Steering Committee Meeting (2000), a proposal was tabled that a set of guidelines should be produced. It was envisaged that these guidelines would enable other practitioners to bring about capacity building and the involvement of stakeholders in forming CF and WUA structures. At the time, I agreed to take on the task. However, as I began writing I realised that it would be irresponsible to provide a neat, uncomplicated text, accompanied by pictures, which laid out the steps taken for the methods used. I came to this decision based on the realisation that practitioners themselves have to evolve, as many are still at a level where their most pressing need is for awareness. Practitioners need to acknowledge the necessity of their own development in the field of participation and that it is only through this, that they will mature. I hope to be able to bring out the display of photographs, hints and tips one day, but at this point, such a gesture would not be helpful to achieving true participation on the ground.

There is a disturbing trend in development work - that it, or any community work, is considered 'easy': all one has to do is run some workshops, talk to the people, draw some maps and the job is done. I cannot stress strongly enough that this is not so. On the contrary, development work is underpinned by a range of interwoven concepts and principles, with the essence of the method being focussed on seeing participants as people, and not as objects of research or development.

Boal (1995) reports on learning this particular lesson. He acknowledges how he initially attempted to simply 'apply' drama as a method, without understanding and acknowledging that the focus should be the person:

I had learnt to see a human being, rather than simply a social class; the peasant rather than the peasantry, struggling with his social and political problems. With the big Peruvian woman, I learnt to see the human being struggling with her own problems, individual problems, which though they may not concern the totality of a class, nevertheless concern the totality of a life (Boal, 1995, p. 7).

It is utterly inappropriate for practitioners to think that participatory catchment management is about applying a tool kit of 'tricks' and so-called 'approved methods'. Such a view leads to harmful, lazy and even discriminatory practices. Sadly, such work is on the increase, as 'professionals' from other fields come under pressure to include the 'people', if they (the 'experts') are to secure their funding or bolster reputations. No degree, no position and no amount of status can sanction people meddling in a field in which they have no background, training,

empathy and knowledge. Participatory work requires as much training and adherence to principles as does any professional work, such as engineering, medicine, and so on.

It is time that we as practitioners turn to look long and hard at ourselves in the mirror. We need to be responsible with our methods by questioning what we are doing with them, and be aware of the very real possibility of shaming ourselves and the work, with expedient practices. It is vital that each of us, as practitioners, acknowledge that we have choices and a voice, and that we have a responsibility to use our voices to speak out against harmful work.

In this, it is appropriate that quality assurance is such a major concern of practitioners and trainers. It seeks to address issues such as "sloppy, biased, rushed and unself-critical work" (Chambers, 1994a, p. 2) being labelled Participatory Rural Appraisal (PRA) in an effort to legitimize it. Part of the problem, no doubt, is that PRA has become fashionable and there is a temptation to pull even extractive, dominant behaviour and top-down work beneath the umbrella of PRA (Chambers, 1992a).

In discussing the work of the KRVP, I will draw predominately on a theoretical and conceptual understanding of the methods of Chambers (1992a) and Boal (1995, 2000). It should be pointed out that Chambers and Boal use similar methods in different contexts: PRA and Theatre for the Oppressed respectively. The principles and methods of PRA are explained in Sections 4.4, 4.5 and 4.6, while Theatre for the Oppressed is outlined in Section 4.7. In the KRVP, an eclectic approach was used that drew on both and used concepts simultaneously e.g. incorporating drama into a transect walk. Grasping a thorough understanding of the conceptualisation of method enables the method's full potential to be utilised, providing the practitioner with a greater ability to enhance capacity building, sustainability and the full involvement of stakeholders.

4.2 Methodology

Methodology is the philosophical framework which guides the research activity. This framework guides the choice of the research objectives and thus the attendant data-gathering and the methods used to analyse the collected information (Fien & Hillcoat, 1996). Thus, the framework "prefigures what is to count as appropriate research topics, appropriate research questions, and even appropriate research outcomes" (in Fien & Hillcoat, 1996, p. 26). Consequently, it is necessary to clarify that participatory methods and action research were used within a post-modern² orientation drawing on critical theory. This orientation motivates participants towards an analysis of the causes and consequences of the problems encompassed in the questions, and

²In this, I follow Flew's (1979) definition of postmodernism as a school of thought which stands "against confidence in objective or scientific truths" (p. 294).

points towards a range of possible solutions. Critical theory is grounded in a vision of social change and democratic values, in that it seeks to empower participants through the research process (Fien & Hillcoat, 1996). A central tenet of critical thinking is that it focuses on the potential of understanding human beings, and it is this understanding that encourages in participants the desire to transform society and liberate themselves and others. It also seeks to unmask and analyse the structures of oppression which hinder catchment management, and is practical in the sense of providing catchment people with the "understanding, skills and motivation they need to bring about desired changes" (Fien & Hillcoat, 1996, p. 29).

4.3 Participatory thinking

The last 18 months on the KRVP have proved to me that research contributions and design are interactions that are rooted in stakeholders within a process of change. In the research process that I embarked on, I worked towards openness and flexibility and became increasingly participative and reflective. In this journey, I began to work together with participants, friends, fellow researchers, the funder and other institutions.

Throughout, I was very committed to 1) the principles of PRA, 2) the pillars of participatory tradition and 3) a shift from traditional methods that relied on the verbal, to flexible, visual methods. In this, I was heavily influenced by the work of Lincoln & Guba (1985), Chambers (1992a, 1992b, 1994a, 1994b) and Pretty et al., (1995). Consequently, in this report, the discussions of the above three issues are rooted in the work of the authors mentioned above.

4.4 Principles of PRA (Participatory Rural Appraisal)

The KRVP embraced participatory research as an approach and a technique through which to deepen understanding of stakeholders' lives, with the assistance of the stakeholders themselves (Chambers, 1994b). Participatory research sets out to gain a deeper understanding of the fullness and significance of stakeholders' knowledge, in an effort to facilitate community engagement and change.

The KRVP was founded on participatory principles, as outlined below:

- participatory research involves the full and active participation of the community in the entire research process;
- participatory research involves a range of powerless groups of people: especially the exploited, the poor, the oppressed, the marginalised etc.;

- the process of participatory research can create a greater awareness in people of their own resources and it can mobilise them for self-reliant development;
- the researcher is a committed participant and learner in the process of research, which leads to militancy on his or her part, rather than detachment;

Chambers (1992a) suggests that the above participatory principles need to emerge naturally rather than by prescription. He adds that participatory approaches also places an emphasis on the behaviour and attitudes of the researcher in their engagement with stakeholders.

This approach was more than a mere collection of innovative techniques. It involved self-critical awareness³ of attitudes and behaviour of both fellow staff and myself. Together we set out on a journey with an openness and a readiness to engage in critical self-awareness through learning in the field, by experiencing, taking responsibility for what we did, making mistakes and always trying to do better (Chambers, 1994b). Chambers (1992a) argues that constructive criticism sharpens "the rigour and adds to the repertoire of Participatory Rural Appraisal" (p. 51). Consequentially, our endeavour for critical awareness required:

- learning from and with rural people and stakeholders, directly on-site and face-to-face;
- learning rapidly and progressively, with conscious exploration, flexible use of methods, improvisation, cross-checking, and not following a blueprint programme;
- respect for rural people and stakeholders;
- interest in what rural people and stakeholders have to say and show;
- patience and no interruptions;
- humility;
- using materials and methods that empowered rural people to express and analyse their knowledge;

³ Chambers (1992a) defines self-critical awareness and responsibility as "meaning that facilitators are continuously examining their behaviour, and trying to do better. This includes embracing error - welcoming error as an opportunity to learn to do better; and using one's own best judgement at all times, meaning accepting personal responsibility rather vesting it in a manual or a rigid set of rules" (p. 15).

- not imposing 'our' ideas, categories, values, making it difficult to learn from 'them', and making 'them' appear ignorant when they are not;
- not imposing academic pressures, including the desire for formal statistical respectability, and the compulsion to measure things rather than compare, rank, score, identify trends (modified from Chambers, 1992a).

Participatory methods brought about the following changes to the KRVP:

- **a reversal of learning**, in which the practitioner is able to learn from rural people, directly on site and face-to-face, gaining from local physical, technical and social knowledge;
- **learning rapidly and progressively**, with conscious exploration, flexible use of methods, opportunism, improvisation, iteration, and cross checking, not following blueprint programme but being adaptable in a learning process;
- **offsetting biases**, especially those of rural development and tourism, by being relaxed and not rushing, listening not lecturing, probing instead of passing on to the next topic, being unimposing instead of important, and seeking out the poorer people and women, and learning about their concerns and priorities;
- **optimizing trade-offs**, relating the costs of learning to the useful truth of information, with trade-offs between quantity, relevance, accuracy and timeliness. This includes the principles of optimal ignorance and personal responsibility⁴. It is better to be approximately right than to be precisely wrong. Getting approximate answers to the right questions is preferable to receiving correct answers to the wrong questions.
- **triangulating**, which means using a range of methods and various investigators and/or disciplines to cross-check the information;
- **seeking diversity**, in terms of seeking variability rather than averages. It goes beyond the cross-checking of triangulation; for (broadly defined) it deliberately looks for, notices and investigates contradictions, anomalies and differentness (Chambers, 1992a).

⁴ Combining optimal ignorance and personal responsibility. "This means that methods or processes are not facilitated for their own sake, but only if they make sense in the context" (Chambers, 1997, p. 161). "This moves against the tradition of research, against the bias of the education system, and against the drives of curiosity, but is in harmony with the principles that administrative (in this case information-gathering) capacity is a scarce resource, and that in complex situations activities should be optimal not maximal" (Chambers, 1993, p. 19).

4.5 Pillars of participatory tradition

There are three basic pillars of PRA: 1) methods, 2) behaviour and attitudes, and 3) sharing. Their significance has been stressed in that order (Chambers 1992a; 1994b).

- **Participatory methods:** seek to facilitate analysis by rural people of maps, diagrams, explanation, planning, monitoring and evaluation. The rural people take on the role of the researcher by undertaking what the researcher has previously done (Chambers, 1992a; 1994b).
- **Behaviour and attitudes:** in order to enable local people to confidently voice their own knowledge, to carry out their own analysis and to state their own priorities, the proverbial 'stick' must be handed over: "the prime actors are the people. The outsider is less extractor, and more convenor and catalyst" (Chambers, 1992a, p. 45).
- **Sharing:** Chambers (1994b) stresses that sharing has two threads, i.e., sharing knowledge and sharing experiences. He asserts that sharing knowledge takes on the following forms:
 - i. Local people share knowledge amongst themselves of what they have found.
 - ii. Local people share with the outsiders. Initially, outsiders restrain themselves from putting forward their own ideas or their reality.
 - iii. Practitioners share their findings with each other and with the local people.

He advocates that knowledge must be shared willingly with others and that academic possessiveness must be avoided. The work is not about owning ideas or methods, it is about sharing them openly (Chambers, 1994b).

At a broader level, the sharing of PRA experiences permits practitioners from around the world to learn from each other. Also, sharing participatory experiences allows for self-critical appraisal (Chambers, 1992a; 1994b).

4.6 Flexible methods that draw on visualisation

Although this section covers methods, it is crucial to understand that methods alone cannot assure a participatory outcome. It is the philosophy that underpins and drives the methods that does so. Ironically, it is possible to use participatory methods in an extractive manner and therefore fail to achieve true participation. (Please refer to Section 4.2 for a discussion on methodology.)

According to Chambers (1994a, p. 1), PRA is "...a growing family of approaches and methods to enable local people to share, enhance and analyse their knowledge of life and conditions, to plan and to act". Some of the most commonly used PRA techniques include:

- direct observation and 'do it yourself'
- discussion with key informants
- case-studies and stories
- group discussions
- participatory mapping and modelling
- transect walks
- time-lines, and trend and change analysis
- seasonal calendars
- daily time-use analysis
- wealth ranking
- matrix scoring and ranking

(Chambers, 1992a, 1994a; Pretty et al., 1995; Motteux et al., 1999a.)

Various practitioners (Mukherjee, 1993; Pretty et al., 1995) have shared their experimental innovations that involve a move from the verbally-orientated methods (formal interviews and written assessments) to visually-orientated ones (mental mapping and diagramming). Chambers (1992a) states that any combination of visual methods with verbal, with "early primacy to the visual, can be strong, and stronger than either exclusively on its own" (p. 44). In the table below, verbal and visual modes are contrasted, highlighting the differences between questionnaire and workshop modalities. A workshop can be defined as an active, fluid meeting which enables collective learning through interactive methods.

Table 2: Comparing the verbal and the visual (Chambers, 1992a, p. 43; Pretty et al., 1995, p. 79).

The Components:	Verbal (Interview, Conversation)	Visual (Mental Map, Diagram, Model, Drama, Play)
Investigator's mode and role:	A probing investigator	A facilitator and catalyst
Local person's mode and role:	A reactive respondent	A creative analyst and presenter
Aim:	Extraction of information	Working towards local analysis

Local people's awareness of investigators:	High	Low
Degree of eye contact:	High	Low
The medium and materials chosen by:	Investigators	Local people
Information flow:	Sequential ⁵	Cumulative ⁵
Accessibility and stability of information to others:	Low and transient	High and semi-permanent
Responsibility for cross-checking held by:	Team members (outsiders)	Local people and team members
Ownership of information:	Appropriated by investigators	Shared, can be owned by local people

Writers such as Chambers (1992a) and Pretty et al. (1995) claim that most participants have a natural competence for visual literacy and that this ability enables participants to "share, enhance and analyse their knowledge" (Chambers, 1992a, p.1) of life in a profound way. Visual methods enable non-literate and literate people to work with each other in the process as equals. Visualisation generates pictorial or symbolic representations of different types or aspects of rural life. There is increasing evidence that visualisation is effective. Pretty et al. (1995) report that visualisation can "provide a focus for attention while discussing an issue; stimulate discussion by both non-literate and literate people; can represent complex issues or processes simply; provide a means for cross-checking and therefore provoke effective group work; evoke creative associations; stimulate people's memory about their past and present situations; reinforce the written or spoken word; and assist in decision-making and monitoring" (Pretty et al., 1995, pp. 77-78).

There are many different types of diagrams and visualisations. These include resource maps (agro-ecological zones, land tenure, land use, etc), social maps (health, wealth and well-being, etc.), mobility maps, transects time lines, linkage diagrams, impact diagrams, pie diagram and Venn diagrams (Mukherjee, 1993; Pretty et al., 1995).

⁵ Traditionally, research is seen as a linear process with a final analysis upon conclusion. In participatory methods research is seen as a process in which people continually learn collectively and critically reflect as they grow.

Participatory approaches were the umbrella of thinking beneath which the KRVP work took place. The main tenets of PRA concepts are, according to Chambers (1994b), still emerging and developing. This necessarily required that the practitioner remained critical and open with his or her preferences. It is central in any endeavour that PRA's richness, flexibility and openness to complexity is capable of being shared with other practitioners to ensure participatory approaches continue to be flexible, adaptable and innovative (Chambers, 1994b).

It must be stated that the realities of rural conditions often oblige the researcher to be innovative, adapting these standard techniques and utilising alternative modes of articulation and interaction.

4.7 Theatre for the Oppressed (Boal, 1995)

The more 'standard' PRA techniques used in KRVP workshops included diagramming, transect walks and discussions. However, the nature of the research situation necessitated the use of additional techniques not commonly used in PRA. These included, story-telling, 'forum theatre' and 'freeze-frames' (Boal, 1995; Motteux et al., 1999b; Burt, 2000a).

Forum-theatre: required the use of outside and local actors as facilitators to provide a fictional context with which the community could identify. This allowed for participatory experiences, discussions and problem-solving. For example, Ms. Molly-Anne Nqweniso, an actress working on the KRVP, dramatised the part of a farmer who did not respect her environment. With the assistance of community children who acted as 'elements' in the environment that she was misusing and exploiting, the community members were encouraged to voice their objections and concerns regarding her actions. Typical scenarios included chopping down trees, littering, using the river as a toilet, killing birds and washing in the river. The play was first performed with the community as passive observers. Following a subsequent discussion, the community was then encouraged to take a more active role in a re-run of the play. This was achieved by the community articulating its objections to the farmer's actions and identifying possible solutions. This process helped to encourage group interaction, problem identification and the internalisation of key environmental considerations.

The **freeze-frame technique** was used with children. This involved the actress miming specific actions which were likely to have environmental implications, for example, chopping down a tree. The action was then 'frozen' at a crucial point and the children were asked to identify the cause and effect relationship of that particular action on the environment.

In the course of the workshops it proved necessary to monitor the effectiveness of the methods carefully, and where necessary, to adapt them. This ensured that they remained appropriate to the needs and requests of the participants.

The efficacy of drama in development work is passionately espoused by Boal (1995), particularly in his work "The Rainbow of Desire". In the KRVP, the dramas were used to provide a platform upon which people could observe, enter into a situation, seek options and contribute. Drama encourages environmental transformation as the human "observes itself, the human being perceives what it is, discovers what it is not and imagines what it could become. It perceives where it is and where it is not, and imagines where it could go. A triad comes into being. The observing-I, the I-in-situ, and the not-I, that is, the other. The human being alone possesses this faculty for self-observation in an imaginary mirror" (Boal, 1995, p. 13).

This metaphorical mirror becomes ever clearer and more reflective when participants become involved in the drama and use it as a tool for themselves to seek out, and play out, alternatives. For 'a drama' to become 'the people's drama', it needs to be able to respond to the voices, actions and silence of the people. In this, it becomes a conduit for the needs of the people. The depth of the metaphorical mirror provided by each drama is dependant on the extent to which the audience is able to become a part of the drama. As the audience becomes part of the show, the boundaries of traditional theatre are broken down. The observers becomes active "spect-actors"⁶ (Boal, 1995, p. 40) and, in this, begin to play a part in mirroring alternatives by posing other options.

In the KRVP, the depth of dramas varied considerably depending on factors such as the time available, the aims and objectives of the programme, the extent of exposure to drama as a tool and the level of commitment. Drama was used to raise awareness, to transfer information, to give local stakeholders a voice, to find strategies and alternatives, to break the ice, to encourage two-way communication and to set the scene. Drama was used across the full spectrum of ages, professions and cultures, and with both genders.

4.8 The concept of space in participatory workshops

The space created for development is a means to encourage "human discovery" (Boal, 1995, p. 13). Such a space is not about the venue, the props or the costumes. Rather, it is about creating a platform, with little attention to physical construction. Thus, the space may be under a tree or inside a ramshackle single room - it actually doesn't matter where it is - as long as the space has been consciously set aside as a place in which to engage with stakeholders or the oppressed. This space relies not on artificial outside props, but on human capacity, as Boal (1995, p.19) points out: "With the actor is born the theatre, the actor is theatre. We are all actors: we are theatre".

⁶ In Theatre for the Oppressed there "are no spectators, only active observers (or spect-actors)" (Boal, 1995, p. 40).

In its simplest form the physical space is a "space set apart, a place of representation" (Boal, 1995, p. 13). It is into this space, surrounded by the things which occur in it, be they old tractor wheels, washing lines, donkeys or harvested potatoes, that the stakeholders enter. It is the stakeholders' choice to enter into this space and to agree to work in it. If there is unhappiness with the space, it can be shifted to another setting. Once the stakeholders accept it and perceive it as theirs, the space comes into being - a 'stage' can be set, seats can be arranged and stakeholders' food cooked. In this, the space becomes alive.

A working space must never be taken for granted, for it can be politically loaded through inherent associations and cause some groups to feel marginalised. This raises the need to explore options, fears, needs and practical issues by creating different options of where to meet and work. Therefore, in planning catchment, inter-community or community meetings, a platform should be provided upon which stakeholders can participate in exploring which venue would be the most suitable.

Since it is the stakeholder's choice to enter into the space, they may choose to step onto the 'stage' and present their scenario by acting, talking or drawing, or by remaining within the circle in the role of a spect-actor. Stakeholders may enter or leave (go home and come back), and need no permission from the practitioner or others to do so - this is because the space is theirs. The creativity, the learning and the challenge of the work defines and makes the space separate. At the end of the working session, the participants leave and, with their departure, the space returns to being an object (a tree, or a broken house).

Stakeholders come into and actively become a part of this space, motivated by a desire to make a change, a transformation. In this way, they come with intent. In *Theatre for the Oppressed*, there "are no spectators, only active observers (or spect-actors)" (Boal, 1995, p. 40). The space is intensely emotional, as it is filled with people's truths as they search for solutions.

With the help of the spect-actors, the situation can be viewed from many different angles and re-played in order to find a solution, as the following example from the KRVP shows. In a meeting at Fairbairn, a subject used movements and voice to explain the communities' repeated and futile attempts to establish effective management of flow releases. Community role players had previously travelled to Seymour, Bisho, Somerset East and East London to solve this issue without any success. The drama portrayed the frustration, the feelings of helplessness and the pressing knowledge of the importance for a negotiated flow regime to ensure domestic water and ability to irrigate crops. In the forum, it was decided that all stakeholders (National, Provincial Government and local) needed to come together and form an agreement. Other scenarios were also investigated, such as going back to the Provincial officers, building a weir, applying for taps and stopping farming. The drama allowed the situation to be thoroughly explored and consequently,

when drawing up the proposal to establish a WUA and CF, the ideas, needs and goals were well understood.

The creation of space makes use of existing architecture and equipment: a discarded tin becomes a soccer ball, a stick becomes a fishing rod and a strip of grass, a river, for example. These objects are not fixed, they can take on other guises. This method ensures that the stakeholders do not become dependent on outsiders' materials. It is a fundamental point of Theatre for the Oppressed, that it does not rely on costumes to make a character, but rather on human capacity to represent the character. In doing so, participants are challenged to engage with the situation and to recall their own knowledge. Thus the voices and the action cannot be packed away and removed with the outsiders' props. In fact, the use of outside props can mis-represent situations and cause core stakeholder issues to be lost.

An example of how depending on human capacity is far preferable to depending on outside props can be found in the KRVP. The incident occurred at the point at which the drama team were working out the environmental awareness programme by exploring and developing their performance pieces. The team requested me to find a frog outfit. However, Ms. Jane Burt, the environmental educator, disagreed that there was a need for such an outfit. Rather, she said, there was a need to improve the movements of the actor playing the frog, and offered various coaching suggestions. She was adamant that it is not the costume that makes the frog, but the human. The resultant (very successful) performances proved her right.

5. CONFLICT IN CATCHMENT FORA (CF) AND WATER USER ASSOCIATION (WUA) NEGOTIATION

5.1 The nature of conflict

It would be naive for practitioners to presume that CF and WUA are not bedevilled by stakeholder disputes such as misunderstandings and conflicting transitory interests. The emotions of those involved also need to be taken into consideration. Conflicts in catchment management and WUA usually spring from issues such as water entitlements, water flow regulation, the building of dams, and pollution.

In terms of our highly complex, competitive society, conflict is an inescapable actuality. This is even more true of water resource issues in farming communities, where water is an integral factor in economic livelihood. In such contexts, a lack of conflict is not an indication that there is none, but rather that it has been suppressed out of fear of the consequences. Such attempts to control serious conflict does not, in fact, resolve the difficulties, but protracts them.

An illustration of the point in the Kat River Valley that water disputes in farming areas are a common phenomena, and have been for some time, is the fact that there was a need for the Boedel Erven Act of 1905, which required a landowner to allow a small stream of water to flow in the furrow adjacent to his property, for the benefit and use of downstream users (Logie, 1997).

Within the broader South African context, characterised as it is by tribalism, racism, sexism, ageism and numerous community and business conflicts, catchment management seeks to integrate stakeholders in the management of their natural resources. Differences in social and economic status, cultural backgrounds, race, gender and divergent expectations are commonly cited as the reasons for raising 'walls' between people, which create and exacerbate conflict. I believe that it is crucial that catchment management encourages the 'walls' to be broken down, and allows stakeholders to use their differences for mutual growth. Ultimately, stakeholders can then deal with their differences as partners in the search for better catchment management.

It is a sad fact that most people fear conflict and perceive it to be a negative experience. Often, this is expressed in an unwillingness to even admit that there *is* a conflict, as this 'admission' is seen as an indictment on the status of the shared relationship: that it is either doomed or defective. An ability to actively engage and deal with conflict is also diminished by the fear that any attempt to do so is merely an exercise in futility.

In the Kat River Valley Project (KRVP) specifically, the stakeholders did not initially consider negotiation either a useful or constructive tool. Their resistance to the process of negotiation as

a method of problem-solving led to situations where issues were not handled effectively. In fact, even after recognising and acknowledging the need to negotiate, many of the stakeholders were clearly uncomfortable with the idea and preferred to resort to ineffective techniques such as coercion, capitulation, recriminations, fighting or simply referring the matter on. An example of such an instance was the fact that two groups of stakeholders, neither of whom had water-secured allocations, dealt with the process of negotiation in completely different ways: the commercial farmers, fearing conflict, became reticent and preferred to refer matters on, while the rural communities embraced the need for change and were more motivated to be a 'hands-on' part of the process. Also, within the KRVP Drama Team, a creative, brilliant facilitator and actor was alienated by other members of the team, which led to arguments and recrimination.

Learning how to deal effectively with conflict resolution is an essential skill for practitioners. Resolving deep-seated human conflict is probably the most challenging and complex task faced in CF and WUA alike. The kind of conflict that these two agencies are primarily concerned with is entrenched and occurs at all social levels - in familial relationships, in the workplace, and in the community. The effects of poverty and the implications of a multicultural society are important influences. There is no doubt, though, that most of these problems are grounded in frustration and a historical lack of participation and identity. Their expression is found in feelings of alienation, disinterest in long-term environmental care, and in the eruption of emotions which affect the sustainability of catchment management and WUA.

Of course, these are not the only kinds of conflict that the practitioner will encounter: there are others, less deep-seated, which also affect the process, such as management problems and the more commonplace conflicted relationships. It should be noted that, although I focus on stakeholder conflicts in this report, it is important to bear in mind that a practitioner may also deal with conflict within his or her own organisation. Such conflict is motivated by varying concerns as ambition, personal dislikes, authority relationships and other issues common to the working environment. Also, in development work specifically, conflict may arise between one's own organisation and others, including the funder, due to divergent ideas and development priorities.

To illustrate the above point: in the KRVP, intra-organisational conflict arose in situations where work undertaken by students and other researchers was not underpinned by the mind set, knowledge and skills crucial to informing community-based work. Thus there was no recognition that the villagers are the clients, that the work is not extractive, and that it should not be an academic exercise, but should focus on the stakeholders. Thus, conflict situations were recurrent and required repeated explanations and readjustments. This is, of course, vital so that differences do not escalate into truly damaging scenarios.

It is clear from the nature of the conflict situations that catchment management and WUA will commonly deal with, that the practitioner entering into catchment issues could be said to be intervening in social relationships. Naturally, these social relationships are both swayed and shaped by inherent power relations. With this in mind, the practitioner needs to observe ethical considerations and, equally, needs appropriate training and experience to ensure that no harm comes to the stakeholders or the relationships between the parties in dispute.

Given the above, it is obviously important to predict and recognise the conflict, as well as its underpinning causes. Here the practitioner is required to make a concerted effort to understand the core of the conflict, as opposed to merely its expression in the present circumstance. This necessitates a profound and empathetic appreciation of the historical context in which the conflict is embedded.

The process of predicting, acknowledging and engaging with conflict offers important benefits. Many writers recognise that conflict may stand as a catalyst for negotiation, for example: "Conflict occurs when people have separate and conflicting interests and needs. Negotiating parties may be subjected to different forms of conflict, depending on their needs and interests at the time or the needs and interests of their constituents (the people they represent)" (Pienaar & Spoelstra, 1996, p. 19). The ability to negotiate is essential to contend with conflicting interests and needs. In this way, conflict can serve as an opportunity for mutual growth and can, in itself, actualise alternative ways to employ catchment management and develop WUA.

The application of the new water law is a context which requires stakeholders, practitioners and organisations to grow. The consequence of such growth is that a barrage of new ideas, attitudes, beliefs, thoughts and perceptions must necessarily converge, causing conflict to emerge. In the spirit of the new water law, this process must be a transformation in which all parties evolve and work together to become partners in catchment management.

5.2 Managing conflict

We are living in the era of negotiation, as the following quotations show: "just as we cannot exist without communicating, so we can barely exist without negotiation" (Pienaar & Spoelstra, 1996, p. 2), "Negotiation is a process of interaction between parties directed at reaching some form of agreement that will hold and which is based upon common interest, with the purpose of resolving conflict, despite widely dividing differences. This is achieved through the establishment of common ground and the creation of alternatives" (Pienaar & Spoelstra, 1996, p. 2). Pienaar & Spoelstra (1996) and Fargher (1999) have also noted that negotiation is an exchange of information through communication, and that the intention of this dialogue is to work towards

establishing a consensus between parties who have aspects in common while opposing other issues.

Importantly, the Pienaar & Spoelstra (1996) definition notes that negotiation is a process, "not an event" (p. 3). Equally then, catchment management negotiation is also a process over time, not a 'once off' or a 'quick fix'. It is necessary that stakeholders seeking to negotiate various issues such as water allocations, a WUA constitution, or the Catchment Forum (CF) and its functions and commit to regular meetings with continued tasks and evaluations. In this way, a process unfolds with time and with a future goal in mind. Within the KRVP, the negotiations involved in establishing the constitution for the WUA, for example, took place over a series of steps, each of which were agreed upon, with the entire process then summarised by the KRVP team and presented to all.

Pienaar & Spoelstra (1996) refer to seeking and creating alternatives, highlighting flexible and adaptive action as vital in establishing catchment management and WUA. Essentially, stakeholders need to consider various options open to them. This, in turn, suggests that negotiations need to encourage stakeholders to be receptive to new ideas.

Nader (1995) notes that the shift in thinking from focussed to basin-wide water management is dependent on cooperative relationships between people of different cultures and varying economic prosperity, all of whom have different requirements and standards regarding water quality. The more affluent groups use river water for industrial, irrigation and waste disposal purposes, and the less affluent for drinking water. Given these stark contrasts, negotiations in this context need to be based on an "understanding [of] the historical and socio-cultural contexts and social situations" (Nader, 1995, p. 61). Nader (1995) also refers to Zartman & Berman's text - *The Practical Negotiator* - which points out that although it is widely agreed that negotiations should be sensitive to and cognizant of different cultural approaches, it is, in practice, an issue that is often ignored and one that remains "peripheral to the understanding of the basic negotiating process, and this relates to language, cultural connotations, social rules and taboos, and other aspects of communication" (Nader, 1995, p. 47). Clearly then, it is a blunder for catchment management and WUA practitioners - especially in South Africa - to disregard cultural differences in negotiation practices.

5.3 The practical side of negotiation

The practitioner should pay great attention to the practical planning of negotiation. Planning need not be boring: in fact, if it is done well, it allows creativity, reveals commonalities and increases the negotiator's flexibility. Sufficient time accorded to planning will ensure that meetings are well-grounded.

It is important to create an atmosphere in which conflict resolution can occur, one that promotes positive commitment to interaction and the process itself. The creation of an appropriate atmosphere depends heavily on the practitioner's preparation, as well as the timing, the location and the seating arrangements for the meeting.

Without thorough preparation, practitioners have little chance of a successful conclusion to their efforts, and also risk incurring loss of interest from the stakeholders. There is no doubt that negotiation is an extremely complicated interpersonal process.

The location of the meeting needs to be accessible to all stakeholders. In the KRVP, it was important to shift away from the 'home turf' of the Irrigation Board to new ground, to symbolise a new start on neutral territory for the WUA. The old Irrigation Board venue could have potentially intimidated rural communities and discouraged any sense of a partnership. It was important that the location of the meeting was one that was non-threatening and inoffensive to all the stakeholders in the catchment. With this in mind, the Mpofu Training Centre was chosen as the most convenient venue and as one which would encourage the various groups to seek partnerships with each other.

The date and time of the meeting also need to be carefully considered. Planning to hold a meeting at the end of the harvesting season, or on a day when pensions are collected, will prevent stakeholders from being able to attend. In terms of the layout of the room, a circular seating arrangement is preferable, rather than tables facing each other.

A relevant agenda for negotiation can be ensured by observing the guidelines listed below.

- Prepare thoroughly.
- Invite all stakeholders and allow them to decide whether or not they wish to attend the meeting.
- Identify issues of concern by focussing on both individual and collective needs.
- Explore and establish the concerns underlying the issues.

Planning requires the following steps:

- Analysing the issues.
- Setting clear, specific and realistic goals before entering the meeting. In this, one needs to establish the top line objectives, the target objectives and the bottom line objectives.
- Developing a strategy.

- Assessing strengths and weaknesses. This includes ensuring that there are appropriate facilitators, that there is enough information, and analysing what the likely group dynamics may be.
- Setting the stage, i.e., ensuring that the seating arrangements are effective and conducive to negotiation.

Implementing requires the following steps:

- Getting started: opening the negotiation and setting the agenda.
- Looking for common ground and collective understanding by accessing information. Commonly, negotiations make use of a range of questions to achieve this, such as open, probing, hypothetical and closed questions. The information elicited needs to be verified by summarising regularly. These summaries need to reflect only what has been said, i.e., with no 'editorial comment', and should be generated after listening to responses in full, without interruption. This establishes the stakeholders' positions clearly.
- Moving towards agreement often requires negotiating impasses. Such deadlocks are common when stakeholders have divergent objectives, or when the relationships have traditionally been embedded in misunderstanding. In the case of an impasse, a practitioner can actively encourage the stakeholders to reconsider their positions by offering a platform upon which the issues can aired. It is not wise to stop a negotiation in the instance of an impasse. It is far more preferable to rather return to the information stage, to create time to reflect on the problem, to actively investigate what the barriers are to the negotiation, to be clear about the consequences of failure in reaching a negotiated solution, and/or to bring in a third party to act as a mediator.
- The conclusion of the negotiation can be used for reviewing and reflecting on the negotiation, for the formulation of an agreement and for identifying the next step.
- Review and critical reflection of the negotiation process by the negotiating team. This review should be exhaustive: from strategy, to implementation, to products. In doing this, it is useful to evaluate the inputs, outputs and outcomes in terms of the strategies and actions adopted. It is also important to explore issues that hindered the negotiations and investigate whether there is any follow-up that can forestall future deadlocks. Further issues that are central in the reviewing process are: to establish whether all stakeholders were partners in the negotiation, whether they understood the issues to hand, whether any stakeholders were intimidated and, if so, why, and how this could be addressed. Practitioners also need to thoughtfully consider which situations in the near future are likely to require negotiation.

Writing a report of the meeting is essential. A report serves as a record for all present, especially in light of the fact that negotiation is a process, not an isolated incident. Also, writing reports

encourages accountability and transparency. Often, being engrossed in the immediacy of the negotiation process means that agreements can be forgotten. A written report allows one to return to an issue and renegotiate if necessary. At each meeting, someone should be responsible for taking minutes and ensuring that stakeholders, or elected representatives of stakeholders, receive mailed copies within two to three weeks after the meeting.

Participants invited to the KRVP Stakeholders' Meeting (1999) were: representatives from the rural communities; representatives from the commercial farming community and the Kat River Citrus Co-operative (Katco); and various local, national and international advisors on catchment management, namely Dr. Ralph Heath (Rand Water), Mr. John Fargher (Director, Natural Resources, Forestry & Development, URS Asia Pacific), Mr. Konanani Khorommbi (Catchment Management Directorate, DWAF) and Mr. Steve Mullineux (Regional Department of Water Affairs & Forestry, E.Cape). Rhodes University was represented by Prof. Kate Rowntree, and myself as facilitator.

This meeting set out to determine the underlying needs of the stakeholders. To establish common ground, the stakeholders formed small groups of their own choice, each with a facilitator. The stakeholders - rural villagers, commercial farmers and DWAF personnel - introduced themselves before beginning the first task, which was an exploration of a range of questions designed to elicit opportunities, threats and needs. Each member of the group wrote their individual contributions onto small pieces of paper, which were then collectively grouped into topics. Each stakeholder was given the opportunity to expand on their topics and explore further issues. A spokesperson from each group was then chosen to feedback the results to all stakeholders. Thereafter a voting system was used to list the issues that the stakeholders believed to be the most pressing. This list, with the help of negotiation, enabled the stakeholders to decide how to prioritise the issues which, in turn, led to an acknowledgment that the need to understand the process of setting up a WUA, and the necessity of asking the negotiators for advice and assistance in this regard, were the most important.

In this way, despite the disparity of their backgrounds and needs, the stakeholders found a common interest in laying the basis for forming a WUA. The old water law, rooted as it was in discrimination, could potentially have splintered the stakeholders into adversarial camps. However, even when discussions reached the thorny subject of voting allocations for varying water users, negotiation allowed the stakeholders to reach an agreement in which irrigators were accorded 60% of the votes and domestic users, 40%. This split was recognised as appropriate since irrigators are proportionately the heavier investors in, and funders of, the water system. That said, it was also agreed that domestic water users reliant on river water should not be dominated or compromised by the actions or needs of the irrigators. This is a resolution that remains

pertinent. The well-planned and efficiently run workshop facilitated a demonstration of goodwill and sincerity on the part of diverse groups of stakeholders.

Mr. M. Ntshudu, the impartial interpreter, had the following comments to make on the meeting: that at the workshop "there was a clear spirit to work together " (Ntshudu, pers. comm., 2000). He felt that all participants strove to understand each others' realities, an inclusiveness which allowed them to initiate a WUA. He pointed out that all participants acknowledged that co-operation was essential to facilitate all Kat River Valley stakeholders becoming actively involved in a Water User Association. Mr. Ntshudu also noted that the workshop programme allowed for regular breaks so that participants could explore and negotiate complex or confusing concepts with group members and other stakeholders. This, he said, ensured that participants understood the conceptual issues and were able to focus on the needs and opportunities that feed into a WUA. In addition, providing a two day framework for the workshop allowed the participants time to consider and discuss their options:

Because some people are shy to ask some questions as often, for rural communities, forum situations are new but they have a vested interest to be heard. Before meetings I worked with the group of practitioners so that I would be informed before the workshop, I was very clear and understood what we were going to deal with. Participants initially did not ask questions in the meeting but approached me during the breaks and after the meeting where I answered their questions. I found that people were more confident to ask questions in these breaks, and often in groups. I feel when dealing with such work, the interpreter must be open to discussion and questions in breaks. So I was able to help the participants who were initially intimidated to ask questions in the forum. When participants feel heard and answered they become more confident to ask questions in the meetings (Ntshudu, pers. comm., 2000).

Where appropriate, conflict situations were negotiated creatively - through the use of drama, for example. Jane Burt, the Environmental Educator, relays the story of Balfour school children becoming river reporters "...in response to a newspaper article about how many graves had been covered with water during the construction of the nearby Kat Dam. A child is concerned about the state of the spirits of those buried beneath the water. The play questions cultural and political beliefs and the disrespect of these beliefs by the Apartheid government. Through this project, children not only gained further knowledge of the environment, but also gained the confidence to speak out and believe their own truths and stories" (Burt, in Motteux, 2001b).

In summary, the role of the practitioner is to provide a platform on which stakeholders are able to focus on, and work from, their needs. There is no doubt that catchment management and WUA (particularly in their formative, changing phases) are subject to many forms of conflict. And there

is equally no doubt that resolving conflict requires hard work and perseverance. Fortunately, the reward for doing so is the creation of new opportunities. Consequently, negotiation should be effected consciously and responsibly, with a receptive, questioning and open mind, in order to reach resolution.



6. CATCHMENT MANAGEMENT IS GROUNDED IN STAKEHOLDERS' NEEDS

6.1 Needs as a foundation

The National Water Act (NWA) acknowledges stakeholders' needs and, in so doing, has prioritised both the needs and the means of satisfying these needs. Thus, stakeholders are offered the opportunity to satisfy their needs either through the structures of the Act, or through guidelines offered, such as the WUA guide (Audie, 1999). Of course, there are other, less appropriate, means of satisfying stakeholder needs, including corruption, intimidation, racism, dishonesty and so on. Therefore, the task of setting up transparent, accountable structures requires that platforms be created upon which understanding, negotiation and the appropriate meeting of needs in the catchment and national context can be promoted. This, in turn, provides a foundation for best catchment management practices.

In Section 6.2, both the traditional Western understanding of the terms 'needs' and 'wants' and the Xhosa understanding of these terms are discussed. Since these two viewpoints are at odds, and the discussion is a controversial and confusing one, Section 6.3 clearly delineates the definitions used in the KRVP.

6.2 Needs and wants

This section draws on work presented in Appendix B. From the perspective of Western literature, needs are defined as necessities, not only for biological survival, but also for the physical and mental health and development of stakeholders. As a rule, needs are inferred and are not directly observable, other than in the case of biological needs for food, water, sleep and so on. The concept of needs rests on the belief that needs are objective and universal (Doyal & Gough, 1991). "Reasons for needing (or for that matter wanting) are then essentially public, in that they draw on a shared understanding" (Doyal & Gough, 1991, p. 41).

Western literature describes 'needs' as distinct from 'wants', but in Xhosa, 'want' and 'need' is described by the same word. It is in the actual negotiation process that the differentiation is made clear: the act of negotiating for a need signals that it is serious, that resolution depends on satisfying the need, and that it is pivotal in achieving a set goal.

To say "ndifuna" means "I want" in the Xhosa to English translation. It is through the explaining situation that it becomes clear if it is a need or a want. Need, is more than I want, it is a requirement, you cannot do without it. A need will show a serious matter. The person asking cannot do anything without it. A want will be a wish, a statement for the

future but does not cause harm to the person [i.e. the lack of a 'want' is not harmful in the way that a lack of food would be] (Toto, 2000).

6.3 Needs and wants in catchment management

Given the importance of establishing stakeholder's needs, it is necessary that I comment on the value of assessing such needs in natural resources. In this, I shall be drawing on a colleague's work, Fargher 1999 - 2000, who contributed international experience and expertise to the project.

Common needs are explicitly or implicitly contextualised into a goal and strategy for satisfaction. In the pursuit of a common goal, primary attention must be focussed on establishing the best method of achieving that goal. It is a process that requires continuous reassessment of the need, goal, strategy and end point. It is therefore essential that CMPs are clear on the meanings of needs and wants. In the KRVP I held to the following definitions:

Needs:

- are immediate requirements for life and well-being.
- function as drivers of immediate behaviour change, they deliver an output/outcome.

Wants:

- are future aspirations for life and well-being. A 'wish list'.
- function as drivers for long-term change, they do not activate immediate participation.

Fargher's (1999) diagram below illustrates that within CMPs, attention should focus on overlapping needs. He explains that focussing on stakeholders' needs requires a shift away from focussing on public positions or individual expectations, to a focus on common ground. This is important, as once a group has identified their needs, they are empowered to work towards a common goal. This, of course, does not mean that the journey will be an easy one, but rather that the participants are committed to walking the road. Also, not all of the stakeholders' needs can be addressed by catchment management, which may result in situations of great complexity which require stakeholders and team members to juggle and coordinate varying sets of needs.

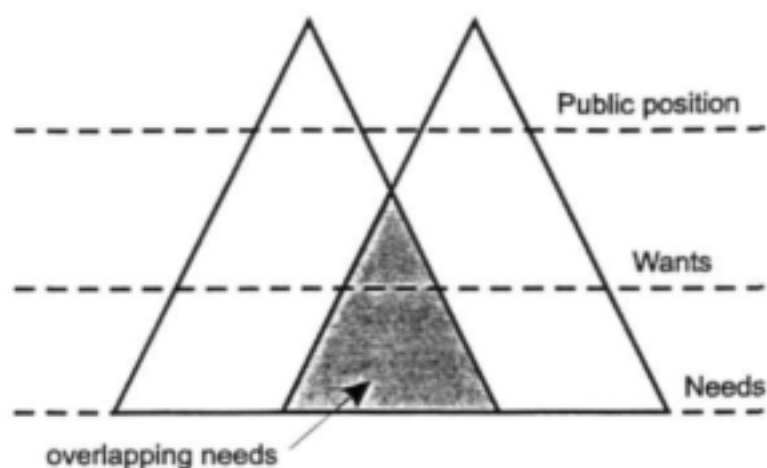


Figure 2: Shift from public positions to needs (Fargher, 1999).

In order to find and articulate a common need, a framework needs to be set up to identify the varying stakeholder needs. Once the needs have been articulated, it is then possible to compare them and identify overlapping and common interests (see Figure 3). Overlapping or common needs can be defined as follows:

Overlapping needs are complementary and provide opportunities for mutual benefit – activities by one group also benefit the other group. For example, clearing fire breaks in a forest reserve could provide a firewood resource that reduces the need for communities to harvest wood from other parts of the forest.

Common needs provide opportunities for efficiency gains through cooperation – activities done jointly will cost both groups less and yet achieve the same overall outcome. For example, reforestation activities may provide shelter, honey and grazing benefits to communities in the short-term and timber benefits to forestry institutions in the long-term. Both have an incentive to cooperate for reforestation activities. So long as rights and responsibilities are clear, it should be possible to use local community labour to plant and maintain reforestation seedlings provided by forest institutions.

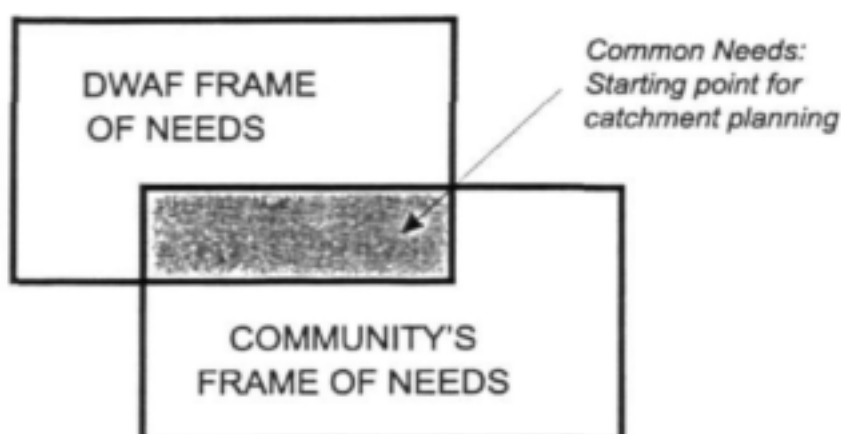


Figure 3: Overlapping needs (Fargher, 1991).

It is crucial that community participants have an opportunity to tell their story and to identify their needs in CMP. The practitioners should never presume to know what communities might need or what their priorities might be. In fact, unless you are a part of that community, you will never know.

Fargher (2000) stresses the need for catchment management practitioners to begin their relationship with stakeholders by listening. This can be achieved by holding structured meetings that allow all stakeholders to have a voice, rather than just community leaders or a confident minority. This is important because a range of stakeholders - women, men, the youth, elders and children - have a variety of knowledge that is useful and important to catchment management. For example, women gather firewood and make decisions about which non-wood forest resources to harvest, and young boys are responsible for herding animals and making decisions about which grazing resources should be used.

Within the KRVP, needs that were acknowledged as shared and common to all groups were used as the point of common interest (see Figure 3). It is, however, important to note that while a need may be shared, different stakeholders may hold varying versions of that need. In this instance, it is commonality which provides a platform for negotiation and the identification of common needs. Thus, it is important that stakeholders and team members do not see the overlapping needs as a fixed, static unit, and that continual review and negotiation is allowed. Since stakeholders have formed a common goal, they are therefore able to reject or accept additional needs as influential in the situation under review. This flexibility is vital in the process of seeking sustainable goals, as stakeholders should be able to consider numerous options and needs, and articulate their feelings regarding them - a process which then validates the final outcome as being the best possible option.

The KRVP Stakeholders' Workshop held in October 1999 provides an example of how identifying needs enabled stakeholders to establish their priorities in terms of threats and opportunities. Workshop participants were asked to identify the threats and opportunities of importance to them in the Kat River Valley. The purpose of this activity was to identify stakeholders' perceptions of the potential - both positive and negative - in the Valley, including economic, social and environmental values. Working in two small groups, participants initially recorded their perceived opportunities and threats individually, and then shared these within their groups. Once this was done, a consensus list of values was drawn up. Post-It notes were used to record identified values and the 'Pin Board' technique was used to cluster the values into named groups. Each team then nominated a spokesperson to present their small group findings to the broader meeting. Participants were asked to prioritise values by allocating three votes to core opportunities and three votes to core threats. The results of this exercise are presented in Tables 3 and 4.

Table 3: Participant allocation of priorities to opportunities.

Core Opportunities	Participant's Votes	Participant Ranking
Remove alien trees in the riparian zone	14	ranked 1
Establish water resource group	11	ranked 2
Sustainable citrus industry	8	ranked equal 3
Implement new dam release programme	8	ranked equal 3
Empower regional stakeholders	8	ranked equal 3
Job creation/regional economic development	3	ranked 6
Training, capacity building and education	2	ranked equal 7
Secure tenure for water	2	ranked equal 7
Training, capacity building and education	2	ranked equal 7
Take responsibility for own catchment	2	ranked equal 7
Market catchment to Minister and local govt.	2	ranked equal 7
Environmental management	0	no rank
Access emergent funds and subsidies	0	no rank
Develop sustainable fish industry	0	no rank
Maintain and develop infrastructure	0	no rank
Regulation to enforce integrated CM	0	no rank
Non-citrus irrigation	0	no rank

Table 4: Participant allocation of priorities to threats.

Core/Threats	Participant's Votes	Participant Ranking
Weeds and alien trees	14	ranked 1
Wasting the resource	11	ranked 2
Lack of communication	9	ranked 3
Lack of financial and information resources	8	ranked equal 4
Competition for water	8	ranked equal 4
Pollution of river	7	ranked 6
Unsustainable land use	3	ranked 7
Changes in water rights	0	no rank
Unsustainable water use	0	no rank
Lack of equity	0	no rank

The questions posed in the workshop encouraged participants to speak freely, and resulted in the local stakeholders being able to address the most urgent opportunities and threats. From the voting exercise the stakeholders identified their common need as establishing a WUA, thereby the group were able to find and articulate a common need and overlapping need (see Figure 3).

7. BUILDING CAPACITY AS AN EVOLUTIONARY PROCESS

7.1 The evolution process in catchment management

The building of stakeholder capacity and the emergence of a strong stakeholder group is vital for the sustainability of CMF and WUA. Within the KRVP, it was important to recognise that this group needed to evolve over time. In this regard, enhancing the capacity of stakeholders is described by Fargher (1999) as a journey. The journey of capacity building can be seen as an evolution that the stakeholders undergo in order to participate effectively in catchment management. Thus, building capacity is a process which is aimed at reaching a desired objective. The diagram below (Figure 4) recognises the need for groups to evolve through three core aspects: group initiation, group growth and group maturity. (Please note that a more detailed analysis can be found in Appendix B.) With each change, the group moves from awareness, to learning, to sharing, to forming sustainable structures and finally to becoming co-investors in those structures.

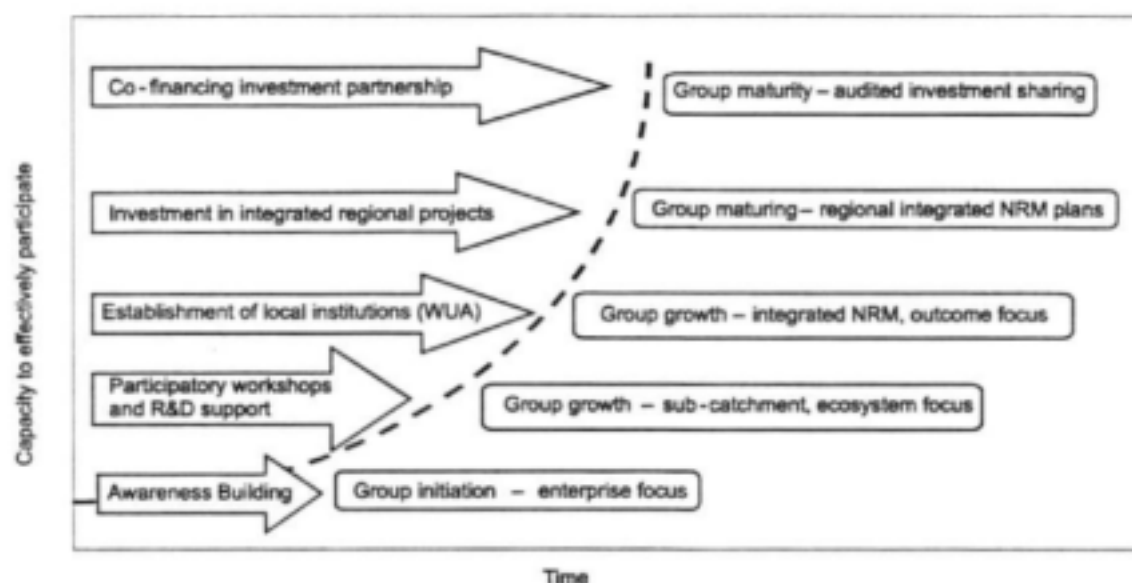


Figure 4: Capacity for stakeholders to effectively participate (Fargher, 1999).

At different points in time, the stakeholders' capacity affects their ability to act on their needs, their ability to evolve and their ability to participate. In the KRVP, in the course of the evolution, a multitude of factors directly and indirectly shaped and impacted on the stakeholders' ability to participate. These factors were frequently embedded in the stakeholder's identity, life experiences and personal relationships, as well as in broader contexts such as gender, cultural, economic and social positions.

Capacity building in catchment management and WUA functions must take place within the context of national change. The National Water Act of 1998 sets out clearly that the building up

of human and environmental rights within a democracy is an essential part of the capacity building process. This is intended to assist in creating a platform on which different stakeholders may collaborate to combat the injustices caused by apartheid. Therefore, set against this background, capacity building is defined as being "about the process of transforming lives, and transforming societies" (Erade, 1997, p. 24).

It is important that the time frame in which capacity building takes place, is recognised. Capacity building takes time, and is not a 'quick fix' process. In the Department for International Development (DfID) and United States Agency for International Development's (USAID) experience, ten years is a realistic time period for capacity building (Erade, 1997). Based on Fargher's diagram, it would seem that the KRVP is in a position of group growth, after a period of two years. It should be pointed out that although the diagram shows the process as a linear one, in reality it is not. Each development of a theme within the broader scheme can and does result in the stakeholders shifting to a new position of awareness building. Therefore, catchment management works on several planes or levels, with the agreed goal or need as the driving force.

The following paragraphs detail how capacity building was achieved within the KRVP. Following Erade's (1997) lead, the KRVP holds that capacity building is a process and not a preset package of methods or stated events.

Step 1 - Awareness building

Taking catchment management to the stakeholders requires awareness building from the vantage point of the community, through a process of innovative participatory empowerment. Awareness building is necessarily the first step in the evolution of stakeholders and enables the deepening of capacity in stakeholders to take part in catchment management or WUA activities. Such a stance is in keeping with Freire's (1972) observation that awareness building or active education brings about liberation and sets into motion a process of dialogue, resulting in an outcome of participation by stakeholders. Such a process involves stakeholders understanding and internalising catchment management concepts from the onset. These concepts need to be components that are continually integrated into the awareness creation programme, enabling stakeholders to gain a firm foundation of understanding and allowing them to enter into catchment management debates. The following list details examples of such concepts:

Catchment scale requires that stakeholders understand the hydrological cycle and its spatial manifestation, including all aspects of water. Equally, stakeholders need to grasp that the boundary of the catchment includes land through which, or over which, water moves. The spatial considerations include understanding where one lives in relationship to other stakeholders or to particular water resources, amongst other issues. The occurrence and spatial relationship of

primary and secondary catchments also needs to be understood, as does their relation to the declared Catchment Management Area (CMA) and the Water Management Areas (WMA).

Integrated Water Resource Management (IWRM) institutions: this concept requires stakeholders to understand the framework and function of the following institutions, as well as their relationship with each of them: Catchment Management Agency (CMA), Catchment Management Forum (CMF), Catchment Management (Advisory) Committee (CMC), legal issues and the Water User Association (WUA).

An integrative approach requires that stakeholders appreciate that direct and indirect actions affect another part of the system. This allows for an understanding of the concept of up-stream and down-stream causes and symptoms, the effects of degradation and the need for collective best management practices that take into consideration both human and natural systems.

A stakeholder approach requires an understanding that all people living in the catchment, as well as beneficiaries, institutions, DWAF and other governmental departments communities, are stakeholders. In this, they are "not, of course, bounded, homogeneous entities, but socially differentiated and diverse. Gender, caste, wealth, age, origins, and other aspects of social identity divide and cross-cut so-called 'community' boundaries" (Leach & Scoones, 1997, p. 5).

The role of the practitioner needs to be explained as one that guides, leads, reflects but does not dominate. In this, the practitioner is concerned with the challenges of providing structures for community participation, by allowing for "change through creating space for people's participation in development and community based initiatives. The main purpose of a community and participatory approach is the quest for sustainability and local ownership" (Mgumia & Nsa-Kaisi, 1998, p .8).

The concept of sustainability should be introduced and explored with stakeholders as resource management which meets the needs of the present without compromising future generations' welfare, needs and aspirations.

It should be noted that the process of awareness building also includes practitioners. For example, practitioners need to develop their awareness of the socio-physical and historical context of the particular catchment. Having a solid and sensitive understanding of this makes it easier for the practitioner to develop a rapport with the local stakeholders. Awareness building should not be limited to the local catchment context, but should include regional and national government stakeholders, as well as regional, national and international practitioners from other catchment

projects. All of these groups can be valuable resources from which to gather information, policy and law, as well useful advice and support.

Supporting the process of awareness building requires not only that the needs of the stakeholders be focussed on, but also that deeper needs be understood. Often, deeper needs do not readily present themselves, requiring the practitioner to be patient, open and flexible while these needs are being sought and articulated. Such tolerance may also require 'backtracking' in the process, as this example from the KRVP shows: once the stakeholders had prioritised the development of a WUA, the Xhosa communities requested that an awareness programme be set in place, which would contain the principles of the Water Act, clarify the role of the WUA, and detail the changes in the Water Act. Thus the process returned to the basics before reaching the commencement point of the October 1999 Stakeholders' Meeting. The requested awareness programme was only completed in June 2000, which indicates how long and careful such a 'backtracking' process needs to be (see Appendix A).

Listed below are some of the approaches used in the KRVP to provide a platform for awareness building and a foundation upon which stakeholders could evolve into owning, steering and participating in further catchment management work:

- A series of meetings with villages and small centres was organised to allow information sharing regarding the socio-historical and natural environment of the area. These meetings took the form of field visits and the undertaking of a survey.
- Awareness building among stakeholders was undertaken by the circulation of both Xhosa and English posters, brochure, and a newsletter throughout the valley. The brochure explained what the project was about and the newsletter detailed the various stakeholder groups in the catchment as well as outside (such as DWAF).
- An environmental education programme focussing on school children and the youth was devised. This programme was conducted in the urban centres of Seymour and Balfour, as well as in the villages of Hertzog and Fairbairn, and allowed these groups to explore and question their parents', communities' and their own knowledge of environmental issues.
- One of the aims of the KRVP was to undertake environmental education in rural schools within the catchment area. Concurrently, Ilitha Arts Education and the South African Association of Drama and Youth Theatre (SAADYT) had established a project to train teachers in drama. However, they needed a concept to utilise and implement their training. This was usefully provided by the concerns of the KRVP, and in this way, the KRVP,

Ilitha Arts Education and SAADYT were able to join and work together in rural schools, using drama to 'live out' an experience of catchment management with teachers.

- Undertook three trips to Pretoria to meet with personnel from the Catchment Management Directorate, as well as other relevant stakeholders, such as DWAF's legal advisors and Communication Officer. In all instances, this was an opportunity to inform interested parties of the work of the KRVP and to obtain information on DWAF policy on Catchment Management and WUA.
- The Kat River Valley stakeholders were informed of the River Health Programme (RHP) and how to implement it. Results of the assessment were summarised and explained at the Stakeholders' Meeting (1999).
- The project has developed contacts with key people who have since given valuable support and guidance to the work of the KRVP.
- On three occasions I presented the KRVP's progress and findings to National Stakeholders, such as water managers, DWAF personnel and the WRC. This provided me with the opportunity to meet and exchange findings with interested parties.
- The KRVP has identified a need to start a 'Catchment Management Resource Centre'. Armstrong, a student who is overseeing the resource centre, stated that: "People have already started using it even though it is not finished yet" (2000). As a rule, in this country, catchment management and related information does not filter down to local stakeholders. This was raised as a core threat at the Stakeholders' Meeting (1999). In response, the KRVP wrote to government, Non-Governmental Organisations (NGOs) and various institutions for information useful to local stakeholders and KRVP researchers. The most crucial of this information has been posted and handed out to the WUA Steering Committee and other local stakeholders.
- Environmental education was conducted with school children and the youth in the urban centres of Seymour and Balfour and in the villages of Hertzog and Fairbairn. In this, collected knowledge was questioned and re-examined through a process of creating dramas facilitated by Burt (Environmental Education, Rhodes University) and the Drama Team (Catchment Research Creative Group). Each group of children or young people was then invited to perform their play at the Umlambo Festival which highlighted catchment-scale issues and concerns.

- The SASOL SciFest provided sponsorship for the development of an Aids Awareness play with the Kat River Valley children. The sponsorship provided for 10 children from schools in Seymour, Balfour and Fairbairn to work with the Catchment Research Creative Group and present their play at the SASOL SciFest 2000 in Grahamstown. This initiative was aimed at encouraging children from different schools and catchment areas to understand the concept of catchment scale and to realise the need for co-operation in the Kat River Valley. This was successful, as having to perform a task together enabled the 10 representatives to gain a sense of group identity and unity.

- A foundation for the CMF was built by holding nine two-day environmental awareness workshops in settlements throughout the valley. These workshops allowed people to share their knowledge and concerns about the environment, and encouraged them to recognise the need for collaborating with other stakeholders. Some of the villagers' comments on the workshops are detailed below:
 - "Learnt that river and places around the river has needs" (Blinkwater participant, 2000).
 - "Workshop was concerning our real needs" (Blinkwater participant, 2000).
 - "Workshop reminded us of Xhosa ways. In past we respected culture therefore we respected rivers" (Tidbury Toll participant, 2000).
 - "The plays help us learn again of environment" (Oakdene participant, 2000).
 - "Workshop brought encouragement to the community" (Amherst participant, 2000).
 - "Everybody needs respect for environment before accusing other people" (Platform, 2000).

Step 2 - Development of group growth

The second step in the evolution of stakeholders is supporting the development of group growth. Such growth needs to foster communication, partnership development and democracy through processes of negotiation, partnership building, conflict resolution and gaining the ability to realise needs and deal with differences. Supporting this development takes place - over an extended period of time - at the individual level, at the group level and at the community level, as well as between groups, sub-catchments and catchments. Catchment management projects should support each stakeholder or group of stakeholders according to their needs and provide them with a foundation that enables effective participation in catchment management or the WUA. In this, it is necessary to develop strategies that can be tailored to relevant needs. This requires adapting methods and trialing new methods based on listening and acting upon what the group requires and

asks for. When stakeholders are bolstered by a sense of self-respect, this facilitates a sense of personal power and the motivation to participate in one's community.

The conceptual framework - a stakeholders approach, an integrative approach and a systems approach - within a catchment context, needs to be a point of focus and revisited repeatedly in order to allow outcomes which support catchment management functions. As stakeholders repeatedly engage with the relevant issues, they start to 'live them' and be active parties in the process listed below as opposed to having issues presented to them and being only passive observers:

Catchment focus becomes the starting point of discussion and debate.

Stakeholders approach: stakeholders are networked with, invited to meetings and comprehensive reports are sent to all.

An integration approach requires an appreciation of up-stream and down-stream and catchment impacts, and a recognition of other stakeholders' needs.

Natural and human systems are seen as interrelated, with programmes aimed at achieving ISO 14000, for example, being recognised as having the same goals.

However, at this stage, some of the catchment management principles may be contested and conflict may arise. An example of the latter is that which occurs when one group of stakeholders attempts to gain access to water resources and another groups resists this advance due to fears that it will deprive them of their access. Negotiation over water resources often intensifies in a climate of change in which the concepts of 'endowments' and 'entitlements' come into question. "Endowments refer to the rights and resources that people have. For example, land, labour, skills and so on" (Leach et al., 1997, pp. 8-9). "Entitlement refers to legitimate effective command over alternative commodity bundles" (Leach et al., 1997, p. 9).

The authors cited above also state that entitlements "enhance people's capabilities, which are what people can do or be with their entitlement. For example, command over fuel resources - derived from rights over trees - gives warmth or the ability to cook, and so contributes to well-being" (Leach et al., 1997, p. 9). Given such concerns, the concepts and framework of catchment management and participatory-based approaches need to be central to the process of group development.

Within the KRVP, the following methods and activities that were used to ensure the development of the group:

- The Kat River Valley children's trip to the SASOL SciFest provided an opportunity to attend the Water Vision Adventures play which consisted of four stories presented in audience participation dramas:
 - biodiversity of riverine environments and the use of South African Scoring System Version 4 (SASS4) was brought to life in a drama about the 'pond land';
 - the issue of invasive trees was portrayed in a drama about the 'dark forest';
 - the necessity of saving household water was presented in a drama about the 'haunted house';
 - and indigenous knowledge was presented in a drama about the 'culture cave' (Burt, 2000a).
- KRVP's entry into the Nedbank/Mail & Guardian Green Trust Awards 2000 took the form of an evaluation of the project, where stakeholders were invited to contribute by writing down their thoughts regarding the project and the work. This included the communities of Fairbairn and Hertzog who, as a group, commented on all the aspects of the project. The competition entry was compiled as a scrapbook which allowed each stakeholder to have a say.
- The Green Trust National Finalist Award was celebrated by Kat River Valley stakeholders and facilitators with the planting of indigenous trees in 15 villages and on two commercial farms. All the participants in the tree-planting celebrations had contributed to the Green Trust Award Entry or had expressed a need for catchment management. The trees were donated by a local Clinical Psychologist, Margaret Anema, and by the Grahamstown Working for Water Rehabilitation Unit.
- At the two day environmental workshop, communities were given the opportunity to elect a member to represent them on the CMF. Prior to electing the CMF representatives, each community discussed and set objectives for the CMF, both locally and at a catchment scale. For example, the community of Balfour stated that the CMF representatives needed to be able to:
 - teach,

- communicate well with their own community members as well as other forum representatives,
 - negotiate with up-stream and down-stream villages to keep the environment clean.
- The nomination process required each representative to share their reasons for wanting to be part of the forum, such as: "As a child I have always loved the environment. I would like to teach people about the importance of the environment especially the youth" (Balfour Catchment Management Representative, 2000).
- Thereafter, the communities requested a follow-up workshop which took the form of a 'Way Forward Workshop'. This workshop was held in 15 villages and provided an opportunity for villagers to introduce their catchment management members, and for the KRVP to present, for discussion, Xhosa booklets that detailed the results of the environmental workshops. The WUA Constitution and the voting boundaries were also presented, providing an opportunity for people to ask questions and clarify issues.
- A bus trip through the valley, from village to village, gave members of the CMF an opportunity to meet and build a spirit of co-operation. On this occasion, representatives from the 15 rural communities were able to present their local socio-physical conditions to one another and explore ways of helping each other.
- The KRVP provided each CMF representative with a map on which to record their observations of every village visited. The representatives were then encouraged to discuss their findings with the group. The ultimate goal was to create a picture of the 15 villages' catchment conditions, allowing each representative to appreciate the boarder catchment context.
- A two day workshop was held to prepare for the implementation of a Kat River Valley Catchment Plan using an Action Frame Work facilitated by Mr J. Fargher, Mr A. McMaster and myself. This workshop was the final stage in my management of the KRVP, with Mr Monde Duma, Mr Alistair McMaster and Prof. Kate Rowntree continuing to support the CMF and the WUA by preparing a Landcare proposal with the stakeholders (Rowntree, McMaster & Duma, 2000). The expected outcome of the Landcare programme is a range of action plans that will ensure the sound and sustainable management of the Kat River Valley resources.

Step 3 - Stakeholders' maturity

The goal is to enable stakeholders to shift to a position of group growth in which their strengthened capacity enables participation at the sub-catchment-scale or WMA (Water Management Area). This is a mature stage of growth as the stakeholder's participation allows the development of catchment management as a collaborative venture where the objectives, roles and responsibilities include the national needs of people, the environment and the catchment. This democratic process focuses on strengthening stakeholders' capacity to invest and participate in social, political and financial matters on a broader scale, such as the CMA (Catchment Management Agency). Participation in such broader based activities depends largely on the full commitment of stakeholders and the perceived appropriateness and coherence of the action. Causes and needs are not limited to those in the secondary catchment area. It may, in fact, be necessary for stakeholders to recognise the need to invest in the broader context, and not just in their own. In the preparation of the Landcare proposal at the catchment scale in the KRVP, the CMF was required to prioritise areas for investment, and therefore accept the possible exclusion of some CMF villages from the agreed focus.

At such a point within the CF and WUA, there are still likely to be conflicts of interest and struggles for the control of water resources, but this should be viewed as a natural part of the conflict resolution and negotiation process which can, ultimately, enhance both the credibility and accountability of the various groups.

Therefore, "strengthening people's capacity to determine their own values and priorities, and to organise themselves to act on these, is the basis of development" (Eade & Williams, 1995, p. 9). During the evolution, it is the practitioner's responsibility to provide an encouraging environment for capacity building which leads to effective participation. It is crucial that stakeholders both flourish and own the catchment management process, and therefore, it is equally important that the practitioner avoids the temptation to occupy 'centre stage' and divert the process.

It is at this point that the principles of catchment management should be incorporated and common knowledge to the CF and WUA. For instance, the catchment management plans and implementation projects should be inclusive and integrative of both stakeholders and systems, and aim towards participatory and sustainable management.

By the end of 2000 the KRVP stakeholders were beginning to move into a position of group maturity, becoming decision-makers and playing a formative role in their sub-catchment. Particularly, they committed themselves to establishing the WUA and to the Landcare proposal.

Capacity building requires time to stimulate growth and action through stakeholders' active construction of knowledge, discovery, recognition and the ownership necessary to bring about changes. The process is neither fixed nor formulaic as each stakeholder's needs and capacity to participate in negotiated targets are different. This diversity is of central importance, now and in the future.

A final, and critical, point in capacity building is that the practitioner must ensure there are links to action, that development does not stop at Step 2 of the evolution process. If the process has been stunted in this way, it can lead to the local stakeholders feeling despondent, angry and frustrated. There must be action and that action must involve all stakeholders including, if necessary, other government departments such as Land Affairs and Environmental Affairs.



8. MANAGING CATCHMENT MANAGEMENT PROJECTS

8.1 Appropriate management style

Although, for the most part, the work of catchment management projects takes place beyond traditional organisational walls, an effective management system is still necessary. In fact, it is vital for catchment management projects to acknowledge the value of good management, as well as the need to run and organise projects within an appropriate and formal management system.

However, catchment management projects are often comprised of leaders, managers and practitioners without (or with very little) knowledge of management methods, ideas and practices. Fowler (1997) goes as far as to say that there is a: "tendency to regard formal 'management' as inappropriate and anti-people. This stance implies that the poor and marginalised who justify a [development organisation's] existence should be satisfied with solidarity, commitment and good intentions rather than relevant professionalism as well. This position is not acceptable" (p. xiii). Additionally, there are often unspoken assumptions that community work is easy and since the recipients of the work have no basis for comparison, professional standards need not be a chief consideration. Such attitudes, naturally, result in low standards of professionalism.

It is important to grasp that the development of formal management structures in catchment management projects need not adopt traditional, authoritarian, hierarchical management structures. Such management structures often come to be used in CMPs simply because of a lack of experience or knowledge of alternative structures, such as the "product-process called people-centred sustainable development" (Fowler, 1997, p. xiv). There is, therefore, an urgent need to appraise and address this discrepancy by unpacking a development organisation's own knowledge, based on its own ideas and experiences.

In catchment management, leadership and management are heavily dependent on the person leading the process, a factor which also brings great influence to bear on the goal attainment of the project. In participatory projects, practitioners need to lead, compose agendas and mobilise and motivate staff through negotiation and communication. The responsibilities of the practitioner include guidance, as well as a range of tasks. In a rapidly changing environment like catchment management, leadership is less in the style of governing the everyday running of the project, and more in the capacity of coping with change. Management in the former style is important of course, but it is above all the flexibility necessary for coping with change that is vital.

Fargher (2000) acknowledges that the distinction between leadership and management is not an easy one. He indicated that my work in the KRVP was "about leadership - leading people to self-determination and changed natural resource management (NRM) behaviour through capacity building. However, you were also managing. Not just the logistics and day-to-day functions of the project. You were managing change through a carefully designed process. You also led their processes" (Fargher, pers. comm., 2000).

In running catchment management projects, the practitioner needs to have a clear vision of the project goal, and be capable of translating that goal into appropriate and consistent action. In order to achieve this, Fowler (1997) suggests that three stages are essential:

1. Re-examination and confirmation of what the organisation stands for in terms of coherence between its goal, objectives, identity and role in society.
2. Linking these to longer-term strategic choices which give the organisation overall direction and maximise its impact on society.
3. The translation of choices into tangible actions and tasks to be carried out by staff, volunteers and others in collaboration, or perhaps in opposition, to some stakeholders (Fowler, 1997, p. 45).

The path from vision to action needs to be negotiated with staff, who should be encouraged to be consistent in terms of what is agreed, and what is carried out. Monitoring processes are an important tool for checking that actual activities are consistent with those planned. One of the inherent difficulties facing catchment management organisations is that the broad range of personnel required often creates divergent and inappropriate methods of management. Examples of this are: using command and control methods, rather than acknowledging staff as heads to be tapped and hearts to be engaged (Fowler, 1997); a concern and focus on daily tasks and an attendant neglect of future plans; the prioritising of academic pursuits or other personal benefits; and lapsing into a mind set which views other organisations as competition.

8.2 Match between vision, mission, identity and role

Within catchment management, it is crucial to create a style of management that is clear-sighted and adaptable, within a culture of mutual trust, responsiveness and learning. There is a constant need to critically review the factors which contribute to the project's capacity, i.e., human capital, finances, physical facilities and procedures. These have a great impact on the project's ability to be both effective and efficient, and are discussed below.

Although CMPs need to be structured, they also need to be flexible enough to incorporate people's changing functions. As Fowler (1997) points out, running a catchment management project is "a form of gymnastics, a balancing act requiring fitness and agility to keep going in the chosen direction" (p. xiii). This is in direct opposition to those administrators who concretize and execute a management style which emphasises adherence to an inflexible set of rules. Such a style can result in an 'us and them' culture between administrators, technical staff and accountants, at the cost of working together towards a common goal. Rather, participatory catchment management projects should be characterised by 'structured flexibility'. "From an organisation perspective, structured flexibility is a relationship between people, structure and systems which produces processes that integrate organisational consistency, such as common planning, human resource management and paperwork, with a capacity to continually reconsider, learn and adapt" (Brinkerhoff & Ingle, 1989 in Fowler, 1997, p. 268).

The KRVP worked within a set of priorities that emphasised consistency and flexibility, which in turn required the team to adapt work programmes when necessary, and to be able to carry out tasks at short notice. Tasks which arose suddenly and unexpectedly were common, and put pressure on structures such as finances, technical staff, stationery and administration controls. These structures were simply not flexible and reactive enough to cope comfortably with such instances, which made them incapable of providing the necessary support. Frequently I personally funded activities in the short-term, in the interests of prioritising the flexibility needed to ensure continuity. This raises the question: what type of organisation copes best with the mutable, diverse and unfolding rhythms characteristic of participatory catchment management. The first point is that more control means less flexibility, which is detrimental for participatory catchment management. It is therefore important that catchment management projects are able to move from vision to strategy to programme to project, at the moment when activities arise. This is especially critical in the transition from planning to implementation.

It is vital that the spirit of communication which is central to the relationship with stakeholders - i.e., the emphasis on sharing ideas, learning, talking and listening - is complemented in the management approaches taken within the organisation. In other words, in catchment management projects, participatory field work and management style need a fusion, resulting in strengthened field work and good governance. Fixed and divided management styles preclude team ownership, creativity, vision, growth, learning and trust. These styles create friction and value narrow, short-term outputs over the 'big picture', which results in stifling inhibition in the work place and the field. Principles for management of participatory catchment management projects are set out in Table 5.

An inclusive sharing of the organisation's vision can markedly assist good working relationships and lead all those involved in the work to feel ownership of it and be enthusiastic about it. In this respect, catchment management practitioners need to articulate and clarify a future goal that, firstly, inspires all those involved to achieve it and, secondly, can be clearly recognised when it has been attained. The articulated vision needs to be able to be translated into clear strategic goals and effective action, and should ideally be presented in a goal-attainment scaling matrix at the beginning of the implementation phase.

Innovation and creative thinking are an integral part of participatory projects. Catchment management practitioners, leaders and managers are constantly challenged to have the courage to experiment, to be able to adapt creatively to a changing environment, and to do so without excessive management control.

Table 5: Principles of appropriate management (Louw & Edwards, 1997, p. 819).

Question:	Principles of Appropriate Management:
Ethical: How should people be treated?	Should be managed fairly and without discrimination and be treated on their own merits.
Content: How should people be viewed?	As adults, with diverse interests and skills; As trustworthy, able to make their own choices; As independent and self-motivated.
Structural: How should the relationship with people be formalised?	As flexible, person-centred and equal.
Process: How should people be related to?	With sincerity, openness and participative decision-making.
Outcome: How should people benefit from the relationship?	By achieving meaningful and satisfying accomplishments; By experiencing personal growth and learning; By enhancing their dignity.

Within the KRVP, the staff vision of the project was discussed, agreed upon and understood to reflect the issues, needs and concerns of the stakeholders, which enabled them to influence the work carried out. This was considered to be of crucial importance, as the crux of the project is the encouragement of a process through which stakeholders share control over decisions and resources

that affect their lives. Such decisions and resources are directed at the stakeholders, and should not be appropriated for the advancement of the staff, in either monetary or academic terms. The strength of the shared vision safeguarded against inconsistent and haphazard inputs, outputs and outcomes.

It was noted by the Environmental Educator, Jane Burt, that:

The strength of the KRVP, and what made it such a success, was the way in which most team members worked with a deep seated passion and not because of a wish for self-gain or acknowledgement. The team of dramatists, although only paid a small amount for their efforts, gave their all to the project, to such an extent that often they would be up until late in the evening doing other work besides what they were contracted to do. It was because all of us had a common goal, a common passion. Of course, in academically funded projects there is a tension between the needs of the academic staff and the needs of the community. But Nicole was able to deal with these tensions with great integrity, always putting the needs of the community and the project's aims ahead of her own academic advancement.

I felt these tensions right at the start of the project, and had to acknowledge how much power I held with regards to writing reports and papers. This meaning-making process was taken away from other team members and the community and became my own private endeavour. It was a great challenge for me to let go of 'my' meaning and allow the team members and the community to share the writing process with me so as to allow them to engage in their project within an academic arena. The challenge is set for development workers, how can we open up our world to communities? Communities involved in projects such as these have trustingly opened their world to us, we need to do the same for them. Development is a two-way process and does not stop at the door to the university. Each of us can learn how to take care of the earth, each of us can learn how to become better human beings, each of us can learn how to be less selfish and work with integrity (Burt, pers. comm., 2000b).

An example of how the shared vision translated into valuable action was the Drama Team's enthusiastic engagement with the work and its ultimate goal for the stakeholders. Every member of the team embraced the vision, which allowed them to understand, explore and challenge their work, which in turn gave them the necessary insight and resilience to manage ambiguities and dilemmas. Consequently, with a strong sense of ownership and belief, they worked hard, put in extra time, used their initiative and willingly supported stakeholders whenever necessary. Without doubt, the Drama Team walked the extra mile. The clearest expression of this is Apollo Phillips'

involvement, entirely on his own initiative, with children's drama in the Kat River Valley. When he saw how motivated and excited the children were by their exposure to the team's work in the area, Apollo gave freely of his time and expertise to encourage and advise the children on how to set up their own local drama groups. As a consequence, there are now several children's drama groups operating in the Kat River Valley, and they are much in demand for performing at various village events, such as cultural days.

8.3 Short-term actions

Planning for short-term actions within the long-term goal is a prerequisite for running CMPs. Planning may be defined as the art of choosing the direction in which the project should go, as well as which activities would best get it there. It is vital, however, that planning be tailored to the specific circumstances of each activity and that, in shaping the activity, input is gained from the stakeholders.

It should be noted that in CMPs, planning rarely occurs in neat cycles, nor is it always structured by the team since the stakeholders also guide the project. In the KRVP, planning was a continuous process, as the outcome of each exercise affected the methods that followed. This is a heuristic process - one in which each new iteration learns from the previous iteration. This is consistent with the characteristics of an alternative orientation, in which the "boundaries are not cast in concrete; they can be altered" (Lincoln & Guba, 1985, p. 228). Throughout the process we needed to be able to change and be open to adapting our plans, whether the changes were subtle ones, or more fundamental.

a) Dialogue with stakeholders to ascertain their needs, or 'framework of interest'.

Engaging in a dialogue with the stakeholders ensures that the planning corresponds to the stakeholders' interests, and therefore assures that they will have greater ownership of the process.

Within the dialogue or negotiation, it is vital not to generate unrealistic expectations. Agreement on a course of action should only be offered once it is assured that the programme can go forward. Too often, practitioners, researchers and leaders agree to or promise the fulfilment of a plan, without the ability to deliver on their promises. I attribute this to resorting to a 'carrot and stick' style of management, to a lack of faith. It is preferable rather to remain open to possibilities while collectively acknowledging the limits of what can be attempted and achieved by the project. Practitioners should bear in mind that one does not have to respond with a 'no' or a 'yes' immediately in every instance. In fact, careful and attentive listening often allows for the generation of ideas that may well be possible and may lead to the development of a plan which

ultimately makes the request feasible.

b) Dialogue with staff to ascertain their needs, or 'framework of interest'.

It is also important to create dialogue and communication networks between staff who are directly and indirectly associated, by meeting regularly. Such meetings can aid the process of reflecting critically on plans and actions, by becoming an internal 'sounding board' and offering a forum for discussion. An open, honest and respectful internal forum can guard against inconsistencies and duplication and can provide for genuine participation. This is highlighted below by Alistair McMaster (2000), a Masters student who worked in the KRVP, who noted in a progress report:

Although at least two hours were spent in robust discussion regarding the Kat River practitioner's interest and roles in the project proposal, this resulted in a very clear understanding of each member's approach, and to a well coordinated and cooperative process of preparation for the workshop (McMaster, 2000).

Equally, such meetings can inspire collaborative work, where plans may be broadened and developed by drawing on inputs from different members of staff. In the KRVP, such meetings were designed as an integral part of how the project was run: after each action the group would meet and present notes made and offer opinions with the view to improving the work by reflecting together, not separately.

c) Set objectives carefully to ensure that plans intended to achieve them are effective.

In CMP there are often several stakeholder groups whose interests, and hence objectives, may differ widely. Therefore, it is important to clarify whose objectives one is setting. Once the objectives have been established, an overall detailed plan should be formulated by reflecting on how to fulfill the objectives. This may require any of the following: seeking advice, employing experts, gaining background information, acquiring and making materials, translating work sheets and budgeting. In the KRVP, sound preparation was a vital component of organising and running a rural workshop. A thorough plan was developed and discussed in the preparatory phase, which had far-reaching results in the outcome of the workshops.

d) Make use of innovative practices to deal with the stakeholders' identified needs.

Brainstorming ideas, encouraging creativity, acknowledging common sense and celebrating personal inspiration are methods that allow ideas to flow and offer up alternatives. Usually this process occurs at the start, thereafter an idea is selected and developed. However, practitioners should be aware of the need for continued openness to new suggestions and a willingness to seek

options throughout the process. Such flexibility and receptiveness improves the decision-making process and assists in the formulation of alternative strategies. The details of the plan should also assist in arriving at realistic and effective means of implementation, as a failure to deliver (and deliver well) can result in a loss of faith, and an attendant loss of reputation, with the stakeholders.

In seeking practices and procedures for participatory CMPs, it is important to consider strengths and weaknesses both internally (in the organisation) and externally (in the catchment). This often identifies a need to build stakeholder and practitioner capacity to learn, adapt and continuously improve the quality of what they do. If catchment management organisations fail to learn from their experience, they run the risk of atrophying as instruments of catchment change and, ultimately, of becoming insignificant. It is therefore important for CMPs to foster a culture of openness and self-criticism that allows for the incorporation of lessons gained by experience. Thus practitioners need to focus on "what they are achieving - as opposed to what they are doing - and then apply what they learn" (Fowler, 1997, p. 64). Consequently, the cycle of action-reflecting-learning (see Figure 5) is a crucial part of planning and a factor which ensures that the planning remains relevant to the diverse needs of catchment stakeholders. At the outset of a project, the practitioner and stakeholders need to negotiate the evaluation indicators so the reflective process is grounded in mutually agreed upon principles.

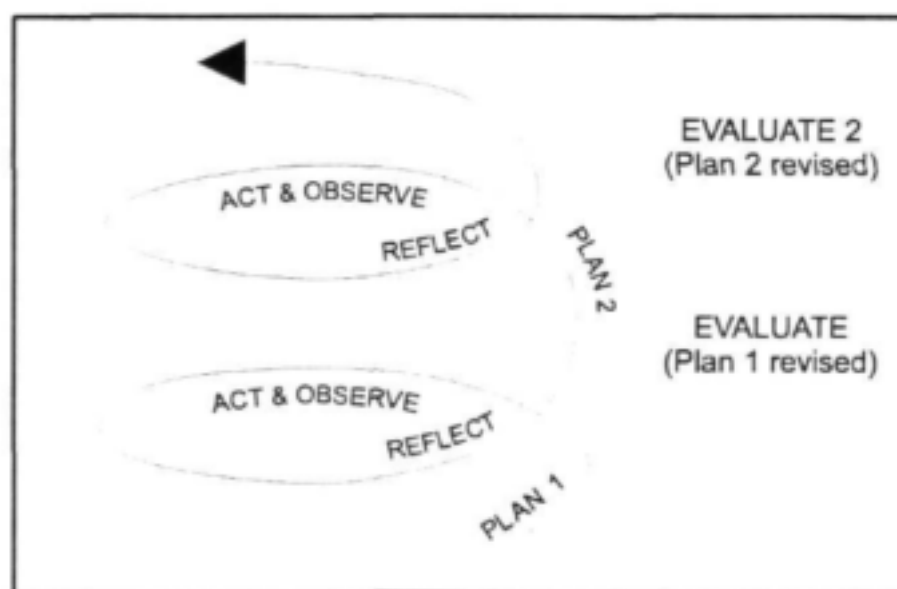


Figure 5: The cycle of action-reflecting-learning.

Pretty et al. (1995) note that each session to be undertaken requires a fundamental level of crucial planning in areas such as materials, venue, seating arrangements and timing. In addition, the following areas also require attention: mapping a potential design for each session; seeking advice;

employing 'experts' where necessary; gaining background information; translating work sheets; and budgeting. Below is an outline of some of the elements of planning undertaken in the KRVP.

- A full list of the materials required was drawn up and then pre-packed before each workshop. Materials included sheets of newsprint, sticky tape, coloured pens, Prestik, scissors, pens, note books, a tape recorder and camera.
- The venues for each workshop were evaluated in terms of how they could potentially affect the stakeholders' and team's performance, and to ensure that the venues were as accessible as possible for all interested parties.
- As Pretty et al. (1995) note, seating arrangements "have a big influence on the session" (p.15). Consequently, we identified and, if necessary, changed aspects of the seating arrangements that impacted on the behaviour of the participants. For example, sitting in familiar seats sometimes allowed the children to become more passive in the workshop, so we rearranged the seating to encourage spontaneous and active involvement.
- The appropriate length of each exercise was also discussed. Lengthy sessions can impact negatively on concentration levels (Pretty et al., 1995), while short sessions can cause anxiousness and rushed work if participants do not have enough time to complete the exercise. The pre-trial practice sessions enabled us to approximate the timing for each exercise.
- In mapping plans, the concept of 'vivencia' proposed by Fals-Borda (1984) served as our underpinning framework. 'Vivencia' requires the planner to intuitively comprehend the process, to feel and enjoy it and understand its reality within a wider context. Thus, all possible events that could affect the planned session were explored. For example, we asked questions such as: What if nobody comes to the session? or What if rains? I refrained from using confusing methods, and worked with the knowledge that the design could not be cast in stone, as failure to involve stakeholders' agendas would lead to a top-down workshop. An example of the latter, is the fact that the PRA methods used were frequently adjusted in response to the children's moods and in keeping with the project's aims and objectives. Also, the PRA methods chosen were carefully matched to a specific group. For example, depending on the participants, either written or visual aids might be used. We were careful to prepare agendas that were realistic in both time and capacity. Unplanned sessions can lead community people to believe that they are wasting their time. Lincoln & Guba (1985) argue that an unfolding plan must be "orderly" and that each "successive element [should be] chosen so as to complement the earlier unit, in accord with the need to extend, test, or fill in earlier information" (p. 234). In the KRVP, thorough agenda planning took place off-site and on-site, and at most large stakeholder meetings the agenda was posted so that people could decide whether or not they wanted

to attend. Of course, bearing participatory needs in mind, the agenda was open to change in the course of the meeting.

e) Task allocation and responsibilities should be negotiated and, if necessary, rotated.

Both clear task allocation and negotiation of 'who is responsible for what' were openly discussed. On occasion, and with accompanying discussion, the tasks and the responsibilities were rotated. I "fully informed" (Lincoln & Guba, 1985, p. 254) the full range of people who worked on the KRVP of the unfolding plan and participatory design. Also, the requirements of the project, its tasks, responsibilities, rights and boundaries were negotiated at the outset. Similar to Leitko & Peterson (1982), roles were clarified to prevent tension and misunderstandings. For example, I held discussions with the scientists to establish whether they were prepared to undertake a joint identification and description of the Kat River's habitat integrity with the Kat River communities. I made it clear that, in this situation, the scientists would have to be able to work within a flexible framework.

Although role allocation is undeniably important, participatory work is dependent on self-motivated, sensitive facilitators with an appropriate sense of initiative. Such facilitators need to be able to recognise and critically reflect on a situation and, if necessary, act efficiently and effectively. In these situations it is difficult to allocate roles, as such activities are part and parcel of the spirit of participatory CMP work. In fact, a 'do-it-my-way' style of managing can be less than effective here. It is more productive to encourage and enable staff to reflect critically on a issue and then act appropriately. Thus the role can be taken and owned by the individual, with comment and assessment on performance coming later from the team.

Facilitation in CMPs is a great art. In a monitoring session for the KRVP, a Drama Team member, Vuyani Hoboshe, was commended on the strength of his facilitating skills. The monitoring work described him as a naturally talented facilitator and a vigilant observer who did not need to be asked to intervene - he would simply move in quietly and address the problem, while others were still in the process of realising that there *was* a problem! Vuyani is consequently able to deal effectively and sensitively with conflict situations, misunderstandings and frustration, and do so with great insight and empathy.

f) Investments must be appraised in light of the objectives.

All plans require an investment - human, financial, technological and so on - which must be assessed. Integral to this assessment is the perceived strengths and weaknesses of the outcomes which determine how best to make use of a particular investment. Such an assessment requires viewing both past trends as well as the current situation in order to make an informed decision.

Important too, is the reliability, quality and efficiency of the investment in allowing the stakeholders to become and remain an inclusive part of the process. The organisation's performance in these areas needs to be rigorously assessed, and determines both its strengths and weaknesses.

Human resources have a profound impact on planning and investment outcomes, and can fundamentally affect decisions such as how to undertake the task in hand. In the KRVP, human resource skills and knowledge was hired on a contract basis for key tasks. Therefore it was unrealistic to assume that a trained team was available for each task. This necessarily led to exploring new avenues, learning, being flexible and embracing changes in methods. For example, one of the dramas depended on having two actors, one of whom spoke Xhosa and the other, English. The resultant language barrier was overcome effectively by using mime.

An integral part of planning is the costing of each task and the necessity of understanding the long-term benefit resulting from the costs incurred. In a simple cost-benefit analysis, sub-projects can be assessed and prioritised in a step-by-step process leading to the broader vision. Therefore, financial evaluation involves examining the potential effects on future plans, in association with the future's likely investment requirements. For example, supporting the WUA formation was a long-term investment, consisting of numerous community workshops and meetings, translation costs, printing and administration costs, and the negotiators' travel and subsistence costs. Thus one investment in fact necessitated a series of investments. It is for this reason that investment assessment requires evaluation of the net cost and benefit of the plan, to establish a long-term goal for the stakeholders. There are times, however, where it is difficult to estimate the long-term advantage that one hopes to achieve from an investment.

In the KRVP, costing was rooted in a principle of fairness which sought not to exploit any group and to ensure that costing was thorough, in order to secure maximum results. The money, therefore, was never considered as available for personal gain but rather for the benefit of the stakeholders. For example, transport and accommodation for the staff was viewed as a necessity, not a luxury.

Budgeting was achieved by means of mutual performance agreements with the team. This encouraged integrated decisions and allowed the team to own and understand both the upper and lower limits of the investment and aim to achieve it. In the KRVP, budgeting as a group led to a high level of efficiency with the funds and an attitude of care, e.g.: pens were not lost, large sheets of paper were used on both sides and were later recycled for props, and so on.

Below, I will describe planning one of the first environmental awareness workshops that I ran. This passage aims to give the reader an insight into the many tasks required in running a workshop.

8.4 Example of a workshop

A previous meeting, held on the 15th of May 1997, had brought people together for the survey results in the villages of Hertzog and Fairbairn. At this meeting, a suggestion was raised to hold workshops and share the responsibilities. The shared commitments that were agreed upon required the villagers to organise a number of tasks, such as arranging the venue, selecting participants for the workshop, preparing the food and so on. My responsibilities included: providing an overall structure with a detailed plan outlining the aims, objectives and methods of the workshop; seeking advice and employing 'experts' where necessary; gathering background information; acquiring and making materials; translating the necessary work sheets; and budgeting.

In the week following the meeting, I studied the recommendations put forward by the villagers in order to prepare a programme for the proposed workshop. Having consolidated these proposals, I compiled a thorough plan which emphasised our joint aims and objectives. Important considerations and methods used are listed below:

- **Setting time periods** for necessary assignments such as training co-workers, setting up the workshop, transporting village people to the venue. Ensuring that there was good **time keeping** for each activity or task performed in the workshop. Arranging appropriate breaks, discussions and improvisation or play backs for better understanding.
- **Using appropriate skills**, such as acting, language interpretation, co-facilitation, photography and video recordings.
- Ensuring that **props and workshop materials were available**, e.g.: drama requirements, stationery, photographic materials and musical instruments.
- **Budgeting** for salaries, transport, accommodation, catering, purchasing of props and workshop materials.

Once the programme was coherently structured, I invited a range of people to offer critical comment from their differing perspectives. I did so to achieve a workable and adaptable structure for the two day Environmental Awareness Workshop.

It became apparent in the early stages of constructing the programme that there was a need to assemble and employ a team that could assist in the running of the workshop. Accordingly, a team of people were selected from disadvantaged backgrounds, as well as students. The common factor in both instances was that those selected were willing to use their talents and contribute meaningfully to the work. The selection itself (i.e., how many people could be hired) was partly influenced by budget constraints, but held true to the principle of giving local people equal opportunities for employment. Hiring or relying on consultants would have been expensive and inflated costs would have limited the scope of the budget.

The first task was to familiarise the team members with both the concept of workshops and issues relating to the riverine environment. In the course of the learning process, they went through a training period which gave them an understanding of the programme and the confidence to offer ideas and suggestions. Individual roles were identified and clarified so as to avoid duplication and potential conflict. However, given the small number of people that constituted the team, role change was possible and, in fact, helped to encouraged a more flexible approach to the work. This flexibility in turn established good working relationships, as well as providing support for me as facilitator and input for the participants attending the workshop.

Despite the fact that the workshop situation was a new one for the majority of the team, and that my previous experience had been gained in a children's workshop, the time accorded for preparation allowed the workshop to run smoothly and enabled me to facilitate, listen and share fully with the participants.

After this inaugural workshop, there followed 12 more in the Kat River Valley. These workshops were not applied in a concrete and linear fashion. Throughout the course of workshops, self and group reflection that responded and adapted to the needs of the participants and researchers was encouraged.

At a later date, I shared my experiences of rural workshops with other practitioners working in rural development. I emphasised the importance of a well prepared programme and the need for flexibility and an open approach in implementation.

Looking back, aiming for a solid foundation in the planning stages of the programme provided for positive outcomes in the organisation, co-ordination, realisation and application of the workshop's aims and objectives. It ensured that the communities were able to play a significant part in workshops that addressed their environmental issues.

8.5 Financial considerations in the KRVP

It should be pointed out at the outset that the KRVP benefited from a great deal of enthusiastic support from a wide range of people. Often this support translated into financial savings, as consultants did not charge their full rates when working on the project, although the energy and commitment they offered was 100%. It should also be borne in mind that the KRVP was based in an academic institution and that this allowed significant cost savings, such as hiring students as casual labourers and enabling ready, economical access to skilled scientists.

When one is paying a reduced rate for services, it is important to ensure that the person contracted to do the work receives something that they consider valuable in return, e.g. experience. If such an arrangement is not specifically negotiated, the working relationship is unlikely to prove sustainable, as the worker will become unmotivated and resentful. These kinds of working relationships can be very fruitful for both parties, but they require time and effort. The practitioner needs to set aside time to discuss these issues with the staff and negotiate the necessary arrangements and conditions. If this is not possible, the worker should be paid full rates.

In terms of grassroots workers particularly, it is crucial that the project is run with the same resources that they will have access to in the long term, when the funding terminates. If the grassroots training is based on expensive resources and infrastructure, the worker may develop his/her networks based on these and not know how to deal with the 'normal' situation which will reassert itself when funding ends. Thus, the work collapses with the withdrawal of funding.

Unlike other projects, the KRVP did not pay stakeholders to attend the workshops and meetings. However, the project's grassroots worker, Mr. Jerry Ntsebeza, was paid for his services. This arose because the communities had elected Mr. Ntsebeza to stand as their representative on the KRVP. Because the project had encouraged an open, transparent process in the election and subsequent hiring of Mr. Ntsebeza, there was no conflict or dissatisfaction with the fact that he was paid as an employee of the KRVP, while the Kat River Valley stakeholders were not. In short, Mr. Ntsebeza was seen to be working for the community. Having a local grassroots worker as a member of staff proved to be immensely valuable for the project, particularly in terms of liaising with communities with very high illiteracy rates. In fact, having access to a KRVP worker who lives in the area was, and still is, very useful for all the stakeholders in the valley.

In this country, where catchment management is still new and maturity levels are still low, a grassroots worker such as Mr. Ntsebeza is vital in supporting the work begun in projects such as these. In fact, Mr. Ntsebeza still continues his work in the Kat River Valley, with his own (almost non-existent) funds. Considering how important his support and input is, it is crucial that he and people like him, are compensated for their efforts. Compared to hiring consultants, these costs would be minimal and would be likely to comprise payment for a few days work a month and money for transport, stationery and telephone calls. The following paragraph is an extract from a letter written by Mr. Ntsebeza, explaining his situation to the DWAF Regional Catchment Management Office in Cradock:

When the funds of the KRVP came to an end there was still more work that needed to be done. This required me as the Catchment Forum grassroots worker to use my personal money for continuing to carry out the tasks. I have been using my own money to finance phone calls, stationary and trips to villages. I was scared that if I did not continue to contact and work with communities they would feel the CF was another unfilled promise. With no financial support, I also have had to travel out of the catchment to Grahamstown to meetings that would directly affect the local stakeholders. These meetings concerned ensuring that the local stakeholders needs would be taken into account by outside researchers, as it is crucial for both local stakeholders and researchers to work together (Ntsebeza, pers. comm., 2001).

The context of employment and remuneration is no different to other contexts in participatory catchment management projects, in that practitioners and staff members alike have a great deal to contribute. These contributions are realised through the process of identifying overlapping needs and finding a common ground for a partnership to be created and continuously reflected upon. It is often the practitioner's responsibility to provide a platform upon which common needs can be shared and taken up for the mutual enhancement of the negotiated goal. In this, Ford (1996) comments that the "underlying concept of mutual support to satisfy needs lies at the core of developing partnerships among insiders as well as between inside and outside elements" (p. 134).

It is necessary to appreciate that, for the reasons discussed above, a great deal was achieved on the given budget. If, for example, Water Scientists had been hired at their full rates, the KRVP's budget would not have lasted as long as it did!

8.6 A typical planning budget for a participatory workshop

Budgeting is imperative for each action, for each action requires an investment that needs to be accounted for. In drawing up a budget, alternatives for expenditure need to be considered, such as buying supplies in bulk to keep costs down, finding accommodation in villages as opposed to staying in hotels and using local or cheap transport as opposed to hired cars. Below is a budget taken from an environmental workshop in which I have included human costs, field expenses and the workshop costs.

Table 6: The cost of one environmental workshop in the KRVP, 2000.

• 3 days preparation with 4 team members • over two days • with 4 team members • food (refreshments & lunch) • RU transport to the site & to collect and return participants • props • 20 participants				
Date:	Wages (preparation time & action), accommodation & subsistence for 4 team workers:	Workshop food (bread, polony, margarine, jam juice, tea, oranges, biscuits):	Transport - return trip (300 km), and to collect and return participants:	Miscellaneous (team refreshments, stationery, printing, photographs, props, drivers)
July	2100	400	450	400
Total R 3350.00				

Below, I have detailed the expense items in the KRVP. Please note, I have not provided actual figures as they are meaningless out of context, and the team prefers that their salaries remain confidential. However, I have provided percentages of the total budget used in each instance, which should provide a useful guide to the distribution of funds.

Table 7: KRVP's item expense list

DETAILED LIST OF EXPENSES FOR THE KRVP:	% OF BUDGET
Human Resources: Research Officer Team members (interpreters, grassroots workers, dramatists) Casual staff (administrators, editor, photographers, environmental educator, scientists, drivers, village caterers for workshops)	49.14 %
General Expenses: Presentation costs Maps Printing and Photostating (newsletter, information, booklets, maps) Stationery Phone (Cell phone and land line) Postage Faxes	2.7 %
Subsistence and Travel: On-site team members (in the village) Networking with national government stakeholders (Hotels or B&Bs) To the KRV (from Grahamstown and from villages and farms) To national government stakeholders (flights to Pretoria) To organisations that may aid the development and functioning of the forum	17.2 %
Workshops: Food for participants Stationery Provided transport or taxis (collect people for workshops, transport team to workshop) Village caterers Photographs Video cassettes Drama props	25 %

Capital Expenses:	
Camera	
Video Camera	
Computer	
Printer	2.9%
Contingencies:	3.4%
Expenses not provided for, but highly necessary:	
Insurance	
Safety assurance courses (first aid, legal advice)	

9. PUTTING PARTICIPATION INTO CATCHMENT MANAGEMENT

9.1 Clarity of starting assumptions, underlying principles and indicators

Work in community-based programmes has uncovered themes that frustrate and even prevent sustainability, yet it is precisely these themes which often constitute a cornerstone of catchment management and WUA in South Africa. The list below details the building structures required for involving participants as committed stakeholders in catchment management:

- **“Participation** which opens access to development decision-making and policy for groups not previously included” (Ford, 1996, p. 2). It is important to recognise that in the local context it is also vital to support those groups that were previously included - i.e. the dominant group - particularly so, in times of transition.
- **“Accountability** which increases use of transparent and public methods for data analysis decision making, and monitoring;
- **Partnerships** which stimulate dialogue and agreements between and among previously distant or isolated development units (e.g. government planners and community group leaders);
- **Ownership** of local information, project activity, and productive resources which promotes higher levels of responsibility among local resource users and managers” (Ford, 1996, p. 2).
- **Participatory monitoring** refers to the “systematic and continuous process of assessing the progress and changes caused by the implementation of an activity over a certain period of time, usually using pre-determined indicators or recurrent questions” (Guijt, 1998, p. 14).

(See Appendix B.)

Clearly, these building principles need to be integrated into the philosophy and processes which guide stakeholder involvement in catchment management and WUA matters. Listed below are those concepts which form the backbone of CMP. These concepts are embedded in CMP and are important components in each stage of forming catchment management groups, from group initiation to group growth to group maturity. However, it is necessary to note that the focus is not only the evolution of the stakeholders, but also on the practitioner(s). These concepts guide and frame the work of involving stakeholders in CMP, and without such a conceptual framework, the process can easily become messy, undirected, unable to slot into broader CMP and unsustainable in such a way that frustrates and angers stakeholders.

- It is necessary to **focus on practitioners' methodologies** as "where we look from affects what we see," says Lincoln & Guba (1985, p. 55). Where and how one looks at situation affects the choices on offer, which in turn, affects outcomes. Common methodologies in CMP include critical thinking, participatory thinking and action research.
- The **work needs to be well versed in PRA, in both theory and principles**, so as to be more appreciative of stakeholders' socio-cultural, historical and political needs as well as to a range of conflicts within and among stakeholder groups.
- **Consensus and negotiation** is an exchange of information through communication. The intention of this dialogue is to work towards establishing a consensus between parties who have some aspects in common while disagreeing in other issues.
- It is necessary to **strengthen the links between natural systems and stakeholders** in a process which "recognizes the individual components as well as the linkages between them, and addresses the needs of concern identified by all stakeholders in the process" (DWAF & WRC, 1996, p. 2).
- The recognition of **the process as evolutionary**: stakeholders need to evolve over time with the assistance of varying levels of support to each individual or group(s). The building of stakeholders' capacity and the emergence of strong stakeholder groups is vital for the sustainability of CMP and WUA.
- A **stakeholder approach** which recognises the importance of including resource users, local dwellers, beneficiaries, institutions, as well as DWAF and other governmental departments is vital (DWAF & WRC, 1996). Such an approach requires collaboration, participation, open communication, and the identification of roles and responsibilities.
- An **interactive approach** acknowledges negotiated key needs and concerns by stakeholders, to "ensure that both the basic (survival) needs of the people are met, together with those additional needs for water required to sustain the current needs of users and the anticipated growth in the national economy" (DWAF & WRC, 1996, p. 14).
- "The **concept of sustainability** acknowledges the welfare, needs and aspirations of the current generation, without prejudicing those of future generations" (DWAF & WRC, 1996, p. 9). In addition, the sustainability of catchment management structures needs to be assured through taking note of economic, historical, social and political factors that bring about best management practices, collaboration and negotiation which, in turn, enable the empowerment and involvement of stakeholder groups.

9.2 Building the core team and advisors

During this phase of team development, people come together and begin the process of establishing a climate for work. The climate established will necessarily influence the programme.

Team building is a process and not an event, and it seeks to build the confidence and capacity of all. Success relies on professional team work and co-operation. A CMP team consists of:

a) A co-ordinator/facilitator/practitioner:

- who leads and manages the project
- must be able to plan both long-term and short-term actions
- needs to have an overarching understanding of the project
- ensures that the project is run professionally and that it adheres to the underlying principles
- ensures that the project is continually working towards stakeholders overlapping needs
- is usually full time on the project

b) A grass-roots team:

The grass-roots facilitating team are a key element in ensuring the success of the project. They must be adaptable, self motivated, self-reliant and capable of creative thinking. Drama and other workshop skills will need to be developed. Interpretation and report-writing in both English and a vernacular language are vital necessary skills. Such a team:

- should have skills in facilitation, participatory approaches and drama
- would spend most of their time within the catchment engaged in tasks of ground planning
- such tasks include: setting up workshops, communicating needs, listening to the community and keeping the practitioner informed, running workshops, feedback information, distributing information (newsletters, Water Act news) and so on
- can be full time or contracted staff

c) Administration staff:

- such as secretarial and financial personnel who are capable of multi-tasking, flexibility and understanding the needs of the project
- can be full-time or contracted staff

d) Specialist advisors:

The tasks required in CMPs are very diverse and necessarily require input and support from specialist advisors. The time scale of such input can vary from a few days to three months of a year. Specialist advisors that may be required are: Environmental Scientists; Environmental Educators; Technical Support (agriculturalists, industrialists); Legal Support; Conflict Negotiator; Artists, Editors; Cartographers and GIS Specialists.

9.3 Creating an investment plan with the communities

Like capacity building, the act of investment is never a 'once-off'. It is an ongoing and constantly changing process. Likewise, investment is not only concerned with financial capital but also with human, social and natural capital.

An investment plan may be defined as a timetable of events, roles and responsibilities and evaluation indicators. An investment cycle in catchment management projects is a useful tool with which to construct well thought-out programmes, ensuring that they are not developed in an ad hoc manner. Investment in CF and WUA should incorporate the stakeholders as well as the organisation's development. Capacity building should be inclusive from the planning and formation phases to the action phase. It is important to note that capacity building is a process that requires awareness, internalisation, reflection and action throughout all stages of an investment. Therefore, each stage of an investment cycle necessarily involves change, doing, learning, adapting and reshaping which will only be effective if stakeholders have the ability to participate. The characteristics of capacity building are not static: they change within the different contexts, phases and functions of an investment cycle. Investment in capacity, in any stage, needs to ensure that stakeholders and the organisation's ability to function effectively is strengthened, that it is non-biased and supports all groups and that, in doing so, it increases the ability of the stakeholders and the organisation to engage and enter into negotiation. In addition, the investment cycle cannot at any point be the exclusive property of one group, for instance, first the organisation's then the stakeholders'. It is a process that integrates both groups by providing a platform for capacity building of stakeholders which, in turn, strengthens the capacity of the organisation (Fowler, 1997).

Investment cycles are common to the field of natural resource development. It is important to realise that all CMPs or formations of WUA require an investment which calls for a "need for careful planning and implementation of the works to be sure that the investment results in the intended resource management outcomes" (AACM International, 1996, p. 2). The project investment cycle does not only pertain to on-ground works but also includes capacity building which comprises identification, preparation (i.e., planning) and appraisal (i.e., assessment or review), leading to implementation which is consistently monitored and later evaluated (see Figure 6).

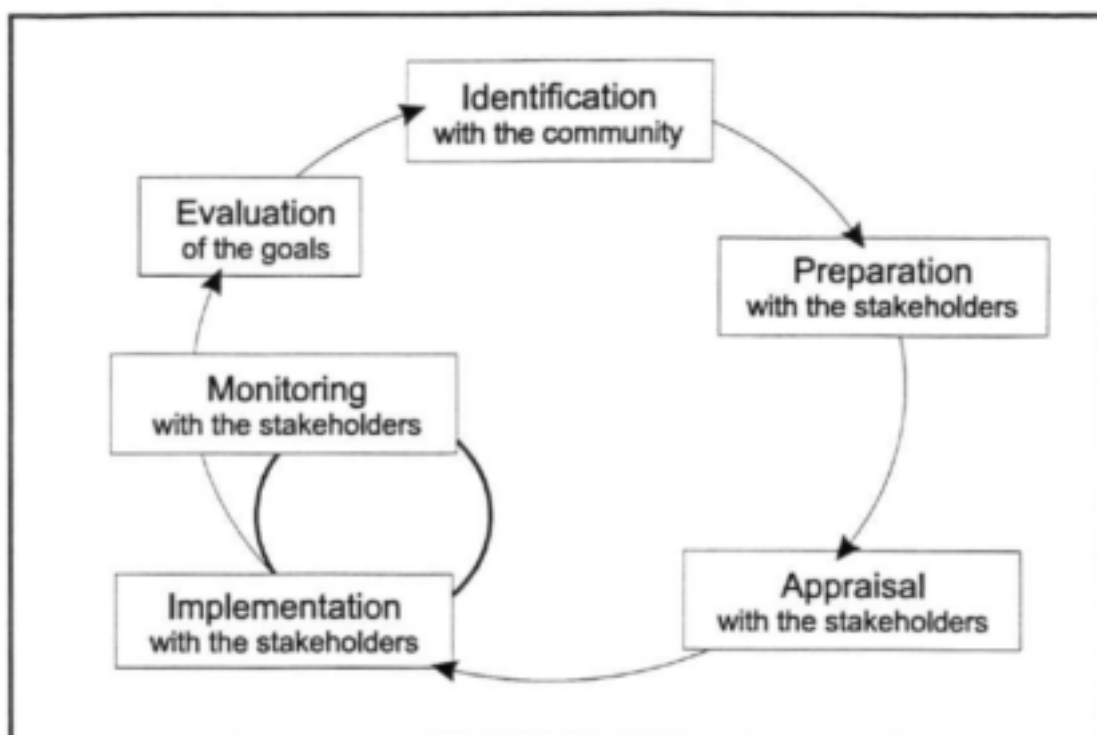


Figure 6: The project investment cycle

An investment cycle must be created with the stakeholders to ensure that the investment is owned, wanted and cared for by the stakeholders, both currently and in the future. The investment cycle must be understood as a learning process that is people-centred with internal social dynamics. Essentially, in order to invest with people we need to learn and work together. Learning together allows local stakeholders, outside stakeholders and staff to grapple with the choice of which changes are necessary and relevant in the process of initiating and strengthening CMPs and WUA. A negotiated, mutual understanding of what needs be done and who should do it over what time period is central to building partnership relationships in catchment management and WUA.

9.4 Field work

The objective of field work is to bring marginalised groups into an active participation in CF and WUA. The efforts are realised through capacity building, which is a flexible and fluid process with a concrete goal in mind. Thus methods (of field work) should be shaped by the end goal, rather than the methods dictating the process. The outputs of field work are listed below:

- Through capacity building, needs are identified which provide a foundation on which to build CF and WUA.
- It is through capacity building that stakeholders are enabled to gain awareness, develop and mature as participants in CF and WUA.

- Capacity building engenders knowledge, skills and improved attitudes and encourages change in individual and organisational behaviour.
- Capacity building strengthens each person's and group's confidence, ability to speak and ability to be responsible and accountable.
- Capacity building promotes trust and respect amongst stakeholders who have traditionally viewed each other with mistrust.
- Capacity enables confidence to carry out an action, whether it be taking a decision which affects CF and WUA functions or taking part in informal discussions.
- Capacity building involves celebrating successes and milestones.
- Capacity building helps to break down divisions of tribalism, racism, sexism and ageism in the process of integration.
- Capacity building enables stakeholders to come together and make decisions about CF and WUA functions that affect their lives and their catchment.
- Capacity building allows stakeholders to own, design and implement CF and WUA processes and functions.

(See Appendix B.)

The methods that bring about the above outputs are: awareness-raising programmes; background research; action planning with the stakeholders; regular feedback; continuity between activities; task allocation; employing diverse methods to reinforce concepts; being adaptive and creative; networking.

Workshops are a key method for communicating ideas, identifying needs and planning actions. Methods used in each workshop should be adapted to the task in hand, but should ensure continuity and reinforcement of concept building from one workshop to the next. Continued feedback from workshops and other activities to the stakeholders is essential.

9.5 Action

The goal of CF and WUA is to bring about sustainable water resource management. This can be achieved through partnerships between the various stakeholder groups, for example, between DWAF and the CF. Therefore institutions like CF and WUA cannot just be consultative bodies, they need to be able to designate their own functions and to effect change.

A logical framework enables stakeholders to work together in establishing the inputs, activities, outputs, outcomes and the goal of the project. Within this collaborative effort, short-term activities

form the building blocks for the project's overall plan. In negotiating the logical framework which helps to set strategies and short-term plans, the following questions should be utilised:

- what to do
- why do it
- who will do it (primary responsibility)
- how to do it
- how much it will cost (budget)
- who will pay
- priority
- expected outcome
- and indicators for success

(AACM International, 1996, p. 83).



10. CONCLUSION

As was promised in the introduction, this report has demonstrated my firm belief that there are no universal truths or failsafe methods which can be applied to developing CF and WUA in a participatory manner. However, there are guiding principles which, if adhered to, will ensure that the practitioner will avoid falling into traps such as using extractive methods, imposing external beliefs and systems to the detriment of local ownership, not appreciating the centrality of local stakeholders' needs, and avoiding dual accountability, all of which greatly lessens sustainability.

It is vital to acknowledge that efforts which are aimed at imposing CF and WUA structures with 'recipe book' methods, are doomed to failure. Sustainable success is achieved over time, with the engendering of a process of capacity building, networking and conflict resolution. This is an evolution, not a revolution. CMF and WUA are not manufactured, they are nurtured in the hearts and souls and minds of the local stakeholders. Thus, the practitioner needs to be expendable - he or she must be able to leave the project and be replaced.

In order to allow stakeholders to take on responsibility, responsibility has to be given to them. Capacity building is vital in this regard, particularly because South Africa is a country marked by enormous differences in education, status, wealth and self-esteem, caused by many years of suppression and discrimination.

In the journey towards CF and WUA, conflict is inevitable. This is not necessarily a negative observation, because conflict offers opportunities for growth, reconciliation and change. This is vital in terms of the demands placed on local stakeholders by the National Water Act. In dealing with conflict and negotiation, the practitioner needs to ascertain his/her own strengths and weaknesses, and should, if need be, call on outside assistance.

Professionalism is non-negotiable in CMPs. In all instances, practitioners need to judge their level of professionalism against the participatory principles laid out in Section 4.4. Participatory work in communities has often been allowed to lapse into a sense of non-accountability and failure to deliver - mostly because of the belief that communities are not in a position to judge the calibre of the work. This is insupportable. Negotiation of all work needs to occur with all stakeholders and agreed indicators need to be set into place.

Every CMP needs to have a long-term goal and cannot be driven by haphazard planning. Beneath this umbrella of long-term planning is short-term planning, which needs to be well conceptualised and regularly re-evaluated. Short-term plans include: budgeting, time keeping, the

use of appropriate skills, task allocations and an ongoing process of continuous reflection. It is important that stakeholders are included as designers of plans such as these.

CF should be given responsibility for local decision-making and action. In the National Water Act, sustainability of water resource management is closely tied to DWAF and the CMA. Currently, DWAF sees CF as structures which enable communication with stakeholders, and as invaluable tools for facilitating the consultation process. However, there is a very real risk that CF will not be used to their full potential by DWAF. It is crucial that CF are not seen as token bodies by DWAF or the CMA. All stakeholders, including DWAF and the CMA, need to listen to, and take cognisance of, the viewpoints of all interested parties.

CF have the potential to be fora for decision making and action at a local level - thus complementing CMAs and DWAF. Experience in Australia has shown that local groups are more effective than governmental agencies at planning and implementing small actions within their own contexts. These actions should be prepared within a framework defined by the strategic catchment plan prepared by the CMA and endorsed by DWAF. This empowers local communities and drives their responsibility for sustainable water resource management (Fargher, pers. comm. 2001).

This understanding of the role of a CF also provides an opportunity for bilateral development assistance and NGO support to complement the investments of DWAF and the CMA. In this way, water fees and state investment resources can be leveraged. It is crucial to appreciate that sustainable resource management will not be realized if CF are merely consultative bodies. It is vital that CF have functions and actions, and can effect change. In this, they need support and to be heard by DWAF and CMA. Thus, it is necessary that all institutional arrangements are rooted in roles and responsibilities, rather than power relationships which serve to promote CF as a useful instrument to disseminate DWAF's views and support DWAF's needs.

The sustainability of WUA and CF relies on stakeholders owning and taking full responsibility of roles and functions. The stakeholders need to continually strengthen relationships amongst themselves and DWAF. All parties need to be prepared to invest natural, social, human, physical and financial capital and to seek cost-sharing relationships to achieve best management practices and sustainable resource management.

Ultimately, the integrity and efficacy of CMPs depends on their adherence to ethics, participatory principles, self-awareness and honesty. Without these traits, CMPs cannot be built within the communities, with the stakeholders. It is only when CMPs are built within communities, with the stakeholders, that they are sustainable.

11. RECOMMENDATIONS FOR FURTHER RESEARCH

Effective water resource management requires appropriate legislation, processes that enable institutional and community partnership, and clear goals for water quality and water quantity. The National Water Act provides a legislative framework that is consistent with international best practice. The RDM process initiated by DWAF with support from research financed by WRC is working towards clear goals for water quality and water quantity in all catchments. Thus the technical aspects of water resource management are in hand.

There are limited experience and tools available, however, to support processes that enable institutional and community partnership for water resource management in South Africa. Experience in other countries, particularly Australia, Canada and USA, but also in other SADCC countries, has demonstrated the effectiveness of socio-economic drivers for awareness raising and behavioural change in water resource management. It is the socio-economic drivers that deliver water resource management outcomes - technical drivers deliver inputs and outputs.

Further research is necessary to balance the rapidly rising demand for socio-economic tools that support water resource management with the limited supply of South African experience in this area. This research complements the focus on technical research outputs for water resource management in the country.

Implementation of the National Water Act requires new capacity in two key areas:

- Reserve determination and monitoring; and
- participatory processes for planning, implementing and evaluating water resource management actions at sub-catchment, catchment and WMA scales.

The National Water Act presents a real opportunity for a totally new way of managing water resources in South Africa. Participatory processes, capacity building and empowerment of formerly disadvantaged communities is central to the sustainable resource management philosophy of the National Water Act.

The project implemented in the Kat River sub-catchment has demonstrated the potential for participatory processes to drive change in water user communities and facilitate implementation of the National Water Act. The models developed in that project need to be extended to a whole-of-catchment and WMA scale to test their appropriateness. Lessons learned from this larger-scale

adaptation and testing need to be framed as guidelines to support the activities of water users, DWAF and institutions established under the National Water Act - particularly WUA, catchment fora and CMAs.

It must be borne in mind that there is a widening gap between what DWAF expects from projects such as these, and what the grassroots communities expect. DWAF's reality is narrowly focussed on 'pure' water resource management, a perspective which is too limited in rural contexts in which water resource management is embedded in, and affected by, a vast range of other issues. Recognising this will be vital in the years to come, in order to maintain and grow community support and involvement in CF and WUA.

Some specific recommendations for further research include:

- It is necessary for future work to investigate how practitioners can co-create evaluation and monitoring systems with stakeholders, in accordance with the National Water Act.
- To develop approaches that allow stakeholders to participate in determining the Reserve and setting environmental objectives.
- Strategies need to be developed which will ensure that information sharing becomes more accessible: including the preparation of booklets and information leaflets.
- Practitioners in this field often work in isolation from other projects. There is a need to encourage practitioners to come together and share their experiences in order to provide a coherent, less *ad hoc* body of knowledge. Each project will have varying experiences to offer, but the global picture created by sharing all the knowledge could assist DWAF and governmental bodies to assess the efficacy of their policies at the place where they impact most or not at all: grassroots.

I am concerned by the official DWAF position which holds that catchment management is essentially water resource management, and that CF are merely consultative bodies. I believe that it is imperative that future research enquires from practitioners across the country whether this line of reasoning is accurate and valid. It is necessary to seek ways in which the two orientations can be brought together and a bridge built between stakeholders and DWAF.

- Aspirant or inexperienced practitioners need to be trained. I believe that the most effective method of achieving this is by on-site training; that is, the trainee practitioner and experienced practitioner work together in the field.
- Any further research should actively seek to encourage DWAF personnel into the field, where they are able to take part in the work and learn more, much faster. A brief 'day visit' is not useful. It is far more valuable to invest in at least a three or four day field trip. Such experience will allow personnel to apply their new knowledge in a range of pertinent situations and to use their learning to guide future decisions.



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12. ACKNOWLEDGEMENTS:

The project employed and worked with: the Project Team (Prof. K.M. Rowntree, Mr. H. Maaren, Prof. E. Nel and the Fairbairn and Hertzog Communities); the Catchment Research Creative Group (Mr. V. Hoboshe, Mr. M. Nontyi, Mr. J. Ntsebeza, Mr. M. Ntshudu, Ms. M. Ngweniso and Mr. T. Phillip); the Environmental Educator (Ms. J. Burt); Editor (Ms. R. McDermott); The Steering Committee (Mr. H. Maaren, Dr. N.P. Mjoli, Prof. K.M. Rowntree, Mr. T.K.C. Quinlan, Mrs. O.H. Mwanyama, Mr. T.J. Geldenhuys, Mr. S. Mullineux, Dr. D. Scott, Mr. K.C. Khorommbi, Mr. W. S. Rowlston, Dr. H. MacKay, Dr. R. M. Auerbach, Mrs. C.M. Smit (WRC Committee Services), Mr. J.A. Venter, Mr. G. Daniel); Journalists (Ms A. Lazaro, Ms. V. Hambly and Ms. L. Witepski); Part-time Administrators and Assitants (Ms. M. Armstrong, Ms. N. Ditano, Mr. P. Magni and Mr. M. Duma); Participatory GIS Specialists (Ms. M. du Plessis and Mr. A McMaster); Advisors (Mr. J. Fargher, Dr. R. Heath, Mr. H. Kavin, Ms. N. Pullen, Dr. C.G. Palmer, Mr. W. Rowlston, Dr. H. McKay, and the Catchment Management Directorate, Pretoria); and the Scientists (Ms. M. du Plessis, Mr. N. Vien, Mr. G. Webb, Ms. V. Everitt, Mr. M. Soxujwa, Mr. T. Dold and Dr. P. Scherman).

The project owes great thanks to all those who committed their souls, hearts and energy to every step of the journey, always offering their unique talents far beyond the formal boundaries of the job description and remuneration. Given this passion, dedication and enthusiasm, the project climbed to great heights which inspired stakeholders with the confidence to bring about changes in their lives.

In addition, the committed and loyal members faced long hours of work which included driving, budgeting, setting up and running workshops, report writing, facilitating feedbacks, presenting work to the funder (Water Research Commission) and the project's Steering Committee, and so on. Every task undertaken was completed efficiently and effectively. There was also a strong commitment to learning new skills and being open to self and group reflection which is both challenging and difficult. It was highly enjoyable working with you all. Thank you for working with me and teaching me. I appreciate your patience and your lessons. Go well, special friends, on a path of change and self growth.

APPENDIX A

The KRVP Diary (January 1999 - December 2000):

Date	Process	Inputs	Outputs	IMPLICATIONS FOR CF/WUA
F '99	- Learned from Australian experience - Developed networks at DWAF & in Australia	- Attended Second Australian Stream Management Conference - Prepared report on Australian lessons learned	- Awareness of institutional structures, education systems, public participation methods & development of contacts	
M '99	- Visited Fairbairn community to feedback PhD work & to allow local stakeholders input in the project development	- Used visual feedback techniques & oral accounts from participants	- Fairbairn community started to become co-managers & planners of the KRVP	- Fairbairn community reinforced the need for a formal structure for water resource use
A '99	- Employed grassroots research assistant - Developed skills in research assistants	- Lessons learned from PhD applied to new project	- Research assistants acquired English & basic computer skills - Research assistants read literature on catchment management	- Research assistants achieved an understanding of Water law & catchment management
M '99	- Visited catchment stakeholders & communities	- Social survey of catchment communities & their resource use	- Understanding of socio-economic issues in the catchment	
M '99	- RU Journalism students were approached to develop a newsletter	- Developed newsletter - Newsletter widely circulated	- Journalism students gained practical experience & learning - Network developed between KRVP & the Journalism department	- Newsletter introduced the concept of local and government stakeholders to the Kat River Valley communities

J '99	- Drama events at schools explained River Health	- A RU Geography student developed an educational programme to promote river care at Fairbairn & Hertzog Primary Schools - Awareness of SASS4	- Awareness of the need to promote better pollution control	- Raised awareness of the rights of river resources
J '99	- Planned the implementation of River Health Program	- Networked with River Health Programme (Rhodes) - Selected sites for River Health Survey - Mobilised team for River Health work - Team building exercises were organised in order to create a common vision for the biophysical scientists	- Local stakeholders were made aware of the River Health Programme	
A '99	- The implementation of River Health Programme	- Methods were trialed for the River Health Programme - Conducted River Health surveys - Published River Health Report	- Awareness of catchment scale & Natural Resource Management was created	- Distributed & presented River Health Report at Stakeholders' Meeting in October - Raise questions regarding the Reserve

A '99	- Catchment Resource Management awareness raising in rural schools	- An Environmental Educator & the Catchment Research Creative Group were employed - Schools contacted & programme initiated	- Catchment children: . shared their local natural resource knowledge . explored good management systems . developed dramas of resource management - Jane Burt provided a report on Environmental Education work in the KRVP	- Kat River Valley children performed resource management dramas at the Stakeholders' Meeting in October
A' 99	- Evaluation of newsletter Vol.1 No.1 by a Journalism student	- Research skills were acquired by the student	- Strengths & weaknesses of the newsletter were shared and informed the 2001 edition	
A' 99	- Steering Committee Meeting	- Research Report		
S '99	- Networked with National Stakeholders - Shared learnings from the KRVP with Water Managers of South Africa, WRC & DWAF	- Presented a talk at the WRC Seminar: . Tools to Facilitate & Support Stakeholder Involvement in Multi-Issue, Multi-Party Processes . Photographic display of the KRVP presented at the Catchment Management Initiative: Experience Sharing.		- Networked, learned & shared with other practitioners & national stakeholders
S '99	- Built local stakeholders' capacity to participate in Stakeholders' Meeting in October	- Community & individual meetings were held to develop an understanding of the Water law, CF & WUA Constitution. - Communities selected skilled representatives to attend the Stakeholders' Meeting	- Stakeholders selected relevant, skilled representatives to attend the Stakeholders' Meeting - Grassroots assistance provided support to the stakeholders chosen to attend the meeting	- Stakeholders gained an awareness & understanding of Water law, WUA & CF - Prior to the Stakeholders' Meeting the stakeholders additional needs were incorporated into the agenda

O '99	- Stakeholders' Meeting - Presented the Water Act in the form of dramas	- Contacted & involved outside facilitators for the Stakeholders' Meeting - Developed an agenda - Send out invitations - Facilitators gained an understanding of the Water law & WUA Constitution - Hosted the Stakeholders' Meeting	- Stakeholders committed to forming a representative & inclusive WUA that supports catchment management activities	- Community elected to have WUA & CF. - Community elected WUA Steering Committee.
N/D '99	- Three open meetings were held to finalise the WUA Draft Constitution - Provided information to WUA Steering Committee	- Collated current DWAF information for Steering Committee members - Set up a support programme to inform former marginalised group to ensure participation (translated draft constitution into Xhosa, used drama & discussion groups)	- Informed local stakeholders of the WUA Draft Constitution - Stakeholders made a commitment to WUA Constitution & voting areas	- Draft WUA Constitution sent to Minister - Draft voting areas agreed
D '99	- Umlambo Drama Festival with school children enabled an understanding of catchment principles & concepts	- Local schools put on dramas, choirs & dances - Local stakeholders were invited to watch - Sponsorship received from DWAF & Coca-Cola	- The performances brought stakeholders together & highlighted the need to work together - Provided an opportunity to network & establish catchment relationships - Presented the concepts of scale, upstream & downstream, integration & collaboration - Provided an opportunity for the children to present & celebrate their learning	- Stakeholders met and exchanged experiences - This laid the foundation for the CF

F '00	- Provided information to WUA Steering Committee	- Contacted relevant resource outlets for materials e.g., Water law documents		- Kept the WUA Steering Committee informed
M '00	- Introduced biophysical scientists & GIS specialists to project & catchment	- New research projects provided by the former: . water quality with attention to detergents . participatory GIS . soil rehabilitation - Gave KRVP data to new researchers - Held discussions with & guided new researchers - Introduced new researchers to local stakeholders & research assistants	- Cohesive team with multi-skills	- New researchers supported Cf and WUA functions, e.g., used participatory GIS to map the voting boundaries with the local stakeholders

M '00	- Conducted environmental awareness workshops in 9 rural communities	- Developed a well conceptualised programme to encourage awareness & commitment to catchment management - Planned with the rural communities (venues, times, roles & responsibilities) - Workshops were implemented - Outline of the Draft WUA Constitution was presented to the rural communities	- Awareness & commitment to catchment management were achieved - Accountability to the Draft WUA Constitution was achieved	- Widespread knowledge of the WUA was achieved - The distinction between WUA & CF was grasped - The awareness of the need for a CF among local stakeholders was acknowledged - Communities were given the opportunity to elect a member to represent them on the CF
M '00	- Entered into the Nedbank/Mail & Guardian Green Trust Awards 2000	- Local stakeholders & outside stakeholders commented on & evaluated the KRVP - Development of a scrapbook that provided of a narrative of the KRVP & allowed the voices of the stakeholders to be heard	- Grassroots research assistant accepted Finalist Award in Pretoria - Prize celebrated in the Kat River Valley with the planting of donated trees in villages & commercial farms	- Encouraged CF function (sustainable water resource management)

M '00	- Aids Awareness play developed with Kat River Valley & Grahamstown school children for the SASOL SciFest 2000 held in Grahamstown - The Kat River Children after their performances attended the SciFest Water World	- Collaborative project	- The children learned how to work together, share their experiences & learnings - These are the basic principles of catchment management - The children gained confidence & won prizes at the SciFest Water World quiz - These winnings highlighted that the environmental education programme run in 1999 had successfully taught the children about water resource management	
M '00	- Presented papers at Sussex University, U.K. - Networked with Institute of Development Studies (IDS)		- Networked & placed on mailing list of the IDS	
A '00	- Re-worked WUA Constitution with the WUA Steering Committee	- Participatory GIS for mapping voting boundaries - Compiling & submitting the WUA constitution	- Local stakeholders participated throughout the process, thus ensuring accountability	- An accountable & inclusive document

M '00	- 'Way Forward Workshop' was held in 15 villages & provided an opportunity for villagers to introduce their CF members - Xhosa booklets that detailed the results of the environmental workshops were presented to participants - The WUA Constitution & the voting boundaries were also presented	- Booklets compiled to give feedback to participants of the environmental workshops - Booklets highlighted concepts of catchment management (catchment scale, integration, environmental threats & opportunities)	- Provided an opportunity for people to ask questions & clarify issues - Each community discussed & set objectives for the CF, both locally & at a catchment scale	- Elected members for CF
J/J '00	- Bus trip through the valley from village to village with the elected members of the CF - The KRVP provided each CF representative with a map on which to record their observations of every village visited - This mapping exercise was undertaken to prepare the stakeholders for the Action Planning Workshop	- Representatives from the 15 rural communities were able to present their local socio-physical conditions to one another & explore ways of helping each other - The representatives were then encouraged to discuss their findings with the group - The ultimate goal was to create a picture of the 15 villages' catchment conditions, allowing each representative to appreciate the boarder catchment context	- An opportunity to meet & build a spirit of co-operation within the CF - The CF learned the importance of mapping & gained the skills to read a GIS map - The CF were able to use the GIS maps on the bus trip to identify different villages & socio-physical conditions	- Learned from each other's experiences

J/J '00	A two day workshop with WUA Steering Committee & CF was held to draw up Action Plans for their catchment	- Logical frameworks (in conjunction with GIS maps) were used to tabulate the WUA Steering Committee & CF's desired actions	- The Action Planning workshop laid the basis for preparing a Landcare proposal with the stakeholders - The expected outcome of the Landcare programme is a range of action plans that will ensure the sound & sustainable management of the Kat River Valley resources - Some of the functions have been taken on by the CF, e.g., Seymour has approached the Minister for an apology concerning the flooding of their graves during the building of the Kat Dam	- The CF & WUA agreed upon actions to implement - The CF made contact with the Landcare programme to carry out some of the agreed functions
J/J '00	- The WUA held a meeting with service providers (Amatola Water (Amanzi & Water and Sanitation Services South Africa) to discuss the need for service providers to fulfill primary functions of the WUA (e.g., to provide water for the beneficial use of members, to monitor & control the abstraction of water from the river & release of water from the Kat Dam; and to recover costs of managing the water resource from water users) Amanzi & Water and Sanitation Services South Africa Amatola Water both gave presentations to the WUA steering committee & CF	- Provided a forum for all parties to meet	- Networked & sought the best service providers	- WUA & CF worked closely together so as to ensure accountability - WUA moved towards implementation of Constitution
A '00	- Steering Committee meeting.	- Research Report		

S '00	- Presented papers at Cambridge University, U.K.			
S '00	- Journalism students contracted to develop a second newsletter		- Newsletter still in process	- To inform WUA & CF of all the events and the need to plan for the Reserve
O/D '00	- Final Report			

Department of Water Affairs & Forestry

**BUILDING THE CAPACITY OF
MARGINALISED GROUPS
TO ENABLE THE ESTABLISHMENT OF
CATCHMENT FORA IN SOUTH AFRICA.**

**GUIDELINES ON THE ESTABLISHMENT
AND MANAGEMENT OF CATCHMENT FORA**

Discussion Paper

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LIST OF ABBREVIATIONS

CBO	Community Based Organisation
CF	Catchment Fora/Forum
CMA	Catchment Management Agency
CMP	Catchment Management Project(s)
DWAF	Department of Water Affairs & Forestry
IWRM	Integrated Water Resources Management
KRVP	Kat River Valley Project
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
NWA	National Water Act
PME&E	Participatory Monitoring & Evaluation
WRM	Water Resource Management

Definition of Capacity building:

In this, I follow Eade's (1997) definition, which she explains as follows: "Oxfam's definition of capacity building is marked by its own fundamental beliefs: that all people have the right to an equitable share in the world's resources and to be the authors of their own development... Strengthening people's capacity to determine their own values and priorities, and to act on these, is the basis of development" (Eade, 1997, pp. 2 - 3).

1. INTRODUCTION

The objective of Catchment Fora (CF) and capacity building is to enable sustainable water resource management (WRM). This can only be realised through CF being understood and recognised not only as consultative bodies but also as active partners with negotiated roles and responsibilities.

There are no universal truths or failsafe methods which can be applied to developing CF in a participatory manner. Efforts which are aimed at imposing CF structures with 'recipe book' methods, are doomed to failure. Sustainable success is achieved over time, through a process of capacity building. This process is an evolution, not a revolution. CF are not manufactured, they are nurtured in the hearts and souls and minds of the local stakeholders.

In order to allow stakeholders to take on responsibility, responsibility has to be given to them. Capacity building is vital in this regard, particularly because South Africa is a country marked by enormous differences in education, status, wealth and self-esteem, caused by many years of suppression and discrimination. Capacity building is often understood as a discreet period such as a 10 day training course. This understanding of capacity building is a limited one, and has limited results. In this paper, capacity building is understood as an integral part of every effort in working towards developing CF and managing integrated water resources. There is nothing undertaken, in the course of a catchment management project, that does not have bearing on the process of capacity building. Thus, the act of encouraging stakeholder responsibility is best served by giving responsibility, and by doing so repeatedly.

Capacity has to be built in context - another reason why once-off Training Courses offered in isolation from any other support, are of little use in the long run. An example of the fruits of building capacity, consistently and in context, can be found in the Kat River Valley Project (KRVP). A grassroots worker, Mr. Jerry Ntsebeza, gained valuable hands-on experience in negotiating through his work with fellow staff members on the KRVP. Through this, he gained confidence and skills. Thus, when he was faced with a situation in which he, as a Kat River Valley representative, was responsible for negotiating with an intimidating opponent, the Public Works Department, Mr. Ntsebeza was able to conduct himself with confidence and self-possession. This allowed him to achieve an important raise in wages to be paid to his fellow community members by the Department. If Mr. Ntsebeza had merely been exposed to negotiation skills at a Training Workshop, for example,

and had not had the constant and day-to-day experience offered him in the KRVP, it is very likely that he would not have been as able to put his case in such a demanding situation.

This paper discusses various growth points in which capacity building is embedded. For example, in the issue of needs, capacity building enables stakeholders to recognise and express their needs. Without this foundation, there can be no constructive work towards a CF that truly reflects stakeholders' needs. Other areas where capacity building is integral are: creating autonomy; facing and dealing with conflict; engendering the ability to deal with change; working with diversity; growing trust and respect; encouraging responsibility; celebrating success; integrating local stakeholders; creating strategies; and encouraging flexibility. In every instance, the growth of these abilities and the capacity that makes them possible, occur as an evolution.

A central aim of capacity building is to enable participants to enter into a range of situations with stable abilities and self-confidence, allowing them to actively engage in seeking agreements and solutions which work for them. Given the socio-historical context in which our work takes place, and the years of discrimination and suppression that inform it, it is absolutely vital to work towards matching the capacities of marginalised and unmarginalised stakeholders. Therefore, it is necessary to match responsibility, growth, functions and trust, in order to ensure equal skills. Ultimately, the integrity and efficacy of catchment management projects depends on their adherence to ethics, participatory principles, self-awareness and honesty. Without these traits, CF cannot be built within the communities, with the stakeholders. Equally, the stakeholders themselves are unable to build sustainable CF without capacity building.

2. NEEDS AS A FOUNDATION

2.1 CF is grounded in stakeholders' needs

Needs are a powerful influence on behaviour and social interaction in Catchment Management Projects (CMPs). This is true for both the stakeholders and the staff of the project. Needs give catchment management its *raison d'être*, and make it an imperative. In order to fulfill their needs and those of the environment, it is necessary that all stakeholders interact. All CMPs are inextricably bound to processes and outcomes related to the negotiation of tradeoffs between human and environmental needs. It is the interaction of the stakeholder in search of his/her - and the environment's - needs within a social setting, that underlies and gives meaning to catchment management and sustainability.

It is important to understand that catchment management cannot be solely focussed on WRM. Catchment management is broader and encompasses issues in social, economic, political, development, tourism and environmental spheres. This recognises the causes of integrated water resources degradation, rather than just focussing on symptoms. Therefore, if catchment management work is to be effected through CF, then the Department of Water & Forestry's (DWAF) responsibilities extend beyond mere water resource issues. For example, it is not the community's responsibility to create links between itself and other government departments involved in catchment concerns, e.g. the Department of Public Works when a bridge needs to be built. In fact, if DWAF does limit catchment management to water resource management, there is little benefit to communities and therefore little reason for them to take part in CF.

The framework of any particular CF needs to include institutional needs as well as local needs. (In this paper, institutions are understood to be government departments, universities, NGOs and so on.) The institutional framework - relating to corporate and government policies and goals - should include legal, financial and policy needs.

2.2 Defining needs and wants

In this section, both the traditional Western understanding of the terms 'needs' and 'wants' and the Xhosa understanding of these terms are discussed. Since these two viewpoints are at odds, and the

discussion is a controversial and confusing one, Section 2.3 clearly delineates the definitions used in the KRVP. From the perspective of Western literature, needs are defined as necessities, not only for biological survival, but also for the physical and mental health and development of stakeholders. As a rule, needs are inferred and are not directly observable, other than in the case of biological needs for food, water, sleep and so on. The concept of needs rests on the belief that needs are objective and universal (Doyal & Gough, 1991). "Reasons for needing (or for that matter wanting) are then essentially public, in that they draw on a shared understanding" (Doyal & Gough, 1991, p. 41).

Western literature describes 'needs' as distinct from 'wants', but in Xhosa, 'want' and 'need' is described by the same word. It is in the actual negotiation process that the differentiation is made clear: the act of negotiating for a need signals that it is serious, that resolution depends on satisfying the need, and that it is pivotal in achieving a set goal. This understanding is vital for community work, as the following quote from an Eastern Cape Xhosa-speaking local demonstrates:

To say "ndifuna" means "I want" in the Xhosa to English translation. It is through the explaining situation that it becomes clear if it is a need or a want. Need, is more than I want, it is a requirement, you cannot do without it. A need will show a serious matter. The person asking cannot do anything without it. A want will be a wish, a statement for the future but does not cause harm to the person [if it is not fulfilled] (Toto, 2000).

2.3 Needs and wants in catchment management

Given the importance of establishing stakeholders' needs, it is necessary that I comment on the value of assessing such needs in natural resources. In this, I shall be drawing on a colleague's work, who contributed international experience and expertise to the project.

Common needs are explicitly or implicitly contextualised into a goal and strategy for satisfaction. In the pursuit of a common goal, primary attention must be focussed on establishing the best method of achieving that goal. It is a process that requires continuous reassessment of the need, goal, strategy and end point. It is therefore essential that CMPs are clear on the meanings of needs and wants. In the process of setting up the CF and its necessary framework in the Kat River Valley, Fargher, acting

as the outside facilitator, worked with practitioners and stakeholders to understand the meaning of needs and wants. In the KRVP I held to the following definitions:

Needs:

- are immediate requirements for life and well-being.
- function as drivers of immediate behaviour change, they deliver an output/outcome.

Wants:

- are future aspirations for life and well-being. A 'wish list'.
- function as drivers for long-term change, they do not activate immediate participation.

As Fargher's (1999) diagram below illustrates, in CF, attention should focus on overlapping needs. He explains that focussing on stakeholders' needs requires a shift away from focussing on public positions or individual expectations, to a focus on common ground. This is important, as once a group has identified their needs, they are empowered to work towards a common goal. This, of course, does not mean that the journey will be an easy one, but rather that the participants are committed to walking the road. It is this frame of mind that makes capacity building and integration between the various stakeholders, possible. The identification and evaluation of needs is ongoing process and a platform upon which diverse stakeholder groups can find commonality.

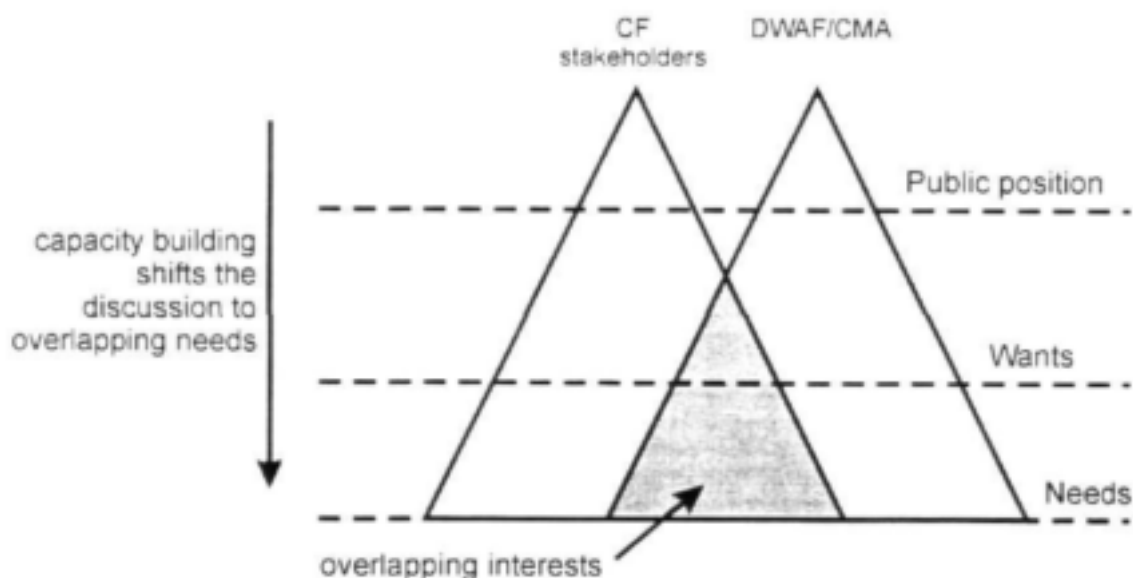


Figure 1: Shift from public positions to needs (Fargher, 1999).

In order to find and articulate a common need, a framework needs to be set up to identify the varying stakeholder needs (see Figure 2). Once the needs have been articulated, it is then possible to compare them and identify overlapping and common interests.

Overlapping needs are complementary and provide opportunities for mutual benefit – activities by one group also benefit the other group. For example, clearing fire breaks in a forest reserve could provide a firewood resource that reduces the need for communities to harvest wood from other parts of the forest.

Common needs allow efficiency through cooperation – activities done jointly will cost both groups less and yet achieve the same overall outcome. For example, reforestation activities may provide shelter, honey and grazing benefits to communities in the short-term and timber benefits to forestry institutions in the long-term. Both have an incentive to cooperate for reforestation activities. So long as rights and responsibilities are clear, it should be possible to use local community labour to plant and maintain reforestation seedlings provided by forest institutions.

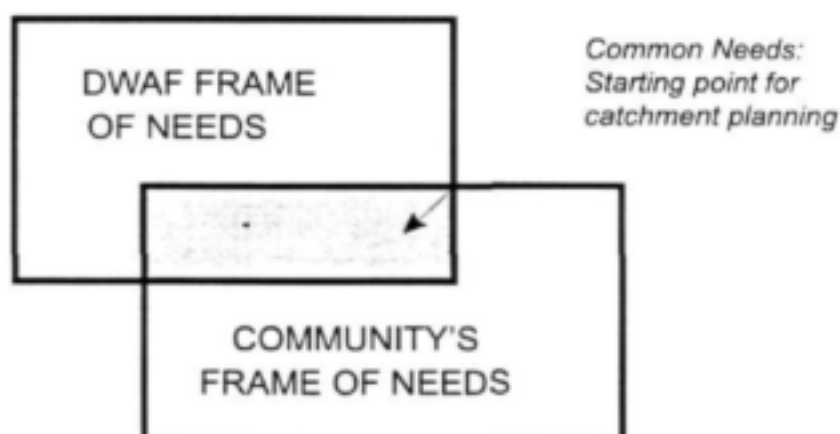


Figure 2: Overlapping needs (Fargher, 1991).

It is crucial that community participants have an opportunity to tell their story and to identify their needs in CF. The facilitators should never presume to know what communities might need or what their priorities might be. In fact, unless you are a part of that community, you will never know.

Catchment management facilitators should begin their relationship with stakeholders, by listening. This can be achieved by holding structured meetings that allow all stakeholders to have a voice, rather than just community leaders or a confident minority. This is important because a range of stakeholders - women, men, the youth, elders and children - have a variety of knowledge that is useful and important to catchment management. For example, women gather firewood and make decisions about which non-wood forest resources to harvest, and young boys are responsible for herding animals and making decisions about which grazing resources should be used.

It is important to note that while a need may be shared, different stakeholders may hold varying versions of that need. In this instance, it is commonality which provides a platform for negotiation and the identification of common needs. Thus, it is important that stakeholders and team members do not see the overlapping needs as a fixed, static unit, and that continual review and negotiation is allowed. Since stakeholders have formed a common goal, they are therefore able to reject or accept additional needs as influential in the situation under review. This flexibility is vital in the process of seeking sustainable goals, as stakeholders should be able to consider numerous options and needs, and articulate their feelings regarding them - a process which then validates the final outcome as being the best possible option.

Using overlapping and common interests as a foundation for matching the local needs and the institutional needs provides the basis for a long-term relationship between local and institutional stakeholders. Such a relationship is best managed by using a form of organisational arrangement such as a CF.

Within a process-orientated project, aims and objectives need to unfold in relationship to the local needs. This encourages all participants and facilitators to engage in, and own, the project. Stakeholders become a part of the process when they direct the aims and objectives through a process of reflection, group negotiation and co-learning.

CF need to centre around stakeholders' common needs in order for participants to have a voice in matters affecting them. However, during apartheid and the post-apartheid period, there was a failure to engage people of colour in environmental issues. This has led to a lack of awareness and a paucity of the knowledge necessary for optimal decision-making regarding environmental issues. Equally, stakeholders can be powerless or unable to bring about indispensable functions in catchment

management due to a deficiency of access to, and command over, required resources. Therefore, CF can be a means through which stakeholders progressively achieve control over the resources related to their existence (better flow management), their well-being (better health due to less up- and downstream pollution) and psychological empowerment (improved self-esteem gained by having a voice in catchment management decisions which affect their lives) (Fowler, 1996).

It is important that catchment management does not exclude the educated and wealthy socioeconomic groups, as they too have issues in catchment management that affect their livelihoods, their well-being and their empowerment. This is especially so in a nation where apartheid damaged all groups, fostering breaks in communication and a focus on differences and consequently, splitting groups apart. In this, healing needs to focus on all groups.

A human needs approach can reveal the links and seek commonality between stakeholders' needs - satisfaction and deprivation - and the emergence of environmental and human issues in the local, national and global context.

3. THE NECESSITY OF AUTONOMY

3.1 Capacity must build stakeholders' autonomy

The effects of apartheid such as poor self-image, low confidence and a lack of knowledge have impaired participation in the management of water, thereby disabling stakeholders' autonomy. This, in turn, places a heavy emphasis on the need to encourage stakeholder autonomy, by means of social development and capacity building.

Autonomy is a prerequisite in order for stakeholders to be able to express their needs. It is essential for the stakeholders to own their needs, so as to have the ability to make informed choices about what should be done and how. However, such ownership can be limited when stakeholders feel restricted or trapped and are unable to express their needs in totality. "A person with impaired autonomy is thus someone who temporarily and seriously lacks the capacity for action through his agency being in some way constrained" (Doyal & Gough, 1991, p. 53).

"Significant autonomy is a matter of degree. A person may be more or less autonomous. [Significantly] autonomous persons are those who can shape their life and determine its course. They are not merely rational agents who can choose between options after evaluation relevant information, but agents who can in addition adopt personal projects, develop relationships, and accept commitments to cause, through which their personal integrity and sense of dignity and self-respect are made concrete. In a word, significantly autonomous agents are part creators of their own moral world" (Doyal & Gough, 1991, pp. 67-68).

Erade's (1997) starting point is a call for facilitators to have a carefully considered and recorded conceptualisation of capacity building, in order to enable a fuller engagement with the work. Within the principles of catchment management, stakeholders need capacity in order to participate and be empowered to bring about changes in their lives. Capacity building is method of development in that effective participation results in stakeholders taking charge of their rights, as well as owning and shaping the decisions which affect their lives. Therefore, capacity building as development requires that catchment management work should strengthen and enable stakeholders' ability to participate positively "in social change, in terms of personal growth and public action" (Erade, 1997, p. 4). This enables stakeholders to participate in a range of activities, such as negotiations of their water needs,

the planning and designing of CF programmes, the implementation and monitoring of catchment management on-ground works, networking with various groups of stakeholders, and so on.

In enabling such participation, the facilitator should be aware that stakeholders may require varying levels of support in the capacities they need to form CF. This support includes resources such as theory (intellectual), strategy, socio-political, legal, cultural, material resources, practical and monetary (Erade, 1997).

4. CAPACITY BUILDING AS AN EVOLUTIONARY PROCESS

4.1 The evolution of the capacity necessary for stakeholders to participate effectively

The building of stakeholder capacity and the emergence of a strong stakeholder group is vital for the sustainability of CF. It is important to recognise that groups need to evolve over time. In this regard, enhancing the capacity of stakeholders is described by Fargher (1999b) as a journey. The journey of capacity building can be seen as an evolution that the stakeholders undergo in order to participate effectively in catchment management. This is discussed in more depth in Karar (2000): "Establishment of Catchment Management Fora".

Building capacity is a process which is aimed at reaching a desired objective, and can be "about the process of transforming lives, and transforming societies" (Erade, 1997, p. 24). The diagram below recognises the need for groups to evolve through three core aspects: group initiation, group growth and group maturity (see Figure 3). With each change, the group moves through awareness, to learning, to sharing, to forming sustainable structures and finally becoming co-investors in those structures. Importantly, the process is not one in which stakeholders climb ever upward until they reach maturity, which is where they remain. Rather, the process may require repeated 'backtracking'.

The goal of capacity building (i.e. achieving sustainable water resource management) requires practitioners to encourage stakeholders to reach a mature and evolved level of group growth. In the early to middle stages of the evolution process, stakeholders are likely to fulfill only consultative and decision-making functions, however, with increasing maturity they are equally likely to be able to enter into contractual or delegatory relationships with DWAF and CMA. In my view, practitioners should be absolutely committed to moving local stakeholders to implementation. It is this which makes sustainable water resource management, a reality.

Example:

The importance and necessity of such backtracking is demonstrated in the following example from the KRVP: once the stakeholders had prioritised the development of a CF, the Xhosa communities requested that an awareness programme be set in place, which would contain the principles of the Water Act, clarify the role of the CF, and detail the changes in the Water Act. Thus the process returned to the basics before reaching the commencement point of the October 1999 Stakeholders'

Meeting. The requested awareness programme was only completed in June 2000, which indicates how long and careful such a backtracking process needs to be.

At different points in time, the stakeholders' capacity affects their ability to act on their needs, their ability to evolve and their ability to participate. In the course of the evolution, a multitude of factors directly and indirectly shapes and impacts on the stakeholders' ability to participate. These factors are frequently embedded in the stakeholder's identity, life experiences and personal relationships, as well as in broader contexts such as gender, cultural, economic and social positions. Therefore, capacity building needs to take place within the constructed context. Isolation of context can allow symptoms to become the focus, rather than causes, which may, in turn, inhibit participation in CF (Erade, 1997).

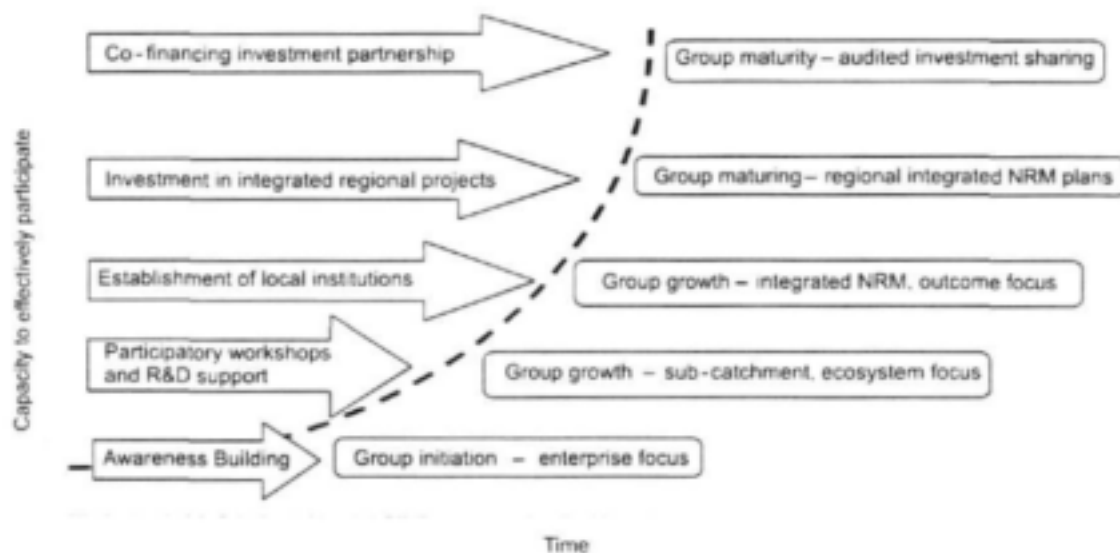


Figure 3: The evolution of the capacity necessary for stakeholders to participate effectively (Fargher, 1999b).

Capacity building requires time to stimulate growth and action through stakeholders' active construction of knowledge, discovery, recognition and the ownership necessary to bring about changes. The process is neither fixed nor formulaic as each stakeholder's needs and capacity to

participate in negotiated targets are different. This diversity is of central importance, now and in the future.

4.2 Step 1 - Awareness building

Taking catchment management to the stakeholders requires awareness building from the vantage point of the community, through a process of innovative participatory empowerment. Awareness building is necessarily the first step in the evolution of stakeholders and enables the deepening of capacity to take part in CF activities. Such a stance is in keeping with Freire's (1972) observation that awareness building or active education brings about liberation and sets into motion a process of dialogue, resulting in an outcome of participation by stakeholders. Such a process involves stakeholders understanding and internalising catchment management concepts. These concepts need to be components that are continually integrated into the awareness creation programme, enabling stakeholders to gain a firm foundation of understanding and allowing them to enter into CF debates.

It should be noted that the process of awareness building also includes facilitators. For example, facilitators need to develop their awareness of the socio-physical and historical context of the catchment. Having a solid and sensitive understanding of this makes it easier for the facilitator to develop a rapport with the local stakeholders. Awareness building should not be limited to the local catchment context, but should include regional and national government stakeholders, as well as regional, national and international facilitators from other catchment projects. All of these groups can be valuable resources from which to gather information, policy and law, as well useful advice and support.

Pretty & Frank (2000) have outlined various stages which are typical of a group at this phase of evolution. These include:

- initial organisation of individuals into groups
- the group is often formed in response to a threat or crisis, or because of an outside agent
- the participants recognise that the group has value
- the rules are externally imposed or borrowed
- the participants seek external solutions
- the participants are highly dependant on external facilitator/s

The above points, for example that participants tend to seek external solutions, influences how one approaches the capacity building process and which issues are to be tackled. The above also parallels Karar's (2001) Development Phase.

Example:

Catchment scale required that stakeholders in the KRVP understood the hydrological cycle, including all aspects of water. Equally, they needed to grasp that the boundary of the catchment included land through which, or over which, water moves. This was conveyed through a bus trip through the catchment and the use of GIS maps. The spatial considerations included understanding where one lives in relationship to other stakeholders or to particular water resources, amongst other issues. This information was covered in a catchment-wide community newsletter.

4.3 Step 2 - Development of group growth

The second step in the evolution of stakeholders, is supporting the development of group growth. Such growth needs to foster communication, partnership development and democracy through processes of negotiation, partnership building, conflict resolution and gaining the ability to realise needs and deal with differences. Supporting this development takes place over an extended period of time, at the individual level, at the group level and at the community level, as well as between groups, sub-catchments and catchments. CMPs should support each stakeholder or group of stakeholders according to their needs and provide them with a foundation that enables effective participation in CF. In this, it is necessary to develop strategies that can be tailored to relevant needs, which requires adapting methods and trialing new methods based on listening and acting upon what the group requires and asks for. When stakeholders are bolstered by a sense of self-respect, this facilitates a sense of personal power and the motivation to participate in one's community.

At this stage of the group's evolution, Pretty & Frank (2000) identify the following characteristics:

- participants gain a sense of independence
- participants discover emerging capabilities
- participants are able to look inwards and embrace their own identities
- participants are able to develop their own rules and norms
- participants begin to be able to look outwards and develop links with other groups
- participants are able to take advantage of external and internal information
- participants are able to diverge and develop individual characteristics

- participants develop capacity to seek new solutions to existing problems
- although participants are more resilient, it is still possible that the group may break up once the original aim achieved

The above points parallel Karar's (2001) Normalisation and Performing Stage. In this stage then, there is tangible evidence of the participants' growing capacity and their ability to embrace and actualise their individual and group potential.

Example:

In the KRVP, a foundation for the CF was built by holding 9 environmental awareness workshops in settlements throughout the Kat River valley. These workshops allowed people to share their knowledge and concerns about the environment, and encouraged them to recognise the need for collaborating with other stakeholders. Some of the villagers' comments on the workshops were: "Learnt that river and places around the river has needs" (Blinkwater participant, 2000); "Workshop was concerning our real needs" (Blinkwater participant, 2000); "Workshop reminded us of Xhosa ways. In past we respected culture therefore we respected rivers" (Tidbury Toll participant, 2000).

4.4 Step 3 - Stakeholders' maturity

The goal of the evolutionary process is to enable stakeholders to shift to a position of group growth in which their strengthened capacity enables participation at the sub-catchment-scale. The focus here is on implementation and action. This is a mature stage of growth as the stakeholder's participation allows the development of catchment management practices as a collaborative venture where the objectives, roles and responsibilities include the national needs of people, the environment and the catchment. This democratic process focuses on strengthening stakeholders' capacity to invest and participate in social, political and financial matters on a broader scale. Participation in broader based activities depends largely on the full commitment of stakeholders and the perceived appropriateness and coherence of the action. Causes and needs are not limited to those in the secondary catchment area. In this, it is necessary for CF members to recognise the need to invest in the broader context, and not just in their own. At such a point, there may be conflicts of interest and struggles for the control of water resources, but this should be viewed as a natural part of the conflict resolution and negotiation process which can, ultimately, enhance both the credibility and accountability of the various groups.

Therefore, "strengthening people's capacity to determine their own values and priorities, and to organise themselves to act on these, is the basis of development" (Eade & Williams, 1995, p. 9). During the evolution, it is the facilitator's responsibility to provide an encouraging environment for capacity building which leads to effective participation. It is crucial that CF members flourish and own the catchment management process, and therefore, it is equally important that the facilitator avoids the temptation to occupy 'centre stage' and divert the process.

A final, and critical, point in capacity building is that the facilitator must ensure there are links to action, that development does not stop at Step 2 of the evolution process. If the process has been stunted in this way, it can lead to the local stakeholders feeling despondent, angry and frustrated. There must be action and that action must involve all stakeholders including, if necessary, other government departments such as Land Affairs and Environmental Affairs.

Pretty & Frank (2000) note the following characteristics at this stage of the group's evolution:

- participants develop a new world view and ways of thinking
- participants feel able to shape their own realities by looking forward
- participants are capable of seeking change, are dynamic and productive
- participants value the group
- participants are capable of critical awareness and reflectivity
- participants are able to promote the spread of new technologies and methods to other groups, thus initiating the development of new groups
- participants are able to resist external powers and threats
- participants are able to develop links with other organisations, NGOs or governmental department to achieve goals
- participants are able to seek ecological principles
- the participants' burgeoning capacity leads to substantial increases in performance or outputs

It is at this stage that participants are able to make sustainable water resource management a reality. This is due to the process of capacity building which has engendered the ability to invest human, social, financial and natural capital (Pretty & Frank, 2000). The above parallels Karar's (2001) Functional Phase.

Example:

A previously disadvantaged local farmer came to a KRVP Stakeholders' Meeting with a collection of unpaid water bills dating back many years. He came to the meeting with the intention of paying his bills, a step which attested to his new belief that water is a precious resource, and one worth paying for.

5. DEALING WITH CONFLICT

5.1 Conflict is inevitable

The goal of sustainable integrated water resource management requires that there must be change. This, in turn, necessarily means reduced benefits or increased costs for various stakeholders. Thus conflict is inevitable.

Within the broader South African context, characterised as it is by tribalism, racism, sexism, ageism and numerous community and business conflicts, catchment management seeks to integrate stakeholders in the management of their natural resources. Differences in social and economic status, cultural backgrounds, race, gender and divergent expectations are commonly cited as the reasons for raising 'walls' between people, which create and exacerbate conflict. It is crucial that catchment management encourages these 'walls' to be broken down, and allows stakeholders to use their differences for mutual growth. Ultimately, stakeholders can then deal with their differences as partners in the search for better catchment management.

It is a sad fact that most people fear conflict and perceive it to be a negative experience. Often, this is expressed in an unwillingness to even admit that there *is* a conflict, as this 'admission' is seen as an indictment on the status of the shared relationship: that it is either doomed or defective. An ability to actively engage and deal with conflict is also diminished by the fear that any attempt to do so, is merely an exercise in futility. However, the process of predicting, acknowledging and engaging with conflict offers important benefits, one of the most important of which is that it stands as a catalyst for negotiation. Conflict can serve as an opportunity for mutual growth and can, in itself, actualise alternative ways to employ catchment management.

Example:

When the issue of voting allocations in the WUA was being decided, all parties came to the table with fears that the process would not serve their needs. Despite the tension engendered by these fears, the process of capacity building enabled all participants to negotiate with the welfare of the whole Kat River Valley in mind. In this way, a hugely positive outcome was achieved from a situation was potentially very difficult.

Therefore, learning how to deal effectively with conflict resolution is an essential skill for facilitators. Resolving deep-seated human conflict is probably the most challenging and complex task faced in catchment management. The kind of conflict that catchment management is primarily concerned with is entrenched and occurs at all social levels - in familial relationships, in the workplace, and in the community. The effects of poverty and the implications of a multicultural society are important influences. There is no doubt though, that most of these problems are grounded in frustration, and a historical lack of participation and identity. Their expression is found in feelings of alienation, disinterest in long-term environmental care, and in the eruption of emotions which affect the sustainability of catchment management.

It is clear from the nature of the conflict situations that catchment management commonly deals with, that the facilitator entering into catchment issues is intervening in social relationships. With this in mind, the facilitator needs to observe ethical considerations and, equally, needs appropriate training and experience to ensure that no harm comes to the stakeholders or the relationships between the parties in dispute. Given the above, it is obviously important to predict and recognise the conflict, as well as its underpinning causes. Here the facilitator is required to make a concerted effort to understand the core of the conflict, as opposed to merely its expression in the present circumstance. This necessitates a profound and empathetic appreciation of the historical context in which the conflict is embedded.

It is also crucial that the facilitator assesses his/her own strengths and weaknesses in terms of knowledge, experience, capabilities, interpersonal and negotiation skills. This includes ensuring that there is enough information and analysing what the likely group dynamics may be. It is also important that facilitators acknowledge that there are situations in which an outside facilitator can achieve productive results. For example, there are times when even after recognising and acknowledging the need to negotiate, stakeholders are inherently uncomfortable with the idea and prefer to resort to ineffective techniques such as coercion, capitulation, recriminations, fighting or simply referring the matter on. Such obstacles to progress can be overcome by providing the stakeholders with information and the opportunity to work with an outside, neutral, well-prepared facilitator.

6. MANAGING CONFLICT

6.1 Building capacity to manage and deal with conflict

"Negotiation is a process of interaction between parties directed at reaching some form of agreement that will hold and which is based upon common interest, with the purpose of resolving conflict, despite widely dividing differences. This is achieved through the establishment of common ground and the creation of alternatives" (Spoelstra & Pienaar, 1996, p. 2).

In this, negotiation has the following characteristics:

- it is a process and not an event;
- it is not a quick fix;
- it requires creating alternatives by being creative, adaptive and flexible;
- it is an inclusive, democratic process;
- it is concerned with the stakeholders' problems, not the facilitator's perception of those problems;
- facilitators and stakeholders must allow all participants to articulate their concerns and take care to listen closely;
- and it needs to take into consideration the social, historical and cultural contexts in which it is embedded.

In a multi-cultural setting, tensions can be exacerbated by misunderstanding and unfamiliarity. It is therefore vital to have the services of a fluent and sensitive translator (who often acts as a third party), capable of moving between various languages and culture groups with ease. The facilitator should be aware of the possibility that if the interpreter shares a cultural background with a particular group of stakeholders, then the interpreter may feel pressure from the stakeholders to favour their issues over the other group's. Equally, the interpreter has to be careful not to intrude his/her views into the debate.

Example:

An example which demonstrates how sensitive the interpreter's role is, is an incident from the KRVP Planning Workshop. In this particular case, the KRVP made use of volunteer post-graduate students who acted as translators for small groups of stakeholders. In discussion with one of the groups, a

commercial farmer's plans to build a large weir were casually communicated to the villagers. The villagers' response was one of mistrust and fear, and the situation escalated until a village spokesperson raised the matter publicly and demanded clarification. This led to the commercial farmer feeling that his comments had been misinterpreted or misheard or distorted, and he therefore felt it necessary to restate his position and point out that, in any case, building a weir would not be possible without consent from the Department of Water Affairs & Forestry (DWAF) and other stakeholders.

Interpreters play a highly relevant and valuable part in mediating negotiations. Because interpreters fill a role as a third party, marginalised stakeholders feel empowered to ask them questions during the sessions and in the breaks. Interpreters need to be highly professional and appreciate the costs of misinterpreting. Finally, interpreters need to be skilled in pitching their translations appropriately, i.e., not under-interpreting, which could hinder stakeholders or over-interpreting which patronises them.

Moving towards agreement often requires negotiating impasses. Such deadlocks are common when stakeholders have divergent objectives, or when the relationships have traditionally been embedded in misunderstanding. In the case of an impasse, a facilitator can actively encourage the stakeholders to reconsider their positions by offering a platform upon which the issues can aired. It is not wise to stop a negotiation in the instance of an impasse. It is far preferable to rather return to the information stage, to create time to reflect on the problem, to actively investigate what the barriers are to the negotiation, to be clear about the consequences of failure in reaching a negotiated solution, and/or to bring in a third party to act as a mediator.

Example:

In the KRVP, stakeholders did not initially consider negotiation as either a useful or constructive tool. Their resistance to the process of negotiation as a method of problem-solving led to situations where issues were not handled effectively. In fact, even after recognising and acknowledging the need to negotiate, many of the stakeholders were clearly inherently uncomfortable with the idea and preferred to resort to ineffective techniques such as coercion, capitulation, recriminations, fighting or simply referring the matter on. An example of such an instance is the fact that two groups of stakeholders, neither of whom had water-secured allocations, dealt with the process of negotiation

in completely different ways: the commercial farmers, fearing conflict, became reticent and preferred to refer matters on, while the rural communities embraced the need for change and were more motivated to be a 'hands-on' part of the process.

Despite a disparity in vested interests and the conflict that may arise from this, stakeholders can find a common ground in overlapping needs. Such needs should be the focus of all conflict resolution, and losing sight of this can lead to misguided efforts which are doomed before they begin. Essentially, unless facilitators and stakeholders hold the end goal of overlapping needs constantly in mind there is little chance of ever resolving the conflict. In such situations, conflict becomes habitual.

In summary, the role of the facilitator is to provide a platform on which stakeholders are able to focus on, and work from, their needs. There is no doubt that CF (particularly in their formative, changing phases) are subject to many forms of conflict. And there is equally no doubt, that resolving conflict requires hard work and perseverance. Fortunately, the reward for doing so is the creation of new opportunities. Consequently, negotiation should be effected consciously and responsibly, with a receptive, questioning and open mind, in order to reach resolution.

7. BUILDING CAPACITY

7.1 The building structures and concepts embedded in capacity building

In recent years, the concept of participation has received increasing attention, to the extent that it has now the foundation for policies and guidelines in water resource management. The results of participation are specific and pivotal: co-ownership, co-management, shared responsibility and analysis, and the development of partnerships. Capacity building is the cornerstone upon which participation rests: in the case of the poor and the disadvantaged, who may be vulnerable and disheartened, participation does not take place automatically (Jing, 2000). Capacity building is essential in order to empower stakeholders to engage usefully and constructively in the participatory process. It is capacity building, particularly of marginalised and formerly disadvantaged communities, that enables the development of CF.

Marginalised groups have a history of being crushed and may come to the capacity building process with no voice, little formal knowledge and very low self-esteem. Added to this, is that some of the necessary processes of capacity building - public meetings with all races, for example - can be alien and intimidating for the marginalised groups. There is a pressing need to explore ways in which disabling environments affect the stakeholders' ability to participate and form catchment management structures, as well as seek solutions which may well help to overcome these obstacles. Possible ways forward in this context include providing a space in which capacity building can take place through a process of awareness building, the creation of institutional structures and the implementation of actions.

"If the stakeholders who comprise the community are to derive the maximum benefit from the project they must feel that it is theirs, that they have played a role in bringing it about; that they own it" (Colin & Mog Ball, 1991, p. 9). The list below details the building structures required for involving participants as committed stakeholders in catchment management:

- **"Participation** which opens access to development decision-making and policy for groups not previously included" (Ford, 1996, p. 2). It is important to recognise that in the local context it is also vital to support those groups that were previously included - i.e. the dominant group - particularly so, in times of transition.

- **"Accountability** which increases use of transparent and public methods for data analysis decision making, and monitoring;
- **Partnerships** which stimulate dialogue and agreements between and among previously distant or isolated development units (e.g. government planners and community group leaders); and
- **Ownership** of local information, project activity, and productive resources which promotes higher levels of responsibility among local resource users and managers" (Ford, 1996, p. 2).
- **Participatory monitoring** refers to the "systematic and continuous process of assessing the progress and changes caused by the implementation of an activity over a certain period of time, usually using pre-determined indicators or recurrent questions" (Guijt, 1998, p. 14).

Clearly, these building principles need to be integrated into the philosophy and processes which guide stakeholder involvement in CF matters.

8. APPROACHES TO BUILDING STAKEHOLDERS' CAPACITY

8.1 Introduction

Stakeholder participation in catchment management "does not happen on its own. It has to be made to happen" (Mascarenhas, 1998, p. 69). The points below give an indication of the complexity of an intervention of this nature in a country divided and fragmented in terms of stakeholders' level of education, age, race, culture and gender. All these factors impact heavily on the approaches taken to involve stakeholders in CF. Thus, the approaches aimed at establishing CF need to be emphasized and recognised.

8.2 Understanding the depth of capacity building that is needed

Fowler (1997), in writing on organisational development, offers key lessons for stakeholder and facilitator development in CF. His diagram below demonstrates that growth over time is accompanied by an increasing depth and breadth of change. The diagram clearly depicts some of the components involved in capacity building but also goes a step further by indicating the depth of investment required in strengthening these aspects. Such aspects include knowledge, skills, attitudes, individual behaviour and organisation behaviour. These insights have three lessons to offer CF. First, that there is a need to understand how far reaching the process needs to be in order to achieve effective participation, second, that it is necessary to identify the elements that build capacity and thirdly, that the level of depth and length of time required are necessarily complex and time-consuming factors. Thus, in order to ensure the sustainability of CF, the necessary components should be understood before initiating a capacity building project.

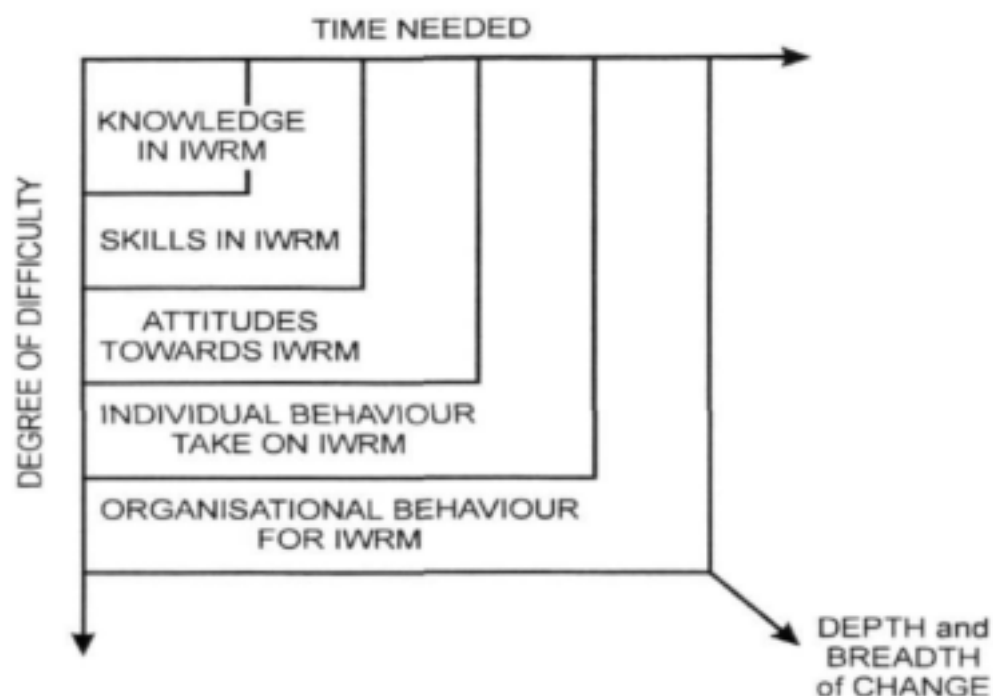


Figure 4: Depth of CF change (modified from Fowler, 1997, p. 193).

Example:

A large-scale commercial farmer in the Kat River Valley demonstrated the process of change outlined in the above diagram. At the outset, the farmer knew that there was a need for environmental sensitivity within his commercial enterprise. Therefore, he brought in skills from the outside, e.g. advisors, consultants and technical information. All the new knowledge required an attitude change. This then resulted in a lifestyle change, i.e., a change in individual behaviour, which was then implemented in organisational behaviour - ensuring that his enterprise achieved ISO 14000 accreditation.

8.3 The essential diversity of stakeholders

Stakeholders have different levels of literacy, language proficiency and knowledge, and are of different ages with different lifestyles and different cultures. Such diversity is indeed complex, but should not be homogenised. In this, Highwater (1981) offers the insight that differences between

cultures are deep and that these are not merely questions of language, but of other world views, knowledge, interpretations, pictures and attitudes to life. In the face of such difference, political correctness often argues that "all people are fundamentally the same" (Highwater, 1981, p. 209). This is a profoundly limiting view, simply because such a belief denies that cultures have different needs, which leads to such needs being marginalised or ignored, or in a worse case scenario, assimilated and homogenized into a 'melting pot'. Paradoxically, there may even be gestures towards the issue of culture - 'as icing on the cake' - while still holding fast to the idea that 'we are all the same'. Thus culture is either marginalised or viewed as a confounding variable. "What they fail to take into account is the great variety of ways in which the members of a single culture respond to the same things, let alone the vaster differences that exist between cultures" (Highwater, 1981, p. 209).

It is ironic that a well-intentioned democratic process can attempt to crush differences, in order to make things look similar, safe and representative. This, of course, also crushes the power, the knowledge and the capacity of those different cultures. Writers such as Leach, Mearns & Scoones (1997) point out that communities are not "bounded, homogeneous entities, but socially differentiated and diverse"(p. 5). Heterogeneity is not limited to surface elements such as gender, age and culture, and if it is persistently glossed over, it is nothing less than a continuation of ethnic suicide. For example, a call for 'one' culture is, in actuality, a demand for the less dominant culture to embrace two worlds and become the "noble savage" (Highwater, 1981, p. 212) who learns the tricks and games of the dominant group in order to be represented and be heard.

In South Africa particularly, due to a multi-cultural background and stark differences in education, beliefs, expectations and so on, it is important that the process of capacity building is not aimed at making stakeholders become the same. Stakeholders have different life stories, events, issues, concerns, ambitions and needs, with some overlap. Also, stakeholders who come from a local, beneficiary or government context have different starting points, which also affects their needs.

Thus, development of capacity for CF is not concerned with homogenising stakeholders, but with enabling them to appreciate other standpoints and not to conceive of a view, a perspective or an action of another gender, caste, socio-economic group, age, or culture as lesser than their own. An acknowledgement of difference is not discriminatory, but the viewing of group as superior to another is so. Capacity building lies in strengthening each person's, representative's and groups' confidence, ability to speak and ability to be responsible and accountable. Thus a sustainable structure can only

be built on the foundation of who people really are - 'build within and from within' - which allows each stakeholder or stakeholder group equal and fair opportunity to participate. Thus, the facilitator is an agent of change, and a temporary one at that. The structure thus must not be built on the facilitator, but on the stakeholders' strengths, abilities and needs.

To have capacity in CF relies on the diversity of stakeholders who have embraced who they are. Denying this can result in entrapping stakeholders in a process of assimilation in which they 'take on' perceptions, ways of thinking and action, as opposed to bringing their own perceptions, ways of thinking and action and integrating these with those from other stakeholders. A process of assimilation perpetuates the already inherited Apartheid structure which neglects or disregards other groups or peoples' differences, and thus, the potential of their grounds for commonality.

Not recognising differences can lead to stresses and strains in CF as peoples' capacities are hidden and not acknowledged. Assimilation, as opposed to integration, frustrates the process of adaption to better water resource management. What is required is integrative structures with a high level of versatility and flexibility that can acknowledge both differences and similarities. Just as the environment needs diversity for sustainability, so too does the sustainability of CF depend on social diversity. Thus, diversity needs to be encouraged to permit capacity development, and not quashed or condemned.

Example:

A Xhosa-speaking KRVP grassroots worker had this to say about his cultural experience of presenting work, and of the need to accept cultural diversity: "It was a challenging and new experience for us to do a presentation that was so much superior (i.e., equipment, like slide overhead). In my culture, I usually present without these kind of fancy equipment. It was necessary for us to make our presentation a success and be convincing so to bridge the communication gap and allow our story to be heard to the funders. This kind of presentation which mixed two different cultural background become a good example of a 'rainbow nation' working toward their future, a new dispensation. Cultural interaction is only solution into some problems in South Africa. I also acknowledge that there are cultural differences in this country which needs to be incorporated and understood in catchment work (pers. comm., Matthews Nontyi , 2000).

Capacity building for the development and sustainability of CF must be inclusive of both the formerly dominant and the disadvantaged groups. This is necessary because apartheid policy displaced the skills

and abilities necessary for coordinating and developing CF, both within groups and between groups. Elements such as distrust, distance, discomfort and misunderstanding characterise relationships both between white, coloured and black groups and within them. Thus all parties shy away from open, interactive communication and tend to feel inhibited in expressing their views openly. For this reason, capacity building should not focus only on the formerly marginalised, but must be an inclusive process.

8.4 Trust and respect

Effective relationships are built on mutual trust and respect. Trust between the facilitator and the stakeholders is built by respecting confidential information, keeping negotiated agreements, providing a solid platform for negotiation, demonstrating a belief that goals will be achieved and so on. The more stakeholders and the facilitator trust and respect one another, the more participants will seek to change and work together. This is neither a quick nor an easy process. It is one that takes time, patience and continuous effort, and is a foundation of CF.

It is important to acknowledge that in the Apartheid system, decisions were made for marginalised people and they were consequently programmed into trusting. In the current context, marginalised communities still find it easier to adopt a trusting role which accepts others' conclusions and decisions, rather than engaging fully with the issues. Thus, capacity building is vital to raising stakeholders' confidence and encouraging them not to relinquish their power to make decisions, question and negotiate. This requires that previously marginalised groups develop their expertise - skills, knowledge and judgement - which allows them credibility and the ability to express their views. Likewise, those groups that were previously in control of decisions now need to have the capacity to listen, to see reason and to acknowledge the need to enter into dialogue with previously marginalised communities.

8.5 Getting to the root of the problem

CF is a broad enterprise: it involves people, land and water as well as social, intellectual, financial and business resources. Enabling stakeholders to actively engage in CF requires an internal and an external transformation.

Internal transformation is the raising of self-esteem and self-confidence which allows participants to understand their position and to have a voice. It also enables participants to heal, to feel accepted and 'normal', which is particularly crucial for those who were previously discriminated against, as well as for those who were taught that they were superior to others. Such a platform allows all stakeholders to participate in an active exploration of obstacles to communication. Thus, it is necessary to seek an internal transformation before an external transformation can occur.

Example:

For instance, environmental care and responsibility does not begin with picking up litter. It is rather about providing a space in which stakeholders can understand and explore why there is a litter problem, how they use litter to express themselves and their needs, what the litter problem is 'saying'. This therapeutic approach can reveal that perceived environmental neglect does not always represent a problem, but rather an opportunity on the part of the community - an attempt to communicate to others that there is a need. In this, a litter problem is a sign of something deeper; it can even be understood as a cry for help. Addressing this cry or sign does not always require the superficial solution of the outsider: i.e. 'pick up the litter' (an external campaign), but rather an exploration of and outlet for the expression (i.e. what is the litter representing).

The inner transformation may work with issues that are thought to be unrelated to environmental concerns. This is a superficial understanding of the problem, because environmental concerns are part of life and personal and collective identity. Thus in CF capacity building, it can never be said that our focus is only on water resources. It begins with feelings that range from apathy, rebellion, hate, anger, threats, confidence, failure, superiority to assumed roles. Picking up litter is an outcome of internal healing. It is a choice that the group or individuals make - it is their choice, not ours. Capacity building is not a once-off exercise that allows people to have the capacity to pick up rubbish; it is a continuous exploration that unfolds until the participants feel strongly about the issue at hand, and own the transformation or change. Working with root problems has the outcome that people find their own way to internalise and hold their learning, and discover personal methods of expression and action.

Also, before working at the external level, the facilitator needs to work with past consequences which affect future behaviour. Individuals and groups need to work through what has happened as well as what is expected to happen. This brings us to a critique of the evaluation approach that seeks to measure only tangible outcomes and outputs. Such a measurement neglects the internal

transformation, and it is the internal transformation that brings change. The 'doing' (picking up the litter) can be just a short-term show to obtain funding by looking good, but which falls away over the long-term.

8.6 The capacity for external transformation

Capacity enables confidence to carry out an action, whether it be taking a decision which affects CF functions or taking part in informal discussions. The level of inner capacity of stakeholders also determines the effectiveness of various kinds of negotiation and planning. It is vital that all stakeholders are committed to the programme. The greater the discrepancy between knowledge and capacity, the greater the likelihood that stakeholders will become bored or frustrated and leave the CF. Ultimately, this may result in a CF with window dressing, i.e., the more privileged groups meeting and making decisions, sidelining the previously marginalised.

The facilitator needs to think the process carefully through and give the necessary support that will lead to sustainability. It is also important to acknowledge that the level of capacity building determines the effectiveness of the forum. Thus it necessary to ensure that all participants have the same knowledge and understanding of concepts and law, so that they are capable of entering into forum situations. Those for whom it is a new experience need support, and it is often through internal capacity building that they come to recognise how to approach unfamiliar and intimidating situations. For example, they may decide to go to meetings in groups of 2 or 3 for support, learn to ask questions and learn to trust their knowledge and understanding of the issues.

Example:

Prior to the KRVP Action Planning Workshop which required the use of GIS maps, all stakeholders were trained to understand and work with these tools. This necessitated a full day's workshop with the assistance of a GIS specialist. The maps were carefully used to enlighten the stakeholders' understanding of their local contexts, ensuring that their knowledge was elicited in the process. Rather than imposing a top-down approach, the workshop sought to make the GIS maps relevant to the stakeholders' lives. The success of this approach was realised in the stakeholders' full engagement with the issues presented at the Action Planning Workshop.

Once an external platform is achieved - having a first meeting with a stakeholder of a different group, for example - actioning the task may require that previously marginalised individuals or communities undergo another internal process, such as understanding the importance of dialogue. Thus moving forward on external tasks rests on support and capacity building that focuses on the root issues. For example, setting up the objectives for a CF requires the stakeholders to acknowledge their needs and those of others and then to articulate them. Such recognition and expression is grounded in internal capacity, and thus the individual or community needs to absorb external information and then transform both the information and him/herself in such a way as to promote change that is based on internal confidence. Internal traits such as low self-esteem heighten stakeholders' susceptibility to persuasion: people are more easily influenced when they do not trust their own ability.

Thus, capacity building is centred on the challenge of working with root issues and allowing participants to find their ways of coping, seeking options, solutions and a way forward. In a word, capacity building enables participants to attain autonomy, and it is this internalisation that allows an engagement with CF issues.

8.7 Responsibility

Capacity building encourages participants to take responsibility. It is rooted within a process of decentralisation, democratisation, devolution and society building. It provides stimulus for the stakeholders to acknowledge the need to redefine how they see themselves and their roles. Accountability "evokes a sense of taking responsibility, but it also the meaning of being held responsible by others; being 'held to account' (Cornwall, et al., 2000, p. 3). The concept of catchment stakeholders as a partner requires there to be "clear definition of roles and responsibilities [this] is important if a successful partnership is to be achieved" (Gibbon, 2000, p. 60).

Allowing stakeholders to take responsibility occurs throughout the process, in the planning, learning and implementation stages. Stakeholders who are allowed to take responsibility feel less confused, ashamed and discouraged as they own the process, actions and decisions through their participation. As soon as stakeholders become responsible, more often than not, they want to learn, have a say, understand the process, become more accountable and become partners. Thus by taking responsibility step-by-step they enter into a situation of exploring options, seeking alternatives, being able to express their needs and being aware of their right to quality services. In taking responsibility, stakeholders

begin to rely on their own skills to mobilise resources such as transport, knowledge, communication skills etc. They can seek to address problems and find alternatives. They come to have an increased say in how resources should be contributed and used. In this way, building the stakeholders' sense of responsibility improves catchment management, because it bolsters the stakeholders' sense of contributing to the CF. It is important that the stakeholders feel that they 'did it', 'said it' and 'shaped it'. An internalised sense of achievement or failure is more likely to promote an attitude of ownership and responsibility. Thus the CF structure will be more aligned to stakeholder needs and less dictated by an outsider's perception of what is right or wrong.

All stakeholders impact on catchment management and thus need to be responsible in different or overlapping areas, whether they are children, youth, adults or elders making decisions about keeping livestock near the river and or debating issues at the CF. Since, in this way, catchment management is about everyone taking responsibility, capacity building needs to be extended to all participants. The facilitator must not hold onto the power, resources and knowledge, but must hand the stick of responsibility over to the stakeholders.

Example:

In the KRVP, responsibility was shared between the practitioner, staff and stakeholders. For example, each of the 20 Environmental Workshops run in the valley was separately negotiated with each community. Responsibilities were discussed and roles assigned, so that, for example, the practitioner might agree to provide human resources, refreshments, transport and stationery. The community, in turn, would provide caterers and a venue and be responsible for representivity in the workshop.

8.8 Capacity building for implementation

In the National Water Act, sustainability of water resource management is closely tied to DWAF and the CMA. Currently, DWAF sees CF as structures which enable communication with stakeholders, and as invaluable tools for facilitating the consultation process. However, there is a very real risk that CF will not be used to their full potential. It is crucial that CF are not seen as token bodies by DWAF or the CMA. All stakeholders, including DWAF and the CMA, need to listen to, and take cognisance of, the viewpoints of all interested parties.

CF have the potential to be fora for decision-making and action at a local level - thus complementing CMAs and DWAF. Experience in Australia has shown that local groups are more effective than governmental agencies at planning and implementing small actions within their own contexts. These actions should be prepared within a framework defined by the strategic catchment plan prepared by the CMA and endorsed by DWAF. This empowers local communities and drives their responsibility for sustainable integrated water resource management (Fargher, pers. comm., 2000).

This understanding of the role of a CF also provides an opportunity for bilateral development assistance and NGO support to complement the investments of DWAF and the CMA. In this way, water fees and state investment resources can be leveraged. It is crucial to appreciate that sustainable water resource management will not be realized if CF are merely consultative bodies. It is vital that CF have functions and actions, and can effect change. In this, they need support and to be heard by DWAF and CMA. Thus, it is necessary that all institutional arrangements are rooted in roles and responsibilities, rather than power relationships which serve to promote CF as a useful instrument to disseminate DWAF's views and support DWAF's needs.

Example:

The Fairbairn community in the Kat River Valley identified that high river flows over a low causeway constituted a pressing problem. In this, the community formed an action group which addressed a letter to the relevant government departments, accompanied by a scientific report carried out by Rhodes University students. This collaborative effort resulted in funds for the construction of new bridge being provided by the Public Works Department. The community has retained their control over the process by negotiating how the bridge will be built, by whom and where.

8.9 Celebrating and reflecting on the stakeholders' journey

The facilitator should provide a platform upon which stakeholders can acknowledge their learning and share how far they have come. Often, the facilitator will need to initiate this as stakeholders may not be familiar with such a concept. Once the facilitator has introduced it however, stakeholders need to find their own way of continuously celebrating their capacity and their journey.

This celebration and reflection is a fundamental aspect of ensuring a sustainable CF. Thus, stakeholders need to be guided and encouraged to take note of their contributions and incorporate them

into their lives and the workings of the CF. It is also important because marginalised people need to be acknowledged and come to understand, recognise and depend on their skills, knowledge and expertise. In this, reflection provides an excellent way to learn about their performance. Reflection is also necessary because it is hard for anyone to learn and gain confidence if they are participating in a vacuum.

Success stories give people courage and confidence, because their efforts in bringing about change have been recognised. Reflection is a method by which to gauge whether the work is on the right path by investigating whether the stakeholders are achieving what they think they are and whether they are fulfilling the negotiated needs. In this way, sharing with others can confirm their actions, add to the work and guide it forward.

Equally, catchments are large, and therefore, each group in the catchment needs to hear what others have done so that there is no duplication. Sharing information and achievement also provides a platform upon which to identify opportunities in which resources can be shared (human, social, financial, capital, cultural). In this way, cost-sharing relationships can be stimulated, in which groups recognise that they each have different resources and that it is through sharing their resources that they can bring about a better catchment. Enabling stakeholders to share each area's actions collectively at a catchment scale, allows stakeholders to feel part of something bigger, united with the same vision. Feedback of work also inculcates the necessity of CF groups being accountable to each other and encourages accountable relationships between the groups.

The structure of recognising growth or capacity building includes methods such as dialogue, focus groups reporting on aspects of their work to other stakeholder groups, questionnaire sheets, surveys, performing dramas and producing booklets and newsletters. Catchment management requires understanding the catchment or sub-catchment as point of development, rather than a single village or farm.

Recognising capacity or growth can be conscious, as in a discussion or debate about a specific topic, or sub-conscious as in when reading a newsletter which celebrates the work of all the stakeholders and in the process, gaining an understanding of the broader catchment picture. (The latter realisation might not be even articulated, but exists.) In this, it is important to shift understanding from the sub-conscious to the conscious, a process which takes time.

The act of reflection and celebration is an integral part of the process of capacity building and should be included in ongoing activities. It is also important to appreciate that capacity building is concerned with creating confidence, enabling stakeholders to know that they can do it. This goal is realised by affirmation and an openness to doing things differently, but it is not well served by 'blind building'. Thus it is vital that reflection is critical reflection, not merely a revisiting of past events.

Example:

The KRVP's Green Trust National Finalist Award was celebrated by Kat River Valley stakeholders and facilitators with the planting of indigenous trees in 15 villages and on 2 commercial farms. All the participants in the tree-planting celebrations had contributed to the Green Trust Award Entry or had expressed a need for catchment management. The trees were donated by a local Clinical Psychologist and by the Grahamstown Working for Water Rehabilitation Unit.

8.10 Integrating local stakeholders

Integration of local stakeholders is key to CF. This requires breaking down divisions of tribalism, racism, sexism, ageism, as well as the focus on individual villages, farms and urban settlements. This is vital as catchment management relies on the development of a partnership between all the local stakeholders. It is in this context that capacity building seeks to foster the notion of partnership. Fowler (1997) describes authentic partnerships as "mutually enabling, interdependent interaction with shared intentions" (1997, p. 117). Building capacity for authentic partnerships is a complex undertaking and must, therefore, be integrated into the capacity building process from the very beginning.

Groundwork for integration must be comprehensive and inclusive. Different programmes focussing on different ages, genders and races - e.g. one programme aimed at children and another at adults - can be set in motion, but these programmes must be integrated together and linked throughout the catchment. The integrative process is about building community ownerships, creating in stakeholders a feeling of being a stakeholder and of allowing each stakeholders to discover a place of interest with a sense of accountability.

It is important to integrate and mix different groups, as it enables the various groups to appreciate different and common needs. Integration and mixing can be achieved by changing meeting venues, so that people drive or walk to places that don't usually go to and visit different contexts. Such meetings can include a transect walk in which the dwellers show the other stakeholders around, and investigate up-stream and down-stream effects which encourages stakeholders to examine their relationships with each other.

Integration takes place at the catchment-scale, between different groups, as well at the village level. It includes all ages, races, cultures and both genders. It is not a once-off occurrence, it must be built into the CMP, especially because relationships based on trust and communication take time to develop. Also, until stakeholders are in a position to work as collective members of a CF, facilitators must seek to identify opportunities for integration.

Example:

An example of integration of different groups in the KRVP was the inclusion of community children in a litter programme conceptualised and organised by a commercial farmer in the Kat River Valley, in conjunction with the local Tourism Board. The farmer requested that the local children assist him in a publicising a Pollution Awareness Day. This was achieved by holding a 'Paint the Dustbin' competition, using bins which were recycled from the farmer's packing sheds. The farmer's assistants - the children! - enacted their environmental dramas on the day, providing a drawcard which attracted crowds to take part in the competition. This ensured the success of the farmer's and the children's efforts and therefore their overlapping needs were met. (See Figure 2.)

8.11 An inclusive process

As an inclusive process, capacity building also needs to acknowledge that the formerly dominant and marginalised groups may have differing aspects to grasp, learn and understand. In this, no group should be prioritised - capacity building for all groups should take place together. The facilitator and the stakeholders need to be sensitive to different needs and refrain from making concretized judgements about groups, as within each issue and task, groups and individuals will require varying support.

The concept of stakeholders begins with grassroots individuals, rather than leaders. CF work should not sideline Community Based Organisations (CBOs), and leaders and local government should actively seek to engage the members of the communities. Catchment management relationships need to be broad and inclusive of people as they seek to rehabilitate and support capacity building in order to promote ownership, create partners and encourage accountability and sustainability. It is crucial to begin building 'on the ground', in order to provide a solid foundation upon which to build open, transparent communication links at catchment level. In this scenario decisions are based upon both community needs and collective catchment needs, and agreements are finalised once communities have been notified and offer their support for the decision. Thus CF decisions require a framework that allows stakeholders to discuss issues with their communities and report back. Such a process is necessarily a fairly extended one and may take place over a few meetings.

Most literature points to CF being dependent on involvement with formal and informal leaders, suggesting that leaders know their people and that the reverse is also true. It is also the case that leaders are usually able to articulate confidently and are therefore regarded as an effective communication link between the community and the forum. However, sometimes leaders do not represent the needs of their community, nor do they necessarily understand them. Equally, community people may feel that they do not 'belong to' or identify with their leader. This is because leaders often represent the elite and the rich of the community, and are often shaped by a mind set which is concerned with the liberation struggle, rather than development. Thus, in some instances work is frustrated by *having* a leader and in others it is frustrated by *not* having a leader. It is for this reason that a leader's input and role should be critically established in every situation.

Examples:

The following are comments from a KRVP grassroots worker, Matthews Nontyi, regarding the complexities and sensitivities inherent in trying to ensure an inclusive process with particular reference to community leaders: "Community leaders are sometime act strangely you talk to them and they pass the message incorrectly. I remember the incident in Seymour the community were mislead that our project is coming with jobs and the other meeting they told people that our project is politically oriented. Some time community leaders don't work properly with their communities. I would say to the people who wish to work in the villages, it is better working with a group of community people, forums and the entire community" (pers. comm. Matthews Nontyi, 2000).

"I never think that there are still dictatorships in South Africa till I went to organise a workshop in KRVP where I visited Gonzana, the village that is where one chief stays and own a land. We thought it is better to go via the chief. Our instinct did not meet our vision because the community and chief are not working together. Therefore, it is vital not to take anybody's side but work on every body's interest that includes chiefs, farmers and community people, young and old, women and men" (pers. comm., Matthews Nontyi, 2000).

8.12 Catchment management is not exclusively about water resources

It is equally crucial that CF actually function, that they act and bring about change. If this does not happen, the stakeholders may be further marginalised, become despondent and in fact, be worse off after they have invested their time and commitment to the process of empowerment and the creation of awareness. Some actions identified by CF may not, at first glance, be seen to supporting catchment management. However, they may ultimately improve aspects of catchment management.

Example:

In the KRVP, I needed the school children to gain confidence and the ability to speak out, plan and take action. The children had articulated an interest in focussing on AIDS, and it was during and after the programme that focussed on this, that they grew in their ability to participate in catchment management functions. In this way, I gained a motivated, active and enthusiastic group which could channel the capacity created by the AIDS programme into catchment management functions. Thus, even if the theme is different, participants are still engaging in the objectives required by capacity building for catchment management.

On this, Pegram (2001) sounds a pertinent note of caution. He observes that CF should take care "to avoid the diversion of the forum interests to [sic] far from WRM issue [sic], although in some cases it is necessary to address non-water sector issues on behalf of the stakeholders. The challenge is to keep the balance and focus of the catchment forum" (p. 10).

Capacity building for catchment management is not only about the health of the river, but about the collective and individual health of the communities - physically, mentally, their confidence levels and level of self-esteem, past experiences, fears, strengths and opportunities. This is so with all stakeholders, and in particular, with those who were previously marginalised. Races, genders, ages

and cultures have been driven apart and face stark inequalities, power imbalances and misunderstandings. Because CF seeks to bridge these gaps, strong interpersonal skills are a necessity. In this, capacity building in CF does not begin with teaching people about catchment management concepts or by providing once-off training workshops: it is about providing a "therapeutic space" (Boal, 1995, p. 23). This requires working with situations that have blocked catchment relationships, and such situations may be irrational, emotional and sensitive. Thus the work needs to acknowledge unconscious and conscious forces, heal the voices and encourage openness to listen, encourage desire and the hands and minds to act.

The facilitator is not excluded from this therapeutic space, as the facilitator needs always to be open to self-learning and growth. "A process is therapeutic when it allows - and encourages - the patient to choose from several alternatives to the situation in which he finds himself, the situation which causes him unwanted suffering or unhappiness" (Boal, 1995, p. 25). In this, it is important to recognise that "...the patient does the work" (Boal, 1995, p. 27), assisted by fellow stakeholders and the facilitator in order to aid identification, recognition, resonance, alternatives and solutions.

8.13 Capacity building must consider strategies

Catchment management requires stakeholders to come together and make decisions. Thus it is vital that the stakeholders who attend meetings are not merely representatives, but rather *skilled* representatives. This will ensure that the participants are not figureheads, tokens or political opportunists, but rather local people who relevant skills and necessary passion. Due to the change in the Water Act and the previous exclusion of some of the stakeholders in water matters, the process of forming and operating CF is one which emphasises learning and which demands negotiation in decision-making. While this intended to empower previously disadvantaged groups, it also places them under a great deal of pressure to perform, to articulate their concerns, to question and to hold their community issues. It is vital then, that the previously disadvantaged groups are accorded a therapeutic space in which to recognise, and then break with, their 'oppressed mode'. This is achieved by strategies developed as part of the quest to make stakeholders effective, and these strategies must assist the previously disadvantaged in moving from dependency to becoming active in preparing for and undergoing change. Strategies are unearthed as stakeholders are provided with a platform upon which to discover, role-play, reflect and discuss issues. It is through this unfolding process that the stakeholders discover strategies and alternatives for their context.

Example:

In the KRVP, representatives to attend CF meetings were nominated by the community on the basis of their skills. Selection criteria such as leadership abilities, language skills, interest and aptitude were pertinent. The communities often chose to identify more than one representative as a support mechanism so that at meetings, the issues, knowledge and decisions could be discussed in a group.

8.14 Planning, designing & implementing an adaptable programme

The process of forming and implementing CF must recognise the needs of the people and requires their input into the planning, designing and action of the catchment management programme. It is also a process which requires continuous revision, and an acceptance that what is planned today might need to be changed tomorrow, or that elements such as the agenda for meetings cannot be cast in stone. Thus facilitators need to be open and willing to hear, and have the creativity, understanding and commitment to accept change and revise the programme where necessary.

A process orientated project's aims and objectives need to unfold in relation to the stakeholders' needs, thereby encouraging all participants and staff to engage and own the project. The local people become part of the process when they come to own and direct the project's aims and objectives through a process of reflectivity, group negotiation and co-learning.

Changing programmes requires facilitators to be efficient in coping with the work load in order to ensure that the work is inclusive of the catchment. This may necessitate running numerous workshops, bringing together community members such as children and adults, or working in separate communities.

Example:

Within the KRVP, increased stakeholder capacity enabled the local stakeholders to become increasingly enthusiastic and begin to plan for further workshops that would rely on partnerships and create action 'on the ground'. As the work load increased, responsibilities were negotiated and shared. Within this context, the stakeholders came to own the work - they expected continuous updates and accounts of progress. Increased 'buy-in' to catchment management projects multiplies the amount of

work, as was demonstrated in the KRVP between the months of May and July 2000 in which approximately 33 platforms were provided for stakeholders.

8.15 The necessity of stakeholders internalising information

Example:

In the KRVP, all members of the CF were given pens and personalised notebooks with their photograph and name on. At each meeting, these books were used to record what participants said, plans, ideas, perspectives, phone numbers and contact people. These notebooks made the notion of accountability a tangible one, as stakeholders could refer back to what had been decided and what had happened. The notebooks also became a badge of belonging and being a part of the CF. This strengthened the stakeholders' ability to participate as they could recall the process, which has been written in their own words, seen through their own eyes, and interpreted from their perspective.

"Those with less power also tend to have less access to knowledge and information or less power in defining what sorts of knowledge and information are useful in development. Such relative ignorance makes them objects rather than subjects in development" (Leurs, 1998, p.133). Stakeholders need access to relevant information in order to be able to make informed decisions about priorities, to develop appropriate strategies and to be able to monitor their progress toward their objective (Howard-Grabman, 2000).

Information must be relevant and encompass the purpose and objectives of the CF. It should not just be dumped on the stakeholders - part of the capacity building process is to ensure that stakeholders have a good understanding of the information so that informed decisions can be made. Therefore, the facilitator must, in collaboration with stakeholders, plan and set in place the mechanisms which will allow the stakeholders to gain access to information and to understand it. For example, prior to stakeholder meetings, participants need to have correct and appropriate information in order to be able to participate in the meeting, make informed decisions and articulate their concerns. Relevant documents should be posted or made available at central locations such libraries, the TLC or the TRC. An important point to bear in mind is firstly that many of the documents are in English and secondly that there may be a high illiteracy level among local stakeholders. Those who are illiterate and who have been marginalised need to be trained using the active education model within the local context. The active education model consists of the following central issues:

- Education is a process of empowering or enabling learners;
- Education is involved in the process of guiding learners to find their own voice and their own sense of power;
- Education is critical, in that it provides learners with the skills to understand and address their own problems;
- Education should embrace and not ignore the political context;
- Difference should be celebrated and seen as an opportunity for growth;
- Conflict is distinguished from aggression or oppression and is seen as a positive movement towards change;
- Education is about creating an experience or a space with the sole purpose of allowing learners to engage with the process of learning (Burt, 2000).

Concepts, ideas, facts and responsibilities must be understood and internalised to the point that they become common or general knowledge. Conveying information in a manner that enables the stakeholders to apply the knowledge to their individual and group experience ensures that the knowledge becomes part of a lived reality. It is equally important to appreciate that conveying knowledge is not a once-off exercise, but a process that draws on different methods of sharing the information over and over again. This allows the stakeholders to see the information from different angles and makes it more accessible to all ages. For example, once the information has been translated, children can use it to create their own plays which can be presented at meetings, while adults can participate in workshops that dramatise the information and allow for active participation and discussion.

If workshops do not generate motivation for social action, nor build the capacity and the skills to negotiate, stakeholders are very unlikely to be able to participate. This will result in the facilitator remaining responsible for negotiating priorities on behalf of the community, and the stakeholders will merely have 'participated' rather than actively participated. Thus it is vital that the stakeholders are developed so that they become independent of the facilitator. The stakeholders must have the tools to enable them to articulate their issues and needs, rather than relying on the facilitator's interpretation, which may not be accurate or representative.

8.16 Creativity helps build capacity

Creativity is a shift away from formulaic processes and meets the need for the greater flexibility in catchment management. Creativity is central to enabling capacity building that allows stakeholders to understand concepts, rights, roles, responsibilities, needs and direction. It also allows the facilitator to modify the work to suit context and purpose. Creativity also helps participants to relax, so assisting in the process of moving stakeholders from public positions to real needs.

Using methods in a mechanical way and using manuals as templates for practice does not address causes, only symptoms. Often too, there is no analysis and little is learnt from the process. However, it is not enough to simply employ 'creative methods', because if these are not underpinned by relevance, flexibility and dynamism, even 'creative methods' will become formulaic. Commitment to creativity helps to improve participation and provides new ways to undertake the following:

- bringing stakeholders together to view a situation from different angles;
- allowing academic concepts or policy to be understood;
- allowing stakeholders to work through problems to find their solutions;
- allowing stakeholders to focus on their opportunities and strengths and not just problems;
- allowing stakeholders to take ownership of their situation and guide the process;
- dealing with causes, not symptoms.

It is important that the facilitator does not get stuck in a rut and use the same method repetitively. Variety allows concepts to be seen from different angles and caters for different groups who engage in a range of ways. Therefore, creativity and flexibility go hand in hand "as it is through these two features that rapid response to changing situations is possible. In this way strategies for action can be built that adapt to successful tactics and build on successes" (Gibbon, 2000, p. 60). However, using a combined approach of creativity and flexibility requires good facilitation skills and a team with multi-skills.

Example:

An example in the KRVP of a creative method of bringing different stakeholders together was the holding of a drama festival celebrating the tales of the Kat River. Children from different communities

staged their plays for an audience of adults and teachers and in so doing allowed a platform upon which all parties could share their beliefs, fears and needs for the environment.

8.17 Increasing stakeholders' capacity to monitor and evaluate

It is important to take Participatory Monitoring and Evaluation (PM&E) seriously and to incorporate it into the capacity building programme. All stakeholders need to be actively involved in the process and analyse both the immediate and underlying causes of successes and failures in the agreed upon action framework. It is in this manner that the stakeholders and the facilitator become actively and meaningfully part of PM&E from the outset, through becoming jointly accountable to the efficiency, cost-effectiveness, effectiveness and appropriateness of the inputs, outputs, outcomes and agreed upon goals (AACM, 1996). By involving all stakeholders, there is a greater likelihood of achieving a more holistic overview and a perspective that calls for accountability and responsibility to each other and the group.

Example:

In the KRVP, the action framework undertaken by local CF stakeholders enabled a process of negotiation, contestation and decision-making regarding who would do what, how it should be done and what should be measured in terms of success. Thus the indicators remained the stakeholders', who were then able to monitor the process.

9. THE ADVANTAGES OF CAPACITY BUILDING

- Through capacity building, needs are identified which provide a foundation on which to build CF.
- Capacity building gives stakeholders autonomy which allows them to express and own their needs.
- It is through capacity building that stakeholders are enabled to gain awareness, develop and mature as participants in CF.
- Capacity building allows stakeholders to come to terms with their past and embrace their future.
- Capacity building engenders knowledge, skills and improved attitudes and encourages change in individual and organisational behaviour.
- Capacity building strengthens each person's and group's confidence, ability to speak and ability to be responsible and accountable.
- Capacity building is rooted in a celebration of differences, in that each participant brings different skills, world views and knowledge to the unfolding process.
- Capacity building promotes trust and respect amongst stakeholders who have traditionally viewed each other with mistrust.
- Capacity building allows for inner transformation by raising self-esteem and self-confidence, which allows participants to understand their positions and have a voice.
- Capacity enables confidence to carry out an action, whether it be taking a decision which affects CF functions or taking part in informal discussions.
- Capacity building involves celebrating successes and milestones.
- Capacity building helps to break down divisions of tribalism, racism, sexism and ageism in the process of integration.
- Capacity building enables stakeholders to come together and make decisions about CF functions that affect their lives and their catchment.
- Capacity building allows stakeholders to own, design and implement CF processes and functions.
- Capacity building allows stakeholders to grapple with and understand important CF issues, to the point that they become 'common knowledge'.
- Capacity allows stakeholders to be actively involved in the process of finding their monitoring and evaluating indicators.

10. CONCLUSION

Given the historical backdrop against which CMP work takes place, it is vital to acknowledge that building capacity in marginalised peoples is a sensitive and dynamic process. Thus, there are no formulas for success, nor are there any quick fixes. However, there are guiding principles, which if adhered to, are a solid foundation upon which to base one's work.

Needs form the basis for catchment management practices, including the establishment of CF. At the outset, stakeholders may struggle to know and to formulate their needs. Thus, a process of capacity building is essential. Once stakeholders have been empowered to articulate their needs, all parties (including institutions) must come together to negotiate common needs. These identified needs enable the creation of a platform upon which the structures of CF can rest. However, these needs are not a fixed entity and require constant negotiation and re-evaluation. Therefore the facilitator must be open, flexible and patient throughout the process.

Evolution: catchment management is necessarily a long, carefully considered process, which involves awareness building, group development, and maturation to enable co-investment. The facilitator is not excluded from the evolutionary process: opportunities for learning and growth abound. The end result of evolution must always be action. The stakeholders must be able to celebrate tangible outcomes of the capacity building process.

Conflict is an inescapable reality. This is not a negative fact, since conflict is a catalyst for negotiation that brings participants to a platform upon which needs can be recognised as overlapping. Conflict is resolved through an inclusive process of negotiation. It is important to note that negotiation is not a once-off event: as stakeholders evolve, conflicts will arise and will need to be addressed.

Capacity building necessitates facilitators being able to see and appreciate participants as equal human beings. It is a process embedded in self-reflection, for both the facilitator and the stakeholders. It is about creatively enabling collective learning and creating a place of representation that enables stakeholders to observe, to perceive what they are, discover what they are not, and imagine outcomes and possible actions. It should encourage the role playing of different perspectives to imagine varying actions and to explore alternatives. Capacity building is centred on the stakeholder, and it is the stakeholder who enters into negotiations and discussions concerning catchment management. Capacity

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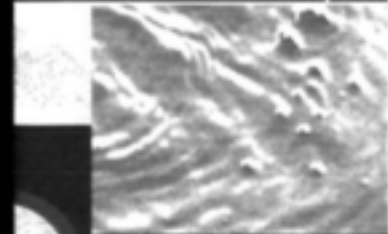
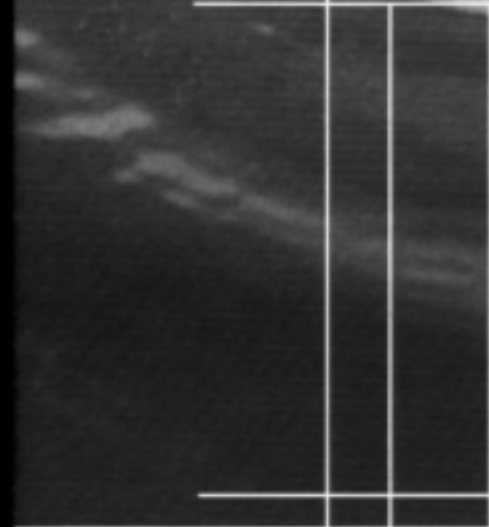
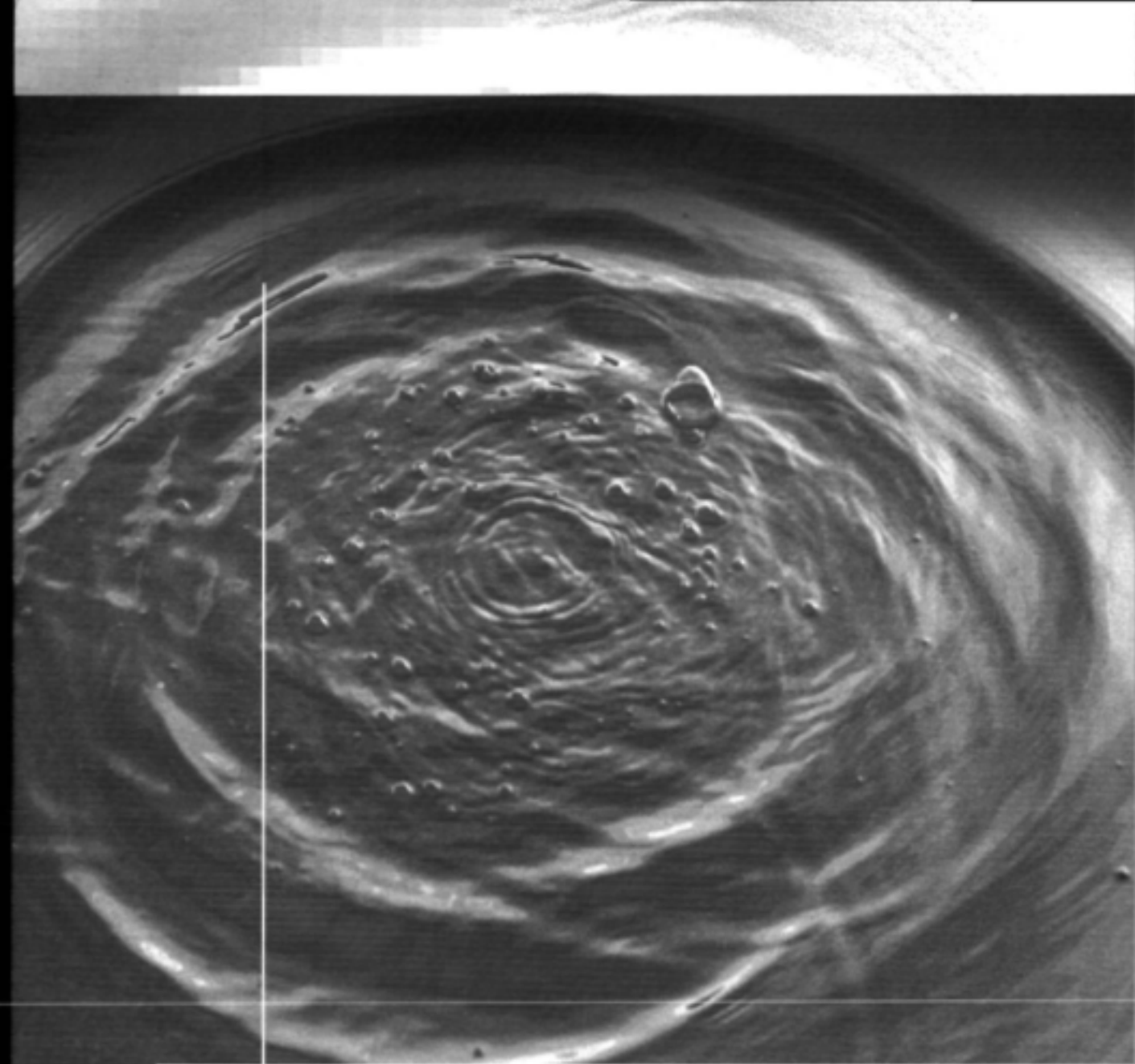
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11. ACKNOWLEDGEMENTS

The backbone of the information presented in this paper has been derived from a Water Research Commission Project, the Kat River Valley Project. Ideas presented in this paper have been developed from the work of Augusto Boal, discussions with friends who worked alongside me, the Kat River Valley communities, Ms. Jane Burt, the Thetha Education Group, Prof. Etienne Nel and Prof. Kate Rowntree. A deep thank you to Ms. Rachel McDermott, for giving me a voice and becoming a co-learner and explorer. Mr. John Fargher and Ms. Margaret Anema: thank you for entering into continuous dialogue with me. The opinions in this paper are the author's and do not necessarily reflect those of the funders.



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