# FIELD GUIDE PARTICIPATORY DEVELOPMENT MANAGEMENT

G Schoeman · D de Waal · M de Bruyn

WRC Report No. TT 88/97



Water Research Commission



## FIELD GUIDE

# PARTICIPATORY DEVELOPMENT MANAGEMENT (PDM)

## AN INTEGRATED AND EMPOWERING DEVELOPMENT APPROACH

Prepared for the Water Research Commission by

Geraldine Schoeman David de Waal Marchelle de Bruyn

Afrosearch PO Box 13540 HATFIELD, 0028 Tel: (012) 362-2908

The sketches for the Field Guide were done by Jan Mangope Majo of the Mogogelo Community and Pamela Turnbull of Afrosearch

September 1997

TT 88/97

WATER RESEARCH COMMISSION PO BOX 824 PRETORIA 0001 Tel: (012) 330-0340 Fax: (012) 331-2565

This Field Guide is supplementary to WRC Report No. K5/519, which is the full report to the Water Research Commission on the project:

The Development of Programmes to Combat Diffuse Sources of Water Pollution in Residential Areas of Developing Communities

## DISCLAIMER

This report has been reviewed by the Water Research Commission (WRC) and approved for publication. Approval does not signify that the contents necessarily reflect the views and policies of the WRC, nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

ISBN 1 86845 307 3

SET ISBN 1 86845 308 1

Printed in the Republic of South Africa

Beria

# NOTES ON THE USE OF THE FIELD GUIDE

The Field Guide, in its current format, is believed suitable for use by community developers and project developers. To make the best use of it needs some understanding and experience of the development process involved when implementing water, sanitation or waste projects, together with a desire to "add value" to communities. It is hoped that this manual will provide a solid basis for implementing broad-based, participative project development without prescribing "recipes". As such, it aims to describe the milestones that need to be achieved or incorporated to allow participative project development.

The Field Guide is not exhaustive, nor should it be regarded as a development "bible". It is intended to be used together with the many books and manuals on various aspects of participative appraisal, training and development management in underdeveloped contexts, as well as guides and manuals on the technical provision of water, waste and sanitation services.

# MARIA'S STORY

## THE PROBLEMS AND DIFFICULTIES I HAVE HAD IN GETTING WATER

#### Maria Mkari

"I am from the area known as Five Morgen around Winterveldt. The people of Winterveldt have a serious problem in getting water. We first got water from a pit, but this water was not purified.

The pit gave us many problems. Many children fell into the pit and drowned. The lucky ones were rescued before they died. In addition to children, some domestic animals, such as donkeys and dogs, fell in. This led to the non-usage of this pit, except to throw refuse into it.

A private company was called in to install a new pump. The people of Winterveldt were not given any chance to help build this pump, and when it broke down we had to wait for the company to come and repair it. This pump was far from my home and it was difficult to drill. We had to wake up at five o'clock in the morning to fetch water to avoid long queues.

We carried the 25-litre bucket of water on our heads. Sometimes I stumbled and fell, causing the whole bucket to splash over. Then I had to go back to refill it.

We often went to the pump on Saturdays to do some washing. We would spend the whole day with hungry stomachs. On this day cows, donkeys, goats and sheep would be brought in to drink. Some cattle would fight to get water in their mouths. Survival of the fittest was the order of the day as there was shoving and pushing around.

The pump is now broken and there is nowhere to get water. The North-West Star Bus people helped by giving us water from the bus depot. People who are far from the depot are still suffering. They have to walk long distances to get there. Even so there is still a need for more water pumps.

#### Who can help us?

(Presently, Maria serves as representative member on a water committee and is receiving training in community-based water management as part of the Winterveldt RDP lead project).

-			_		
C.	<u> </u>	<b>٦</b> Ť/	aı	nt	C .
~	~				a -

<ol> <li>CHAPTER 1: INTRODUCTION</li> </ol>	
1.1 BACKGROUND	
	DEVELOPMENT MANAGEMENT TEAM
	3
	PATORY DEVELOPMENT MANAGEMENT
	on
(a) Making contact	
(b) Institutional development	
	iis
(b) Analysis and listing	
	t Plan4
	zement Plan
	4
	4
	valuation
<ul><li>(a) Implementation process</li></ul>	
2. CHAPTER 2: ALGORITHM OF THE	PDM PROCESS
	ND CONSULTATION
	ND CONSULTATION
2.2 PHASE 2: INFORMATION GATH	ERING AND ANALYSIS
Analysis and listing	
Ranking problems and opportunities	
	CE MANAGEMENT PLAN
Develop Community Resource Managem	ent Plans
	ONITORING AND EVALUATION15
-	
	DM PROCESS17
3.1 PHASE 1: RAPID ASSESSMENT AND CO	INSULTATION
3.1.1 Making Contact	
	20
(a) Identify existing structures.	
(e) Institutional structuring	
	ERING AND ANALYSIS
-	
(-,	

3.2.3 Ranking Problems and Opportunities	
(a) Review process	
(b) Ranking process	
(c) Ranking action steps	
3.3 PHASE 3: COMMUNITY RESOURCE MANAGEMENT PLAN	
3.3.1 Develop Community Resource Management Plans	
(a) Validation process	
(b) Resource analysis	
(c) Action plan	
3.4 PHASE 4: IMPLEMENTATION, MONITORING AND EVALUATION	
3.4.1 Implementation Process	
(a) Leadership	
(b) Financial management	
(c) Natural resources management	
(d) Human resources management	
(e) Development of community management	
3.4.2 Evaluation and Monitoring.	
(a) Evaluation planning	
(b) Objectives, inputs, activities and results	
(c) Develop an evaluation framework	
(d) Identify evaluation elements (Key Performance Indicators (KPIs))	
(e) Ongoing monitoring and evaluation during implementation	
(f) Ongoing monitoring and evaluation during operations	
(g) Project impact evaluation	
(h)Post-implementation evaluation	

#### Page 1

# PARTICIPATORY DEVELOPMENT MANAGEMENT (PDM)

#### 1.1 BACKGROUND

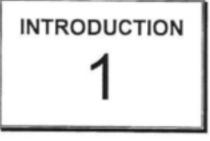
Participatory Development Management, like its part-parent methodology, Rapid Rural Appraisal, is a systematic and structured activity carried out in the field by a multidisciplinary team. It is designed to:

- Acquire new information on:
  - development needs hypotheses,
  - community development needs and issues, and
  - existing resource bases.
- Bring together:
  - development needs defined by the community groups, and
  - the resources and technical skills of government, donor agencies, and nongovernmental organisations (NGOs).
- Integrate in the development process:
  - skills available in the community, and
  - external technical knowledge.
- Implement development processes that are:
  - socially acceptable,
  - economically viable,
  - ecologically sustainable, and
  - participative.

Participatory Development Management assumes that communities need committed local leadership and effective rural institutions to do the job.



PDM integrates communitybased needs, resources and skills



## 1.2 COMPOSITION OF THE PARTICIPATORY DEVELOPMENT MANAGEMENT TEAM

The composition of the Participatory Development Management team greatly influences the quality of information, the analysis and the subsequent management plan. Teams are made up of a team leader and two or three core members from the organising groups, supplemented by technical extension officers (such as water, agricultural, soil conservation or co-operative agents) from the area under review and, when appropriate, village leaders and interpreters.

Team members should include men and women, some with technical and others with social science backgrounds. All should have strong experience working at the local level and a good understanding of rural institutions and processes.

To ensure full participation by the members of the Participatory Development Management team, all members and their supervisors should be briefed in detail about the methodology. Several experienced Participatory Development Management practitioners should be available to help team members who are less familiar with the methodology.



Composition of the PDM team

Under ideal circumstances, Participatory Development Management would be organised and implemented as a single, fully integrated approach to rural development. However, the present system among development assistance agencies, donors, and governments is not structured in such a holistic way. Therefore, for administrative and funding purposes, Participatory Development Management is carried out through individuals who also function in conventional positions.

To ensure maximum integration on the ground, it is recommended that the Participatory Development Management team and community leaders organise a Development Committee or Natural Resources Committee. Such committees can help introduce the Participatory Development Management exercise to the community. They may also help the Participatory Development Management team identify important local leaders and institutions for interaction and organise group discussions to gather and analyse information.

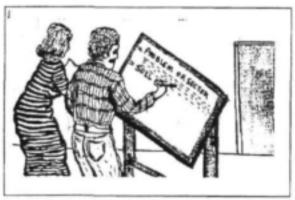
#### 1.3 IMPACT

The Participatory Development Management Approach can assist in:

- renewing Africa's natural resource base with improved policy and action,
- focusing on developing communities, especially those with vulnerable ecosystems,
- linking technical and socio-economic issues when defining problems and solutions, and
- creating a system for participatory development processes, so that donors, government and NGOs, hand-in-hand with communities, can stop and reverse Africa's declining productivity.

Participatory Development Management helps communities to

- define problems,
- mobilise their human and natural resources,
- examine previous successes,
- evaluate local institutional capacities,
- prioritise opportunities, and
- prepare a systematic and sitespecific plan of action, known as a Community Resource Management Plan (CRMP), for the community to adopt and implement.



Prepare a systematic plan of action

Using the theme of natural resource management to integrate different sectors of development, Participatory Development Management facilitates collaboration among multiple:

- sectors (for example, agriculture, water resources, forestry),
- disciplines (for example, economics, sociology, engineering, biology), and
- institutions (such as government, NGOs, universities, donors).

## 1.4 THE FOUR COMPONENTS OF PARTICIPATORY DEVELOPMENT MANAGEMENT

## 1.4.1 Rapid Assessment and Consultation

- (a) Making contact
  - Selecting the community
  - Preliminary site visit

- Holding the first community meeting(s)
- Review of community situation
- Holding a planning meeting
- (b) Institutional development
  - Identify existing structures
  - Evolve into relevant orientation
  - Develop democratic structures
  - Empower local participants by involving them
  - Help to develop the structure of institutions

#### 1.4.2 Information Gathering and Analysis

- (a) Data gathering
  - Secondary data
  - Primary data
    - spatial data
    - time-related data
    - social data
    - technical data

#### (b) Analysis and listing

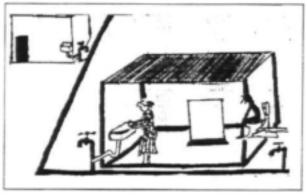
- Analyse data
- List issues
- (c) Ranking problems and opportunities
  - Review process
  - Ranking process
  - Action step process

#### 1.4.3 Community Resource Management Plan

- (a) Develop Community Resource Management Plan
- (b) Validate ranking
- (c) Analyse resources
- (d) Develop action plan

#### 1.4.4 Implementation, Monitoring and Evaluation

- (a) Implementation process
  - Ensure strong leadership
  - Financial management
  - Natural resource management
  - Human resource management

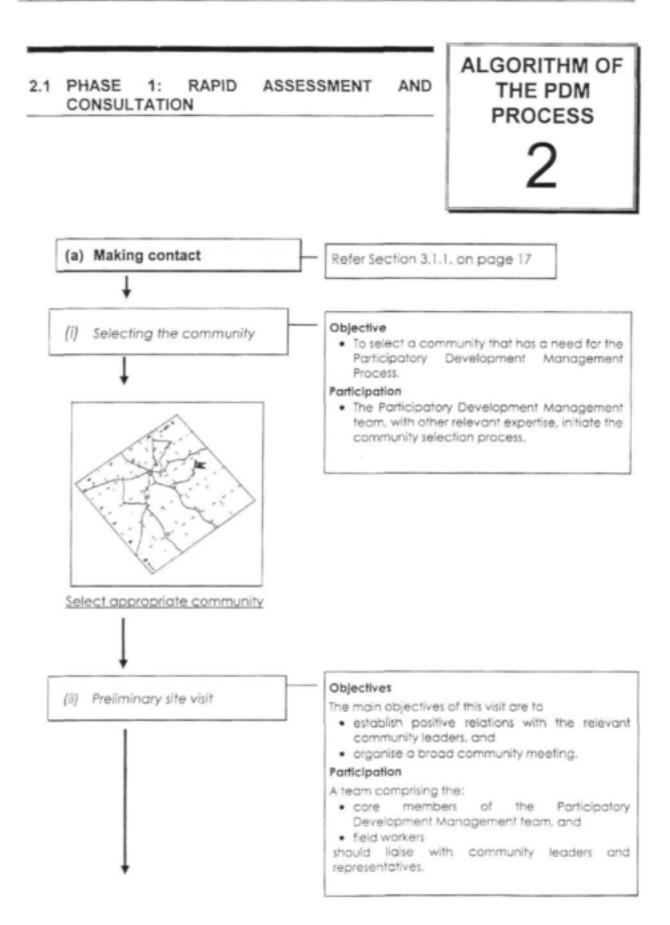


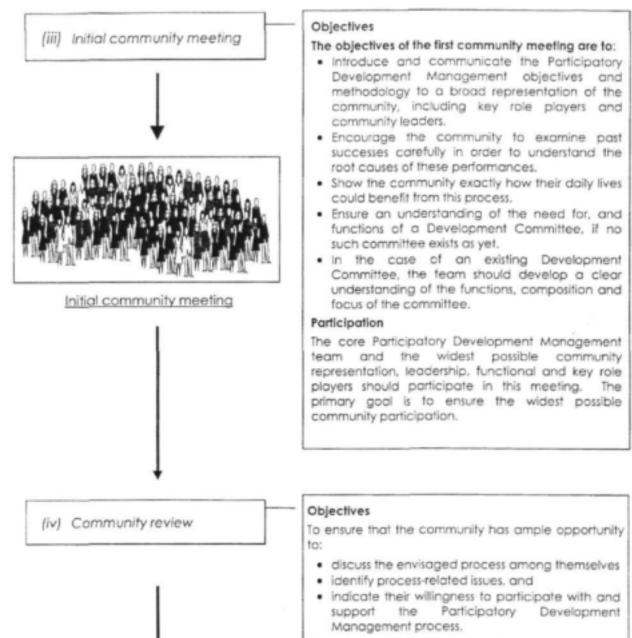
Siting of taps - technical data

PARTICIPATORY DEVELOPMENT MANAGEMENT



- Developing community management
- (b) Evaluation and monitoring
  - Plan the evaluation
  - Develop an evaluation framework
  - Identify evaluation elements
  - Ongoing monitoring and evaluation during implementation
  - Ongoing monitoring and evaluation during operations
  - Project impact evaluation
  - Post-implementation evaluation



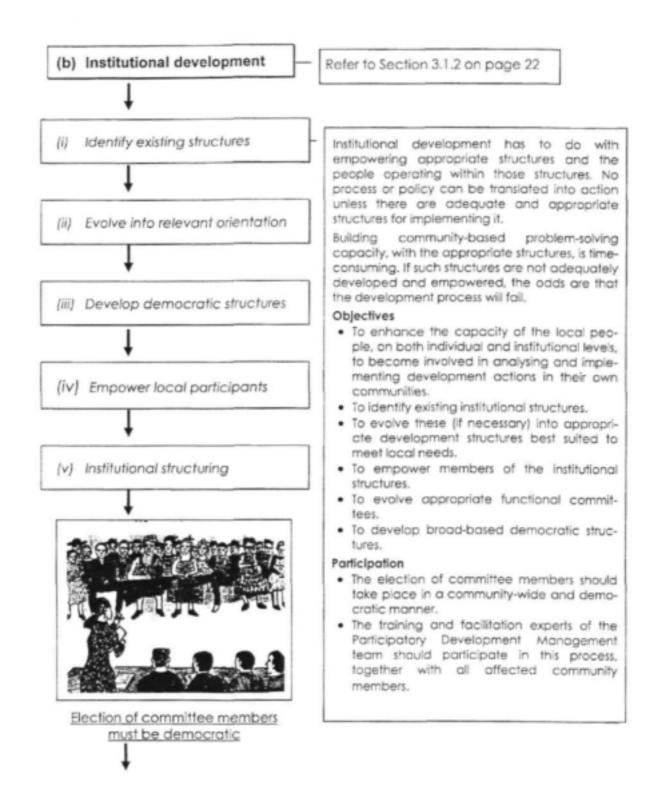


In this manner, the participants can make an informed decision.

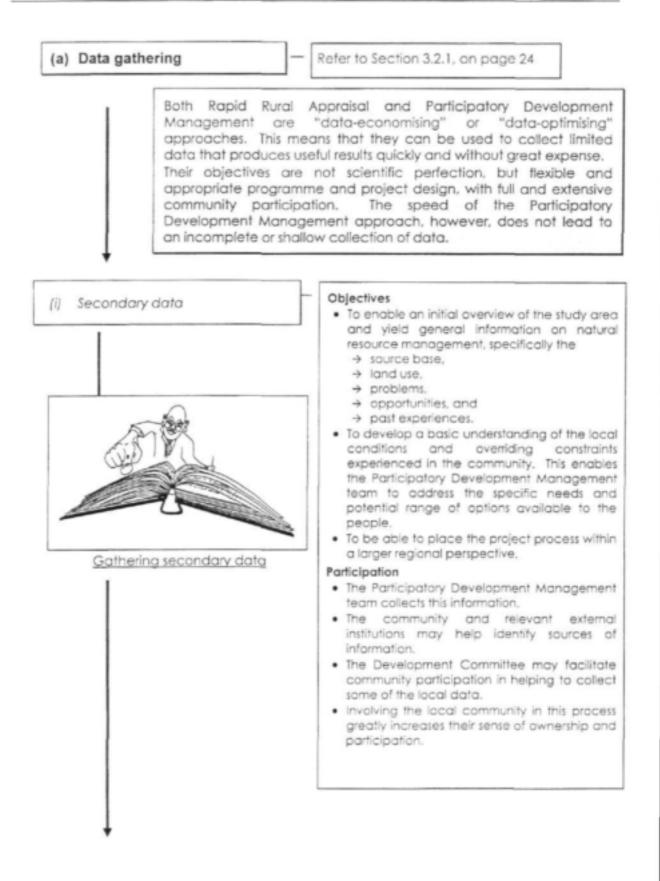
#### Participation

All community-based interested and affected parties, key role players, functional representatives and leaders should participate in the community review.

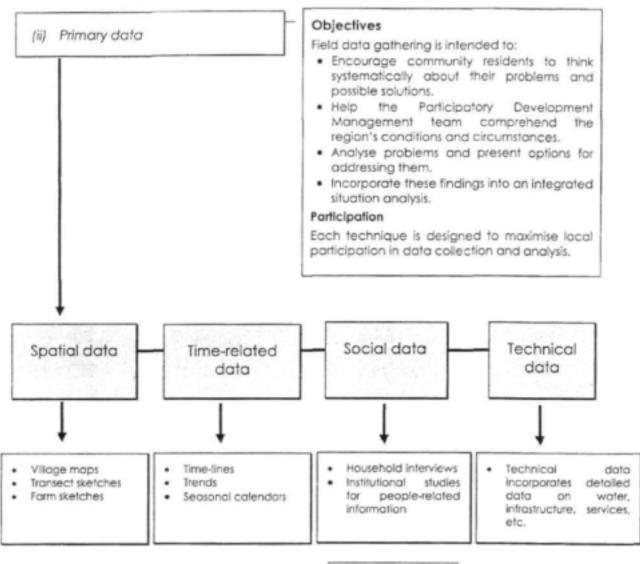
(v) Public feedback meeting	<ul> <li>Objectives</li> <li>To provide an opportunity for the community to comment on their understanding of the proposed process.</li> <li>To provide confirmation to the Participatory Development Management team if the community wants to participate in the development process.</li> <li>To make recommendations on the process and approach.</li> <li>To finalise the appointment of the Development Committee.</li> <li>Participation</li> <li>All community-based interested and affected parties, key role players, functional representatives and leaders should participate in the public review process.</li> </ul>
(vi) Initial planning meeting	<ul> <li>Objective To initiate (with community participation) a database of <ul> <li>all "expertise" in the community (e.g. school principals, motor mechanics, welders, social workers, etc.)</li> <li>ecological, demographic, infrastructural, and other relevant information for use in Rapid Rural Appraisal methods </li> <li>Participation The participants in the planning meeting should include: <ul> <li>The Participatory Development Management team</li> <li>Community leaders</li> <li>Development Committee</li> <li>Concerned and affected community members</li> </ul></li></ul></li></ul>
	There should be wide participation in planning meetings



## 2.2 PHASE 2: INFORMATION GATHERING AND ANALYSIS

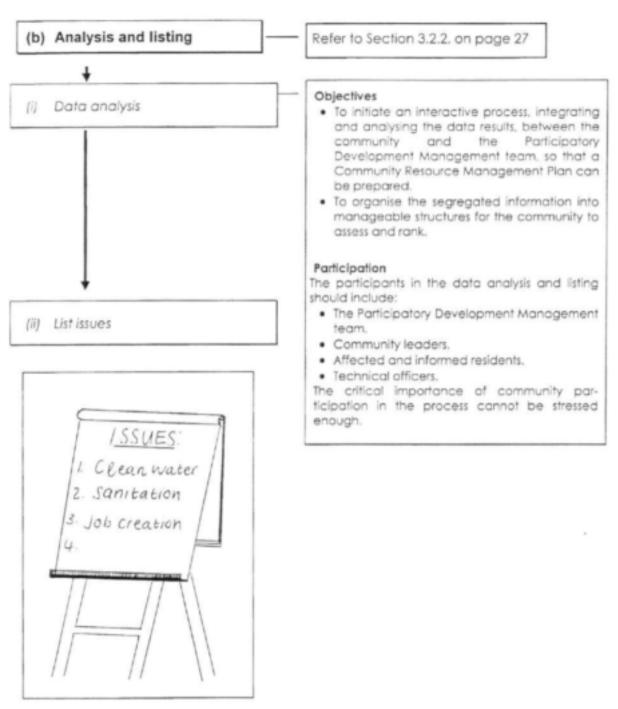


PARTICIPATORY DEVELOPMENT MANAGEMENT FIELD GUIDE

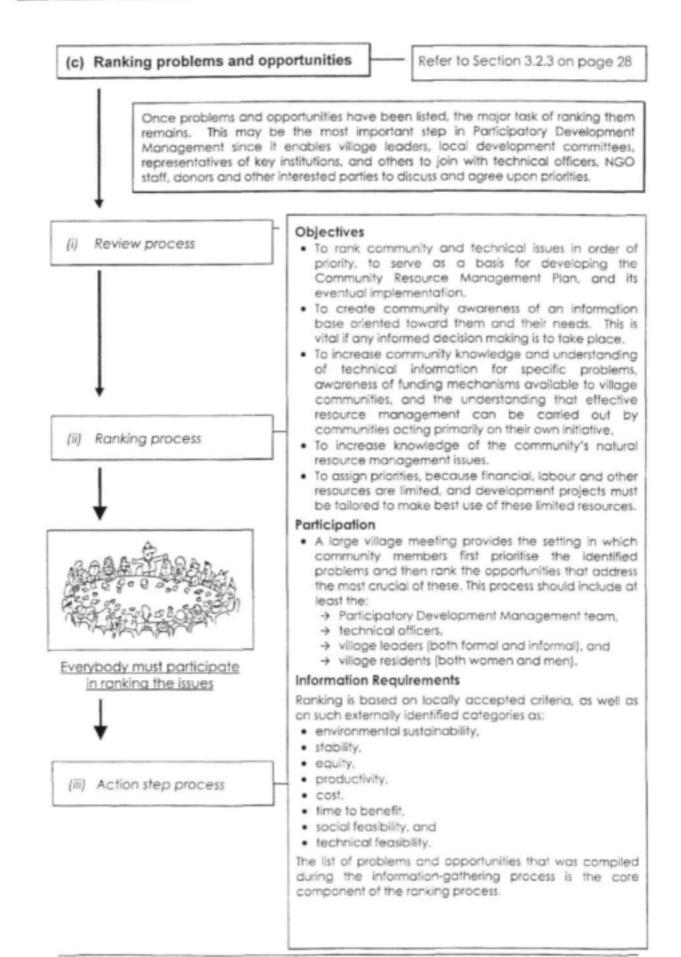




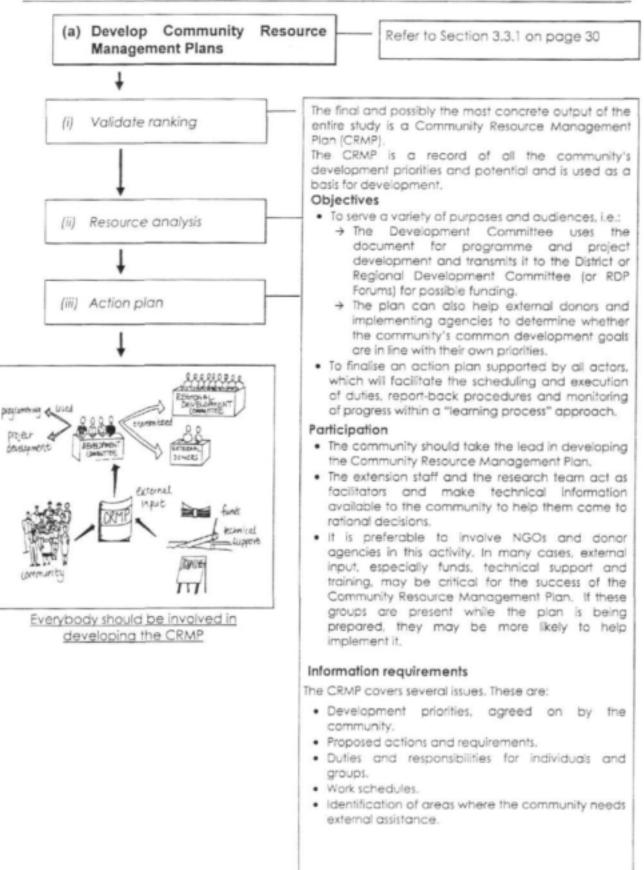
Household interviews



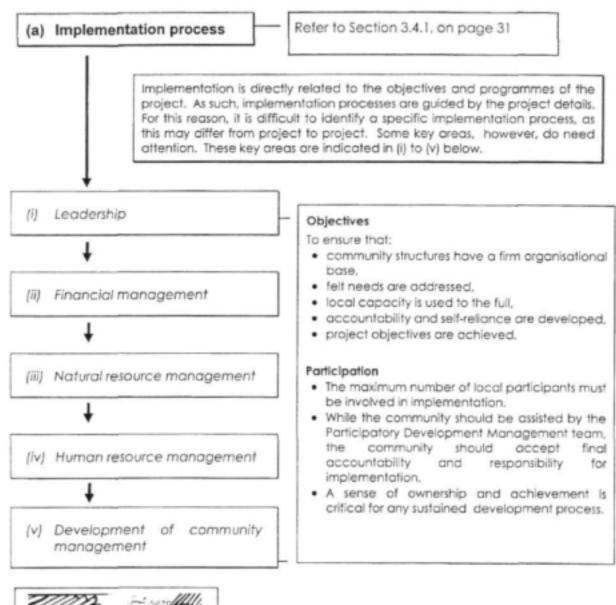
Issues should be listed



## 2.3 PHASE 3: COMMUNITY RESOURCE MANAGEMENT PLAN

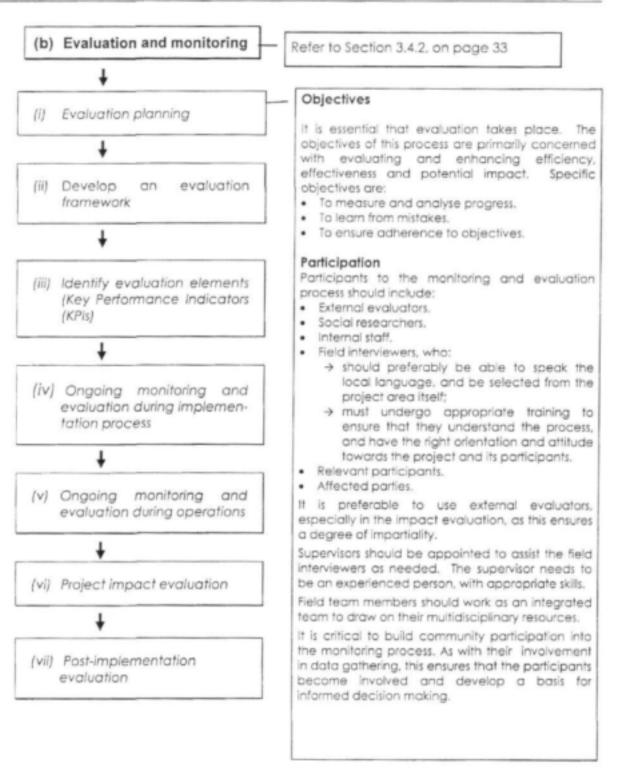


## 2.4 PHASE 4: IMPLEMENTATION, MONITORING AND EVALUATION





Ensure maximum local participation in implementation



METHODS OF

THE PDM

PROCESS

## 3.1 PHASE 1: RAPID ASSESSMENT AND CONSULTATION

## 3.1.1 Making Contact

## (a) Selecting the community

The selection of the community can be accomplished in two ways:

- either a government extension officer or other field worker identifies a community that needs development assistance, or
- an organised community requests assistance.

## A few examples include:

- A community with a specific problem, such as deforestation, may ask for help based on its familiarity with work that a Participatory Development
   Management Process has initiated in a nearby community.
- A village committee or

leader may see Participatory Development Management as a way to mobilise community institutions or to attract funding for village projects from a donor or government agency.

 The Community Development Assistant or a water engineer may recommend the Participatory Development Management approach for an area that has unique problems that require special attention.

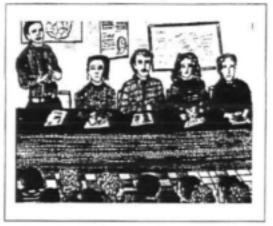
## (b) Preliminary site visit

After selecting the target community, a preliminary site visit should take place. This encompasses the following:

 The members of the organising agencies should clarify the nature of the Participatory Development Management Process to the appropriate community leaders. Care must be taken to ensure that the aims of the envisaged process are clear, and that these aims address local perceptions.



- After meeting the community leaders, the Participatory Development Management team should be introduced to the community by civic or traditional leaders, or other community workers.
- If the community remains interested, an invitation to conduct the Participatory Development Management Process should be formalised by a letter of request from the appropriate local official, authority or leadership.
- The district/regional authority should also be visited to ensure technical and institutional backing. The necessary information on other development organisations active in the area can also be sourced there.



The PDM team must be introduced to the community leadership

- Information about the request and the team's visit should be communicated to all concerned individuals, institutions and functional representatives in the community and district. This should include (at least) representatives from:
  - social groups (i.e. youth and women's groups),
  - → church groups, educational leaders, and the
  - → relevant political party representative, etc.

#### (c) Initial community meeting

Before this meeting the Participatory Development Management team should begin collecting information on:

- completed or ongoing development activities<sup>1</sup> that have worked effectively in the community or in nearby villages, as well as
- proposals submitted by the village to external institutions for support.

The community leadership must be approached to arrange a community meeting. This should preferably be done in writing.

The Participatory Development Management team must prepare appropriate agendas and deliver these to the community leaders some time before the envisaged meeting. This serves to prepare and focus the participants at the public meeting.

Examples of some of these existing activities could include projects that have improved water supplies, agricultural activities, soil conservation, reforestation, school expansion, road and transport development, income generation, and health care.

Page 19

It is recommended that the participants at the community meeting elect their own chairperson. This ensures a measure of ownership of the proceedings. The idea of a rotating chairperson may be considered.

The Participatory Development Management team should emphasise that the purposes of the PDM exercise are to:

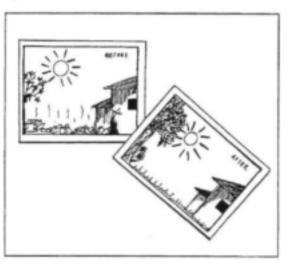


Arrange a community meeting

- gather information to help the community prepare a Community Resource Management Plan,<sup>2</sup>
- improve local resources management, and
- mobilise community efforts to implement the identified activities.

Several techniques can be used to communicate the objectives and advantages clearly. These include:

- Photographs of before-andafter scenes where Participatory Development Management Processes have been implemented.
- Scenario sketches of beforeand-after Participatory Development Management, enhanced by pictures.
- A person from another village where Participatory Devel-



Before – and –after pictures can enhance scenario sketches

opment Management has been implemented can make a valuable contribution in communicating the value of the programme in terms of real-life experience.

Such a Community Resource Management Plan will enable community leaders and concerned residents to achieve their development expectations and needs with minimal dependence on external resources and agencies. It also helps the community strengthen its internal development capacities and to communicate its need for external resources. This delicate balance between bolstering self-sufficiency and marshalling external assistance is essential to sound development.

- Clear and simple information handouts describing the aims and objectives of the process.
- A process must be initiated to elect a Development Committee (if none exists yet) to assist the Participatory Development Management Process.

The need for, functions, composition and focus of such a Development Committee must be discussed with the community.

This can take place at the same meeting, or at the public feedback meeting (discussed in Section (e) below) after the community has had an opportunity to discuss the issue among themselves.

The Participatory Development Management team should take effective minutes. These should be provided to the local community leaders as a record of the proceedings and decisions taken.

It is important to be open and transparent and to make an effort to understand and recognise the perceptions and traditions of the specific community. The Participatory Development Management team should listen carefully to the participants, neither influencing the proceedings, nor jumping to early conclusions.

#### (d) Community review

After the initial community meeting, community leaders and members should meet in private to consider the Participatory Development Management Process.

They may need a period for full and open discussion among themselves to review their understanding of the process and confirm interest in proceeding with the programme.

There may be a need for someone to explain certain unclear aspects for the community.

#### (e) Public feedback meeting

The Participatory Development Management team must approach the community leadership to arrange the public feedback meeting. It is advised that these arrangements be confirmed in writing.

The Participatory Development Management team should prepare appropriate agendas and deliver these to the community leaders some time before the envisaged meeting.

It is recommended that the participants at the community meeting elect their own local chairperson.<sup>3</sup>

It is recommended, that the chairperson of the Development Committee also chair the public meetings. This would ensure continuity and focus. The use of rotating chairpersons can also be considered.

The appointment of a Development Committee (if none exists) should be finalised. This can take place by a:

- voting procedure during the meeting, or
- if the community has already elected a Development Committee, presentation of the Development Committee members to the participants at the public meeting.

The Participatory Development Management team should finalise communication procedures, contact personnel and project procedures with the participants<sup>4</sup>.

The Participatory Development Management team should keep effective records of all decisions taken. These should be provided to the Development Committee as confirmation of the decisions taken.

The arrangements for the planning meeting should be finalised during this meeting.

#### (f) Initial planning meeting

If the Participatory Development Management Process is accepted, a formal planning meeting should be organised in which all concerned parties go over the details and work plan of the Participatory Development Management exercise.

This step initiates three processes:

- Dialogue among the parties concerning all aspects of village problems and possible actions.
- Full and dynamic community participation.
- An integrated approach to development involving local residents and multisectoral government extension personnel.



Full and dynamic community participation is necessary

The fact that information is generated by local people should be respected. Their permission is needed to document, remove and use information.

A case in point might be an agreement that all fieldworkers first contact the community leadership before working in the community to ensure that everybody is aware of the proceedings.

## 3.1.2 Institutional Development

#### (a) Identify existing structures

The Participatory Development Management team, in close consultation with the Development Committee,<sup>5</sup> should identify all existing institutional structures.

These could include local government, management, development, water and sanitation committees, women's groups, youth groups, etc.

Meetings must be arranged with the existing structures to determine their functions, foci and modus operandi. Areas of integration and overlap should be identified.<sup>6</sup>

#### (b) Structure organisations realistically

Organisations must be carefully structured to enable representative and democratic decision making. This would enable them to mobilise collective action, to meet goals with the maximum participation.

If no water and sanitation committees exist, the development of constitutions for these should be facilitated with the help of the Development Committee and community leadership.

This process could include additional community meetings to elect the members of the various institutional structures.

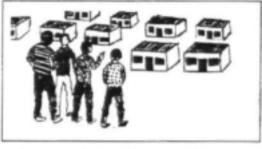
It is recommended that the various water and sanitation committee chairpersons form part of the Development Committee'. This would

facilitate effective management and good co-ordination.

## (c) Develop democratic structures

The block democratisation process must be facilitated.

The total village should be demarcated into blocks, with the assistance of the Development Committee.



Demarcate the village into blocks

Each block must elect a block action group, consisting of a chairperson (block representative) and community representation.<sup>8</sup>

The Development Committee is elected by the community during the first community meeting.

<sup>&</sup>lt;sup>6</sup> The Participatory Development Management Process indicates that existing structures be utilised, and evolved into project appropriate structures.

It must be stressed that the Development Committee has a strong co-ordinating function.

The block representatives form part of the Development Committee, and assist the committee in:

- identifying block needs,
- analysing potential solutions (with the necessary expertise),
- making recommendations on block issues, and
- implementing specific issues.

## (d) Empowerment of local participants

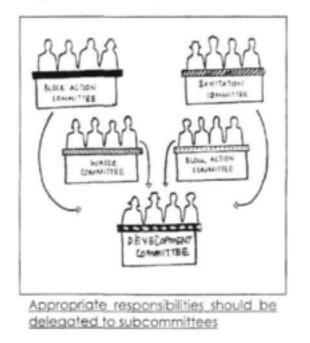
There is an obvious need for committees to be trained in administrative and management skills. Members of the various structures should receive appropriate training to empower them within the institutional environment. Unless this happens, little longterm success can be expected.

This empowerment would include training workshops to define their committee structures, functions, responsibilities, management procedures, etc.

#### (e) Institutional structuring

6

It is anticipated that the Development Committee would consist of an Executive Committee, with representatives of the various subcommittees, including water and sanitation, as well as representatives from the block action groups.



Relevant government officials may have observer status on the Development Committee.

The following steps can facilitate building effective organisations:

- Committees should develop constitutions, as a way of institutionalising democratic processes. These constitutions should be simple and address people's perceptions of how things should happen.
- Appropriate responsibilities should be delegated to

subcommittees. For example, water and sanitation responsibility is

The block action group must be representative of both the community and functional structures active in that block. delegated from the Development Committee to the water and sanitation subcommittee. In this manner other, often marginalised, role players can be accommodated in the managerial process.

The concept of a rotating chairperson could be considered. This idea is foreign to many communities. A possible approach may be to create a token role such as "Chief Executive" or "President", to be occupied by those leaders or officials that are often automatically elected as chairperson, with managerial power remaining with the rotating chairperson.

The participation of women appears to increase the effectiveness of any process significantly. Care should be taken that women are present and participating in the development proceedings.

## 3.2 PHASE 2: INFORMATION GATHERING AND ANALYSIS

#### 3.2.1 Data Gathering

#### (a) Secondary data

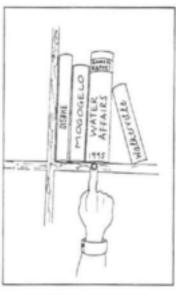
(i) Method

Secondary data gathering should start after the community has indicated the desire to proceed with the \_\_\_\_\_

process, but prior to the planning workshop.

It is helpful to gather and summarise whatever secondary data are already available, from:

- easily available published and unpublished information. Sources most often used are annual reports, national census results, and project documents,
- maps, aerial photographs and satellite imagery, which, although sometimes expensive, are helpful for data collection,
- other project activities near the Participatory Development Management site.



Getting secondary data

Secondary data are data that are freely available from a number of existing sources. They would normally form part of a desktop approach to source available information.

Sources to be consulted include technical officers, public map agencies, RDP officers, universities, NGOs and international organisations active in the appropriate areas.

Visit the regional capital and its institutions. This is valuable to:

- obtain important information about the project area and activities in the area,
- get clearance from the relevant authorities, and
- establish the extent to which the Participatory Development Management team can count on support from these institutions.<sup>10</sup>

All relevant data are entered into a database.

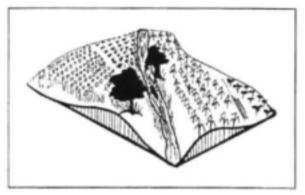
The secondary data review need not be exhaustive and should not jeopardise or replace fieldwork.

Information collected should be analysed and presented in simple graphs, tables, charts and reports.

(ii) Information requirements

The most useful information requirements include:

- Topography
- Drainage
- Vegetation
- Ecological zoning
- Production patterns
- Farm and agricultural resource management practices
- Population changes
- Marketing
- Local and regional infrastructure
- Contact person list of:
  - → Markets
  - successful industries
  - economically viable agricultural enterprises
  - regional administrative centre, (i.e. relevant municipalities)
  - regional social services
  - regional departments of education and agriculture.



Drainage, vegetation and topographical information can be indicated in sketches

Positive relations with these institutions can be invaluable.

Overall problems, opportunities, and other issues.

## (b) Primary (field) data

Most of the spatial information is obtained through direct observation.

The team members who are recording the information should note field conditions and objects, processes (such as erosion), and relationships (such as the allocation of land to food or cash crops) while walking or travelling through the site.

To conduct the exercises and collect the data, the Participatory Development Management team may work most effectively as:

- a single unit, or
- groups of two to three individuals with specific responsibilities.

In some circumstances it may be more constructive for one group to prepare the necessary transects, while another prepares the seasonal calendar or other data table.

In other circumstances, it may be better for two groups to work independently to prepare separate transects of the same area.

The composition of these groups can vary from exercise to exercise or from day to day to facilitate team interaction.

At the end of each day, the entire Participatory Development Management team should gather to present group findings, discuss

inconsistencies, and identify information gaps for followup actions.

Some other common data collection techniques include

- ranking exercises
- decision-making trees
- resource profiles
- production flow diagrams, and
- cartooning.



At the end of the day the PDM team should gather to present findings

In addition, combinations of

spatial and time-related techniques, such as historical transects and historical-seasonal calendars, have often produced valid results. Some techniques are used to collect highly specific information (for instance on skin fold, height, weight and other human characteristics, in order to determine the local health and nutrition situation).

Unlike most conventional research methodologies, Participatory Development Management uses a diversity of sources, including the assembled lore of the villagers themselves, to ensure that comprehensive information is collected. Investigating the community's situation through a variety of means makes it possible to cross-check the data and increases the accuracy of the analyses.

Principal findings are presented in a simple visual form for rapid communication and comprehension to encourage lively discussions and debate. "

#### 3.2.2 Analysis and Listing

#### (a) Data analysis structure

Once data are gathered, a structure for analysis must be established. It is recommended that the Participatory Development Management team meet alone (or perhaps with one or two village leaders) to draw up preliminary lists of problems and opportunities.

First review the information collected in the above exercises, then use this as the basis for a village meeting.

Consider the issues that the community has identified by reviewing all the sources of data collected. These should be discussed by all team members to assure a

comprehensive compilation of possible problems and options.



All participants must take part in the analysis process

#### (b) Listing of issues

12

The most effective way to compile a list of problems, and their possible solutions, is for the Participatory Development Management team to review the basic issues identified during the exercise and to base a draft list on those.<sup>12</sup>

The options may include issues that the village groups and leaders have identified, as well as aspects that extension and other technical staff may suggest. These options should be as specific as possible.

They can go through their notes, matching opportunities to the problems.

Both Participatory Development Management and Rapid Rural Appraisal include a repertoire of more than 30 tools for collecting information and ensuring local participation.

There is no magic formula for compiling lists of problems and opportunities. Problems or opportunities can be found among the following categories (for example):

- specific programmes
- soil erosion
- availability of water
- diseases
- declining productivity
- deforestation, etc.

Complex issues that relate to two or three problems can be listed more than once.



Availability of water

At this stage, the data should be organised but no attempt should be made to weight or rank the information. A visual format (written lists, tables or diagrams) can be used in community discussions about the issues. Leave space for the villagers to edit and amend the list of problems and options compiled by the team.

## 3.2.3 Ranking Problems and Opportunities

## (a) Review process

Review the process of gathering data, the types of information that the community has provided to the team and the key changes/trends emerging in the community. It may be useful to present and discuss briefly the time-line, seasonal calendar, transect and other techniques for gathering data.

Display the preliminary problem and potential solution charts prepared by the Participatory Development Management team. Carefully review the information on the charts with the community to verify the issues. New information can be included and corrections made.

It may be up to the Participatory Development Management team to introduce such concepts as:

- sustainability,
- equity, and
- · productivity.

## (b) Ranking process

The ranking process may be carried out using a variety of approaches. A number of options are available. It is important to

keep the process simple and ensure that community participants understand both:

- the need for ranking, and
- the ranking process itself.

Assemble community leaders and the participants. It may be best to meet in a large room in a church or school. There may be more than 30 or 40 people who will form the primary decision-making body. Plan a whole day or the equivalent over two days.

Discuss criteria to be used for ranking options with the



A large group of people may form the primary decision-making body

group. The criteria used to prioritise problems may be quite different from those used to rank actions.

The villagers may identify such criteria as the

- relevance of cost
- social and technical feasibility, and
- time it takes for benefits to be realised.

When the initial list of criteria for ranking options has been established, review it with the group. The community should be given another opportunity to amend the set either by adding new criteria or deleting existing criteria from the list.

Prepare a short list of the most pressing problems in the village. This is usually not difficult because in many communities a few problems stand out clearly to all village members. In many cases it is not necessary to develop a precise ranking. Often a grouping of the top three to five points is enough.

#### (c) Ranking action steps

The next step is to identify specific actions that can be taken to solve each priority problem.

These steps must be ranked in order of implementation.

The outcome of the action-ranking activity should be agreement on the priorities for community action.

## 3.3 PHASE 3: COMMUNITY RESOURCE MANAGEMENT PLAN

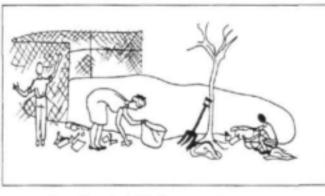
## 3.3.1 Develop Community Resource Management Plans

#### (a) Validation process

After the team leader has explained the process and importance of creating a formal plan, the first step is to validate the ranked priorities on the list of issues and potential solutions. On the basis of the rankings, the community recommends specific actions to accomplish the objective.

#### (b) Resource analysis

The villagers identify local resources and labour that can be mobilised within the community. There is a great deal of dialogue and consultation during this session. Decisions should be made democratically.



People rehabilitating a water source

For each activity identified (for example, rehabilitating a water source), duties are assigned to specific individuals or institutions. These may include tasks for the water engineer, for community groups, for an NGO, etc.

The appropriate technical officer advises on material inputs and estimated costs.

If additional training is required, specify what it will be and how it might be obtained. Be as specific as possible.

If outside resources are needed, indicate:

- which external institution will provide them,
- who will be responsible for ensuring that these resources are secured, and
- when they will be needed.

List likely sources or ways of obtaining support, including fund-raising activities within the community, proposals to donor or NGO groups, church sources, etc. If donors and NGOs are included in the Participatory Development Management Process, they may immediately accept certain responsibilities in the Community Resource Management Plan.

#### (c) Action plan

A schedule should also be set, linking duties and roles to a time frame that will help villagers and others evaluate their performance to date.

At all stages, emphasise that implementing and monitoring the progress of the Community Resource Management Plan is the responsibility of the community. Since the end result for the Participatory Development Management Process is to have communities in charge of their own natural resource management, this point is of paramount importance.

The finalisation of an action plan must be supported by all actors to facilitate the scheduling and execution of duties, report-back procedures and monitoring of progress within a "learning process" approach.

When the initial Community Resource Management Plan activities have been completed, it will be up to the community to develop or ask for help to develop follow-up CRMPs for continued progress.

## 3.4 PHASE 4: IMPLEMENTATION, MONITORING AND EVALUATION

#### 3.4.1 Implementation Process

#### (a) Leadership

Leadership is critical. One or more formal or informal local leaders will be needed to organise work groups, follow up when schedules slide, ensure that materials are being gathered, co-ordinate activities with extension officers and maintain contact with division and district administrative officials.

While this work is normally carried out by the chairperson of a Development Committee, or the secretary of a local government body, it may also be a leader of a farm co-operative, an active member of a women's group, a political leader, a member of the clergy, etc.

At another level, commitment and backing is required from government officers, especially at the District and Division level. Those



The involvement of local leadership is critical

concerned with follow-up need to keep administrative officers informed of progress and to enlist their help as needed.

#### (b) Financial management

Support from private foundations and bilateral and multilateral agencies is helpful as the community begins the search for funds to implement the Community Resource Management Plan.

It is helpful to provide strong support or guidelines to help a few community leaders, such as the school principal, a retired civil servant, or the clinic nursing sister, to learn how to raise village development funds from agencies already supporting regional or local resource management activities.

The Community Resource Management Plan is in a form that many development assistance agencies consider an acceptable proposal.

Often there are NGOs that can be contacted, and there are increasingly larger amounts of local development funds available through regional development offices. Churches may also have funds, as do the various bilateral donors and international agencies.

## (c) Natural resources management

Natural resources management should be undertaken by a village and/or development subcommittee. In some cases the Participatory Development Management Committee can be tasked with monitoring and managing processes in natural resource management projects. An elected environmental committee at the district or division level representing several development sectors and including members from NGOs can also be tasked with this responsibility.

It may be important to ensure that technical officers, village leaders, and members of community groups can visit nearby sites where effective resource management is underway.

It is critical to ensure that the community receives relevant training in natural resources management.

## (d) Human resources management

Participatory Development Management focuses on maintaining effective community participation. It is therefore of vital importance to train community leaders how to use human resources optimally.

Attention should be given to:

- The knowledge, and contact network, of institutions that can assist in training and developing local skills, especially agriculture, water management, technical and maintenance skills and basic financial management.
- The role of women in the community, as an available labour force, in areas where many men are forced to seek employment in metropolitan areas.

Developing and encouraging entrepreneurial skills.

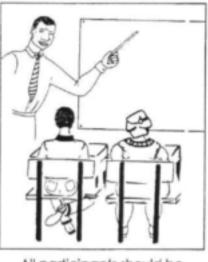
## (e) Development of community management

Those planning to carry out Participatory Development Management and then to implement a Community Resource Management Plan need to consider the importance of preparing local groups for the task. All participants should be well

trained.

Indications are that no implementation process, no matter how innovative, can succeed unless there are adequate and appropriate structures for implementation.

The need for organisation-building (indicated during the institutional development phase) is the essence of the development process. Effective organisational capacity-building can ensure that the goals of self-reliance, community mobilisation and empowerment of people are achieved.



All participants should be well trained

## 3.4.2 Evaluation and Monitoring

## (a) Evaluation planning

The evaluation process has to be planned during the early phases of the project planning process.

The project objectives, inputs, activities and envisaged results (discussed in the next section) must be broken down into measurable elements, until each element is sufficiently detailed to be separately assessed in the field.

Evaluation elements and subgoals must be agreed upon by all the project participants, to ensure that all clearly understand and agree on what is expected from the process, both in the short and longer term. Specialised expertise should be appointed to evaluate specific project components.

The PDM project team should provide logistic support and guidance.

The number of interviewers required is critical. The evaluation process should not take so long that it inhibits project progress. Should the team be too large, it becomes unwieldy and logistically unmanageable.

Where possible, interviews should be undertaken by a male/female team.

#### (b) Objectives, inputs, activities and results

(i) Objectives:

Project objectives are indicated on two levels. These are:

- Goals (longer-term focus)
- Project goals are the overall reason why the project is implemented.

Examples include:

- economic improvement<sup>13</sup>
- social improvement<sup>1</sup>
- → health improvement<sup>15</sup>
- → community improvement<sup>16</sup>
- environmental improvement.<sup>17</sup>



Water supply could be an element within a larger objective

Purposes (shorter-term focus)

The project purposes indicate what needs to be achieved to attain project goals. This could include aspects of how the community should participate, how maintenance can take place, etc.

Typically, purposes can include:

- improved water supply<sup>18</sup>
- → adequate sanitation<sup>19</sup>
- → adequate solid waste disposal<sup>20</sup>
- → better hygiene education<sup>21</sup>
- → good financial management<sup>22</sup>

- 18 Water quality and quantity standards.
- Sanitation unit performance levels.
- 20 Performance of collection services.
- 21 Long-term improvements in personal and household hygiene.
- 22 Achievement of expenditure and financial viability targets, etc.

<sup>13</sup> Such as increased income.

<sup>14</sup> Including equitable distribution of benefits, improved quality of life, etc.

<sup>15</sup> For example, reduced water and sanitation-related disease levels.

<sup>&</sup>lt;sup>18</sup> Such as community capacity-building, empowerment, better community organisation, etc.

Examples include conservation of water and natural resources, improved environmental quality, etc.

- human resources development.<sup>23</sup>
- (ii) Inputs

Inputs are those things used in the project. Actual inputs are often compared to planned inputs, with the divergence evaluated as a measure of efficiency and effectiveness. Inputs include:

- financial resources
- human resources<sup>24</sup>
- materials
- designs and plans
- project management
- local community-based structures (institutional processes).
- (iii) Activities

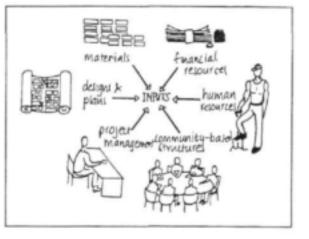
Activities are actions that use project inputs to achieve project results or outputs. These can be divided into a number of categories, including:

- project planning and preparation<sup>25</sup>
- institutional development<sup>26</sup>
- construction<sup>27</sup>
- operation and maintenance<sup>28</sup>
- project administration.<sup>29</sup>

(iv) Results (outputs)

Outputs of projects are often experienced as the physical results, the services provided and the institutional development that is achieved. Examples of results may include:

<sup>29</sup> These include the allocation of financial, human and physical resources to meet delivery and planning requirements.



#### Project inputs

Performance of trained and participating community members, committee members, maintenance teams, etc.

<sup>24</sup> Including professional, semi-skilled and unskilled labour

<sup>25</sup> Examples include drafting project documentation, defining the work programme, etc.

<sup>26</sup> Examples include in-job training courses, facilitation of committees, etc.

<sup>27</sup> Construction of facilities or infrastructure.

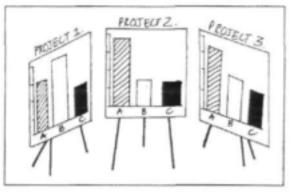
<sup>28</sup> Examples include controlling chlorine levels in water supply, repairing hand pumps, etc.

- new or improved facilities<sup>30</sup>
- better financial management<sup>31</sup>
- enhanced education<sup>32</sup>
- institutional development.<sup>33</sup>

#### (c) Develop an evaluation framework

After completing the evaluation and monitoring planning process, an evaluation framework should be determined.

During any evaluation process, a large number of parameters can be measured, with as many factors influencing these measurements. Unless set out in a logical framework,



Evaluation framework

the evaluation process can be extremely complex and daunting.

The Logical Evaluation Framework (LEF) indicates the reasons why the project is undertaken, what the project is to achieve and what the expected impact is. The evaluation framework provides the structure in terms of which monitoring can take place.

There are several advantages in using the LEF, some of which are listed below. The LEF:

- Interprets all evaluation elements within a systematic framework.
- Indicates the levels of project objectives and the evaluation process to assess fulfilment of these objectives.
- Provides a framework within which to evaluate efficiency, effectiveness and impact.
- Facilitates the comparison of a number of different projects.

#### (d) Identify evaluation elements (Key Performance Indicators (KPIs))

The means of measurement must be determined, and can take the form of Key Performance Indicators (KPIs)

The Logical Evaluation Framework indicators are dependent variables that indicate the measure of success in achieving the project goals, objectives and results. Any such indicators must be:

objective<sup>34</sup>

<sup>30</sup> In terms of the number of households serviced, number of taps, pipes, etc.

<sup>31</sup> Accounting and management systems installed.

<sup>32</sup> Appropriate education and training programmes established and implemented.

<sup>33</sup> Water and sanitation committees formed, development forums constituted.

- accurate
- quantifiable, and
- replicable<sup>35</sup>

The indicators must relate to the objectives, the efficiency, effectiveness and impact of the project processes.

While some key performance indicators can be used in almost any project or process, there is no standard set of indicators nor a standardised measurement criterion. Language, culture and customs will have an obvious impact on the phrasing and understanding of indicators in different socio-economic circumstances.

KPIs should ideally be:

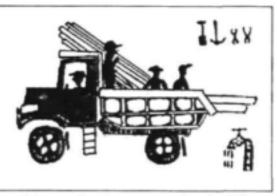
- relevant to the project and associated processes<sup>36</sup>
- able to accommodate project changes
- cost-effective<sup>37</sup>
- focused.<sup>38</sup> and
- timely.

Examples of KPIs can be:

- Economic, e.g.:
  - Time savings in collecting water.
  - Increased agricultural production.
  - Job creation.
  - ➔ Increased income levels.
- Social, e.g.:
  - Creation of recreation facilities.
  - → Empowerment of committees.
  - Empowerment of women.
  - → Increased self-esteem.



- 35 Replicable implies that the process should be capable of producing the same results, though not necessarily the same products.
- 36 It should actually measure what it is supposed to measure.
- 37 The results should be worth the resources invested.
- 38 KPIs should be used for their specific purpose. KPIs for effectiveness can not be used to measure impact, and vice versa.



Job creation is an example of a KPI

- → More effective community leadership.
- Health, e.g.:
  - → Reduction in measurable diseases.
  - Improvements in nutrition.
  - → Lower levels of contamination.
  - Latrine usage and hygienic conditions.
  - → Mortality rates.
  - → Anthropometric analysis.<sup>39</sup>
- Community, e.g.:
  - → Increased self-help ability.
  - Increased participation in development management.
  - Increased mobilisation.
  - Better participation.
- Environmental, e.g.:
  - Improved water quality.
  - Improved environmental awareness.
  - → Better resource utilisation.
  - → Aesthetic quality.

## (e) Ongoing monitoring and evaluation during implementation

It is important to evaluate the efficiency, effectiveness and impact in parallel with the implementation process, and with each other.

Efficiency and effectiveness evaluations are distinctly different, although they may sometimes overlap. Efficiency and effectiveness evaluations are carried out during the project process. These types of evaluation are discussed below:

- Project Efficiency Evaluation
  - Project efficiency evaluation is concerned with how results are obtained.
  - The number and quality of results are compared to the resources used.
  - The central concern of an efficiency evaluation is to determine how well the process and resources have been used and managed.



Better resource utilisation

39

Anthropometric analysis measures and evaluates different weight, age and height ratios to determine general levels of nutrition and malnutrition.

- Data for efficiency evaluations are usually taken from project reports and then verified in the field.
- Project Effectiveness Evaluation
  - Project effectiveness evaluation is concerned with the achievement of specific purposes.
  - It often indicates whether the facilities are used fully and are working well.
  - Information for the effectiveness evaluation must be obtained from the project team, recipient communities, and observation of the physical installations.
  - The evaluation team often uses questionnaires, structured discussions and observation techniques.

#### (f) Ongoing monitoring and evaluation during operations

The operation and maintenance of project facilities and processes must be monitored on an ongoing basis. Regular inspections and audits should be undertaken to determine efficiency and effectiveness.

#### (g) Project impact evaluation

Project impact evaluation takes place on completing the implementation process, or after a period of operation. The process measures the effectiveness, as well as the impact of specific actions. In this process, the project results are compared to the planned outputs.

Impact evaluation indicates the effect that the project has had on the participant communities. Impacts can be positive and/or negative, foreseen or unforeseen. It aims to answer questions about



What was the impact on the community?

whether the project brought about the intended effects, and if not, why not.

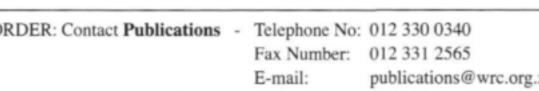
The information needs for the impact evaluation are determined through observation, structured conversation, household surveys and laboratory analysis.

## (h) Post-implementation evaluation

After the project is completed, an evaluation report is drawn up. This evaluates the impact of the project on the participants, the environment as well as their socio-economic circumstances.

The impact analysis takes place as indicated above.

TO ORDER: Contact Publications	-	Telephone No:	012 330 0340
		Fax Number:	012 331 2565
		E-mail:	publications@wrc.org.za



Web: http://www.wrc.org.za

Water Research Commission

Private Bag X03, Gezina, 0031, South Africa Tel: +27 12 330 0340, Fax: +27 12 331 2565

