

## **II. Case Studies, Exercises and PLA Resources**

**CASE STUDY: The Participatory Programme Development Process**

In the late 1980s, a combined team of officers from Kenya's National Environment Secretariat (NES) and Clark University (Massachusetts, USA), with assistance from technical officers from Kangundo Division, Machakos District, conducted a participatory rural appraisal (PRA) workshop in Mbusyani Sublocation.

The NES team that carried out the pilot PRA workshop consisted of a social scientist with extensive agricultural experience (the team leader), a biologist, another social scientist, an environmental information specialist, and a village health worker and nutritionist. The team worked closely with extension officers for technical assistance, particularly in regard to water resources and conservation. The team also drew heavily on the energy and assistance of local leaders in Mbusyani, including formal leaders such as the assistant chief, as well as informal leaders, such as heads of women's groups.

The Mbusyani community invited the NES and Clark University to conduct a PRA workshop in their sublocation, because it had been very impressed with a community-based natural resources project that had been implemented in a neighbouring sublocation. Therefore, the NES went to Mbusyani because the local leaders had requested it.

The PRA site, Mbusyani, was a sublocation consisting of eight villages in Kenya's semi-arid zone, located ninety kilometres east of Nairobi in Kakuyuni Location, Kangundo Division, Machakos District. The terrain was hilly and the climate dry. The population in 1990 was estimated to be 8,000. The residents of Mbusyani were Akamba, a group of agro-pastoralists who had lived in Machakos since the seventeenth century.

Due to increasing pressures on the land in neighbouring regions, many people had moved into Mbusyani in the years preceding the PRA workshop, occupying land that had previously been used for rotational grazing. Most of the people derived their livelihoods from subsistence agriculture and cash remittances, although a small group of farmers sold coffee as their primary source of income.

The extension of farming and the subsequent constriction of grazing lands were two forces that had led to accelerated resource degradation, including loss of ground cover, soil erosion, and reduced water availability in the region in general, and in Mbusyani in particular. These forces, coupled with erosive soils, steep hill slopes, and torrential

seasonal rainfall had created a situation in which the community's natural resources were vulnerable. There were many dimensions to this predicament, including health problems such as bilharzia, food storage needs, access to reliable water sources, high rates of soil loss, and declining water supplies.

The NES made a preliminary visit in late May, and spent a half day meeting with leaders. After extended discussions among NES and Mbusyani leaders, all agreed to go ahead with a PRA workshop. Members of the village leadership understood what would be expected of them, especially in terms of organizing groups of leaders and residents for discussions with the PRA team. The NES pledged that it would assist in gathering data and organizing the data into a format from which village groups could rank priorities, as well as help to prepare a village resource management plan.

It was stressed that responsibility for implementation of the plan would be placed primarily with community leaders, with assistance coming from technical extension officers, the NES, and donor or NGO groups that might be identified.

In addition to collecting routine secondary information, the team gathered four types of primary data: spatial data, time-related information, data on institutions and social structure, and technical information. All these data turned out to be important in carrying out the PRA workshop and in eventually formulating the resources management plan. The activities that were conducted in order to collect these data included:

- Village sketch map
- Village transect
- Farm sketch (a drawing of farm layout and use)
- Village time line from 1836 to the present
- Trend lines for land productivity and rainfall
- Seasonal calendar
- Semi-structured interviews
- Venn diagrams of village institutions

The total time for the PRA team and community group for the data-gathering exercise was six days.

Once the data were collected, the PRA team spent a day meeting by themselves to organise the information. They made large charts and tables of trend lines, institutional arrangements, the transect, and so on, and then compiled a list of all the problems mentioned in any of the data-collection exercises.

The team then split up into pairs. Each took a particular problem (e.g., water) and in each instance summarized the problem, in some cases by subdividing by ecological zone; matched potential solutions to each problem; and listed the solutions for each problem on large pieces of paper, big enough to be seen in a large meeting.

The next day, villagers met to rank their problems. The meeting was held in a primary school classroom near the sublocation's market. Data gathered in the preceding exercises were displayed in the form of charts and graphs on the walls, including the trend lines, transect, sketch map, and others. The charts containing the lists of problems and solutions were placed at the front of the room.

The NES team leader chaired the meeting. Participants included the six team members from NES; nine technical officers representing soil, water, forestry, agriculture, village health care, community development, and livestock; a number of village elders and community leaders; the assistant chief for the sublocation; and leaders from eight women's groups.

The villagers ranked the problems by voting. The outcome in Mbusyani was an ordering of problems that villagers and technical officers agreed were the most severe and in greatest need of attention. The task was essentially completed by lunch time. While there were several high-priority problems that were mentioned a few times, the overwhelming and most frequently cited problem was water.

In the afternoon, the same group reassembled and discussed possible solutions; in this case, to the water problem. The PRA team had previously listed recommended solutions, ranging from boreholes to rehabilitating rock springs. The NES/PRA team leader chaired the meeting.

An Options Assessment Chart was used to organise and systematize the ranking. The team leader used the criteria of stability, equity, productivity, sustainability, and feasibility to help the group place weighted values on each possible solution and eventually to arrive at a unanimously agreed-upon set of actions, which included developing a new well, rehabilitating two small reservoirs and water catchments, terracing a badly eroded hill slope, and continuing with efforts of reforestation. Technical officers played an important role in this discussion so that solutions would be feasible in technical, economic, ecological, and social terms. There was some initial difficulty using the Options Assessment Chart, mostly because the terms (e.g., sustainability) did not translate well into Kikamba, the local language. However, the team worked closely with the village leaders and eventually a ranking emerged.

According to the original schedule, the group was to reassemble the following morning and create a village resource management plan. However, several leaders and especially the water engineer felt there was insufficient technical information to develop a comprehensive plan. The water engineer returned the following week and, joined by the entire PRA team and the Mbusyani Resource Management Committee, visited all potential water points in the sublocation in order to gather more information about the technical feasibility of the proposed solutions.

Two weeks later, the entire sublocation committee again assembled and, using data that the water engineer's survey had developed, organised a comprehensive water and natural resources management plan for Mbusyani. The plan indicated what tasks were to be carried out, what materials were needed to do the work, who would do it, and what--if any--external assistance was needed.

There was considerable commitment from all parties involved in the action plan, and the activities were implemented, although not always on schedule. The assistant chief was the prime mover, with major cooperation and support from many different constituencies in the sublocation.

The first task, a well at Kithini Springs, went quickly, with labour and local materials from the community, and cement rings and skilled labour from the Ministry of Water Development. No external funds were required.

The second task, rehabilitation of a reservoir at Mbusyani Dam, was more ambitious. Women's groups supplied labour and dug dozens of fence post holes to erect a sturdy fence to protect the watershed area. The groups also dug several metres of bench terraces and planted many trees to curb erosion and siltation in the reservoir. A local NGO heard of the project and agreed to provide fence posts, wire fencing, and tree seedlings for Mbusyani Dam. The NGO also wrote a successful proposal to a UN agency, using data developed during the PRA exercise, and noting how the work on the dam was part of the larger village plan to bring sustained production to its natural resources. After a few years of hard work, the dam was successfully rehabilitated.

A third element of implementation was developing soil control on a badly eroded hill slope. The Ministry of Agriculture donated tools to carry out this work, and an additional allotment of tools was obtained through a private donor. Women's groups provided many hours of volunteer labour for the effort and planted hundreds of trees along the new terraces.

Additional projects that were implemented by the community as a result of the PRA included the creation of a new tree nursery, the terracing of several hill slopes by women's groups and the purchase of a maize mill by several women's groups.

### Questions

1. Which steps of the PPD process were illustrated in this case study?
2. Which steps were missing?

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*Source:* Adapted from Kabutha, C. et al. 1993. Participatory Rural Appraisal: A Case Study from Kenya. In Kumar, K., ed. *Rapid Appraisal Methods*. Washington, DC: The World Bank.

## Challenging Field Situations

*Together with your team members, look at the scenario which was assigned to your group. Discuss all of the questions in the scenario until you reach a consensus. Make a note of any questions that you can't reach a consensus for, so that you can share them tomorrow with the rest of the participants.*

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### SCENARIO 1:

*What would you do if.....*

1. In a small group interview the informants are very silent, unresponsive and reluctant to answer your questions?
2. A member of your team is late again in the morning and the other team members are irritated?
3. A team member is over-enthusiastic and keeps interrupting the community members when they are speaking?
4. On the final day of the field work, important new information arises that contradicts an earlier key finding?
5. In the review meeting with community members, the local leader tries to control the choice of project priorities?

**SCENARIO 2:**

*What would you do if.....*

1. In front of a group of community members, one member of your team contradicts what one of the community members has just said?
  2. The majority of the people in the village in which you have been working identify income generation as more important than the health issues that you would like to address?
  3. You realize by the end of the second day that very few women have been interviewed, even though they seemed to be very involved in the issues you are studying?
  4. One of your team members wants to leave before you are able to finish your team work?
  5. A very senior member of your organisation wants to observe some of your field work, but knows little about how to be a "sensitive" observer, and you are afraid she will lecture the community members?
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**SCENARIO 3:**

*What would you do if.....*

1. After using participatory techniques well in training, your team cannot seem to get the hang of using them in the field?
2. The information collected from women on the importance of different diseases contradicts the information collected from men?
3. One of the team members accuses another one of making a rude remark and refuses to work with that person?
4. One team member is not participating in discussions at the end of the day and doesn't help plan for the following day?
5. An official, who has accompanied your team to the field, misrepresents the purpose of your work to the community?

#### **SCENARIO 4:**

*What would you do if...*

1. You have asked a group of women to create a map of their village, but they do not seem to know where to start?
2. One team member is taking a condescending and patronizing attitude towards village women and tends to lecture instead of listening?
3. During a ranking exercise, you notice that only the most educated and well-dressed men are dominating the discussion?
4. The information you collected during your secondary data review contradicts with what you are learning from community members?
5. One of your team members prefers to work alone with community members and is always late getting back to your group meetings?

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Source: Pretty, J et al. 1995. *Participatory Learning & Action: A Trainer's Guide*. London: International Institute for Environment and Development.

*PM&E Exercise*  
*The Rakai AIDS Information Network (RAIN)*

**Background**

The Rakai AIDS Information Network (RAIN) is a Ugandan non-governmental organisation whose goal is to reduce the spread of HIV infection in the Rakai District. It is run and managed by health care providers, health educators, counsellors and trainers from Rakai District. The organisation's strategy is to provide integrated AIDS prevention interventions within a community-based health care framework. Its programmes include community-based health care (CBHC) which trains village health committees, community health workers, and traditional birth attendants. RAIN also runs a peer education programme for village youth and provides HIV counselling, testing and medical treatment through eight sub-clinics.

**The PLA Workshop**

Due to the high emphasis that it places on community participation, RAIN decided to facilitate PLA workshops in two rural areas with high HIV prevalence. The goal of the workshops was to help community members assess factors that put them at risk of HIV infection. A large group of people representing several different villages participated.

**Identifying Risk Factors**

The first PLA activity conducted was **mapping**. The participants divided themselves by village, and each group drew a map of its village using locally-available materials (e.g, ash, beans, maize and stones). The participants first drew physical landmarks, such as hills, swamps and roads, and then added social markers, such as homes, churches, schools and farms. For each house, participants identified the number, age and sex of the inhabitants, and the number of deaths that had occurred during the previous year. The PLA facilitators asked the community members how many of the deaths were due to AIDS, but the villagers did not want to reveal this information due to the stigma associated with the disease.

The village maps were transferred to paper, and then presented to the group at large. By identifying the number of deaths in the past twelve months, participants realized that there had been at least one death in each home. Although the causes of death were not identified, participants knew that many were caused by AIDS. By seeing the number of

deaths, participants realized how widespread AIDS was in their community and the implications that this had for the community's survival.

Next, participants identified specific locations where they might be at risk of HIV infection. For example, they identified bars where men took casual sex partners. They also identified isolated areas, such as wells and wooded lots, where women were at risk of being raped.

After mapping, a group of community members created a **seasonal calendar** on the ground in order to examine the patterns of various diseases. For each of the twelve months of the year, participants identified the prevalence of malaria and diarrhoea. After they had finished and transferred the map to paper, some of the more educated participants related the occurrence of the two diseases to the presence of sunshine or rain.

Many of the participants were surprised by this relationship, because they had previously associated malaria and diarrhoea with eating certain foods that were present at specific times of the year (e.g., maize and mangos). The PLA facilitator then asked the participants whether HIV had a transmission season. Surprisingly, the villagers said that yes, HIV transmission was highest during the harvest season (June, July and August), when men had more money. Because the men had more money, they could drink more alcohol and pay for casual sex. In addition to the harvest season, the villagers pointed out that HIV transmission was higher in March and December, when men sold their stored crops to prepare for the Christmas and Easter holidays.

The final exercise involved the creation of **twenty-four hour activity clocks** (daily schedules), to allow the villagers to identify the differences in the amount of work performed by men and women and to identify leisure time that might lead to risky behaviours. The men and women conducted the exercise separately, and members of each group discussed what they did for each hour of the day. The exercise revealed that women engaged in many more activities than men during the day, and men had more leisure time than women. The exercise also revealed that women were frequently asked by their husbands to have sex as much as three times a day, and that the women were often too tired to comply. Because of their extra leisure time and their tired wives, many men took on additional sex partners. Both sexes realized that this behaviour was putting men and their wives at risk for contracting HIV.

### Proposed Solutions

After each activity, participants were asked to think of solutions to the problems that were identified.

After the mapping activity, participants realized that men were at risk of contracting HIV at bars (where they would pick up casual sex partners) and women were at risk of being raped in certain isolated places. As solutions, the men proposed that all drinking be done during the day and that they come home early in the evening. To protect themselves from attack, women decided to go in groups to collect firewood and water, and some of the men offered to accompany their wives.

When it became evident that HIV transmission was greatest at the times of year when men had the most money, the RAIN staff decided to increase their condom distribution efforts and health education activities during these months. The village women also realized that they needed to protect themselves more during the harvest and that they needed to encourage their husbands to take extra precautions during this time.

As a result of the creation of the twenty-four hour activity clocks, the villagers proposed that husbands and wives decide together how to better share the workload. This would make the women less tired and keep the men more occupied.

### **Questions**

1. If you were a RAIN staff member, what system would you suggest to the villagers for monitoring the implementation of their proposed solutions? How could they determine whether they were successfully protecting themselves from HIV?
2. Come up with one example for each of the following: a PROCESS/OUTPUT INDICATOR, an OUTCOME INDICATOR, and an IMPACT INDICATOR.
3. For each indicator, identify a PLA technique that the villagers could use to measure it.

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Source: Adapted from Ssembatya, J. et al. 1995. Using Participatory Rural Appraisal to Assess Community HIV Risk Factors: Experiences from Rural Uganda. *PLA Notes*. No. 23. International Institute for Environment and Development.

## PLA Resources

### PLA Networks

Following is a list of PLA networks in Eastern and Southern Africa. The members of these networks typically include researchers, practitioners and policy makers who are committed to the use of participatory methodologies. The networks provide a forum for information sharing, they keep rosters of PLA projects in their countries, and they are a valuable resource for contacting other PLA supporters in your country. Some of them also provide training.

#### ***BOTSWANA***

Botswana Orientation Centre  
P.O. Box 1482  
Gaborone  
Tel/Fax: (267)372964

#### ***LESOTHO***

Participatory Development Forum  
Private Bag A 67  
Maseru 100  
Tel: (266)316752 Fax: (266)310524

#### ***ERITREA***

Warn-Torn Societies Project  
P.O. Box 5826  
Asmara  
Tel: (291)1-114201  
Fax: (291)1-126764

#### ***ETHIOPIA***

Society for Participatory Development  
in Ethiopia  
P.O. Box 8632  
Addis Ababa  
Tel: (251)1-512879 Fax: (251)1 513851

#### ***KENYA***

PAMFORK  
c/o WaterAid  
P.O. Box 58684  
Nairobi  
Tel: (254)2-447382  
Fax: (254)2-442136  
e-mail: pamfork@nbnet.co.ke

#### ***MALAWI***

Participatory Development Methods Network  
P.O. Box 1429  
Blantyre  
Tel:(265)645895  
Fax:(265)643765

#### ***SOUTH AFRICA***

MIDNET PRA Interest Group  
P.O. Box 101045  
Scottsville 3209  
e-mail: midnet@wn.apc.org  
Tel/Fax: (27)331 943584

Western Cape Interest Group  
Women on Farms  
P.O. Box 18671  
Wynberg 7824  
Tel: (27)21-887 2960 Fax:(27)21-702 2502

**SUDAN**

NEF Sudan  
P.O. Box 48  
Khartoum  
(249)11-221166  
(249)11-70898

**UGANDA**

Uganda Participatory Development  
P.O. Box 3791  
Kampala  
Tel: (256)41 542995  
Fax: (256)41 267669  
e-mail: [cdrn@imul.com](mailto:cdrn@imul.com)

**ZAMBIA**

CARE  
Monitoring, Research & Evaluation Unit  
P.O. Box 36238  
Lusaka  
Tel: (260)1-220134  
Fax: (260)1-227108  
e-mail: [merucare@zamnet.zm](mailto:merucare@zamnet.zm)

**TANZANIA**

Participatory Resource Network  
P.O. Box 1181  
Morogoro  
Tel: (255)56 3651  
Fax: (255)56 4723

Network of PRA and other Participatory  
Development Resource People  
P.O. Box 31618  
Nakivubo, Kampala  
Tel/Fax: (256)42 21186  
e-mail: [elite@starcom.co.ug](mailto:elite@starcom.co.ug)

**ZIMBABWE**

Zimbabwe PRA Network  
c/o SAFIRE  
P.O. Box BE 398  
Belvedere, Harare  
Tel: (263)4 795461  
Fax: (263)4 790470  
e-mail: [safire@mango.zw](mailto:safire@mango.zw)

**Other Organisations**

ARUNET (African Research Utilization Network)  
P.O. Box 43864  
Nairobi, Kenya  
Tel: (254)2-724628 or 724667  
Fax: (254)2-718406 or 728492

*ARUNET is a regional network founded to bridge the gap between participatory research and the use of research results for project implementation. It is active in Kenya, Tanzania, Uganda, Zambia and Zimbabwe. It offers training courses, small grants for experimentation in participatory methodologies and it publishes a quarterly newsletter (free of charge).*

Institute of Development Studies (IDS)  
University of Sussex  
Brighton, BN1 9RE  
UNITED KINGDOM  
Tel: (44)1273 606261  
Fax: (44)1273 691647  
e-mail: [qdf9@sussex.ac.uk](mailto:qdf9@sussex.ac.uk)  
Worldwide web site: <http://www.ids.ac.uk/ids>

*IDS has a large collection of articles about PLA and different "topic packs" (health, refugees, behaviour and attitudes, overview of PLA methods, gender, etc.). It also offers training courses and information about PLA networks around the world.*

International Institute for Environment and Development (IIED)  
Sustainable Agriculture Programme  
3 Endsleigh Street  
London WC1H 0DD  
UNITED KINGDOM  
Tel: (44)171 388 2117  
Fax: (44)171 388 2826

*IIED publishes **PLA Notes**, an informal report of PLA experiences around the world which is published three times per year. It is free to organisations in developing countries. IIED also distributes other books and training manuals about PLA.*

**For Internet Users:**

The U.S. Agency for International Development (USAID) administers a **listserv** called the Global Participation Network, which allows professionals around the world to share information about participatory development.

To subscribe, send a message to: [listproc@info.usaid.gov](mailto:listproc@info.usaid.gov)

In the body of the message, type: `subscribe gp-net <YOUR NAME>`

After subscribing, you will automatically be sent information about the listserv through the internet.

## Books and Manuals

- *Facilitating the Introduction of a Participatory and Integrated Development Approach (PIDA) in Kilifi District, Kenya. Volume I: Recommendations for Institutionalizing PIDA Based on Four Pilot Projects. and Volume II: From Concept to Action. A Manual for Trainers and Users of PIDA.* Bernd Schubert et al. 1994.

### Contact Information:

Humboldt-Universität zu Berlin  
Centre for Advanced Training in Agricultural Development  
Podbielskiallee 66  
14195 Berlin, Germany  
Tel: (49)30-31471334 Fax: (49)30-31471409

Kilifi Water and Sanitation Project  
P.O. Box 666  
Kilifi, Kenya  
Tel: (254)125-22383 Fax: (254)125-22285

- *GROUNDWORK: Participatory Research for Girls' Education.* Eileen Kane. 1996.

### Contact Information:

The World Bank, Economic Development Institute  
Learning Resources Centre, Room —P1-010  
1818 H Street NW  
Washington, DC 20433 USA  
Tel: (202) 473-6351  
Fax: (202)676-1184

- *PRA Field Handbook for Participatory Rural Appraisal Practitioners*  
The PRA Programme, Egerton University, Njoro, Kenya

### Contact Information:

PRA Programme  
Egerton University  
P.O. Box 536  
Njoro - Kenya  
Fax: 254-37-61527 (Specify PRA Programme)

- *Participatory Learning & Action: A Trainer's Guide.* Jules N. Pretty, Irene Guijt, John Thompson and Ian Scoones. 1995.

Contact Information:

International Institute for Environment and Development  
3 Endsleigh Street  
London WC1H 0DD United Kingdom  
Tel: (44 171) 388-2117  
Fax: (44 171) 388-2826  
E-mail: mailbox@iied.org  
Internet: <http://www.iied.org> (Publications)

- *Participatory Research in Health: Issues and Experiences.* Korrie de Koning and Marion Martin, eds.

Contact Information:

Zed Books  
7 Cynthia Street  
London N1 9JF United Kingdom  
Tel: (44 171) 837- 4014  
Fax: (44 171) 833-3960  
E-mail: sales@zedbooks.demon.co.uk  
Internet: <http://www.zedbooks.demon.co.uk>  
When ordering, please include ISBN number: ISBN 1 85649 351 2 Hb

- *REFLECT Mother Manual: Regenerated Freirean Literacy Through Empowering Community Techniques.* David Archer and Sara Cottingham. 1996.

Contact Information:

ACTIONAID  
Chataway House  
Leach Road  
Chard, Somerset TA20 1FR United Kingdom  
Tel: (44)1460-62972 Fax: (44)1460-67191  
E-mail: mail@actionaid.org.uk  
Internet: <http://carryon.oneworld.org/actionaid/pubs/index.html>

Cost: £10.00

- *Tools for Community Participation: A Manual for Training Trainers in Participatory Techniques.* Lyra Srivivisan, PROWESS/UNDP. 1990.

Contact Information:

PACT, Inc.  
777 UN Plaza  
New York, New York 10017  
Tel: (212) 697-6222

- *Toward Participatory Research.* World Bank Technical Paper 307. Deepa Narayan. 1996.

Contact Information:

The World Bank  
P.O. Box 960  
Herndon, VA 20172-0960 USA  
Tel: (703) 661-1580 Fax: (703) 661-1501  
E-mail: books@worldbank.org  
Internet: <http://www.worldbank.org> and look in the

Cost: US\$16.95

- *Whose Reality Counts? Putting the First Last.* Robert Chambers. 1997.

Contact Information:

Publications Office  
Institute of Development Studies (IDS)  
University of Sussex  
Brighton BN1 9RE United Kingdom  
Tel: (44 1273) 678269 Fax: (44 1273) 621202/691647  
E-mail: ids.books@sussex.ac.uk  
Internet: <http://www.ids.susx.ac.uk> (Publications Index)

Cost: £3.95

### **III. Field Notes**

## First Impressions of Community

Name of community:

Sponsoring agency and contact person:

Description of the community:

People met during the initial visit:

**Initial impressions of the community and what problems might be important:**

## Field Work: Day 1

**Partner:**

List the activities you conducted and specify the community groups that you worked with:

**Results of the activities:**

**Evening Session Notes:**

## Field Work: Day 2

**Partner:**

List the activities you conducted and specify the community groups that you worked with:

**Results of the activities:**

**Evening Session Notes:**

## Field Work: Day 3

**Partner:**

List the activities you conducted and specify the community groups that you worked with:

**Results of the activities:**

**Evening Session Notes:**

ADDITIONAL NOTES