

# SESSION 1

## Course Overview and Icebreaker

### Objectives

By the end of this session, participants will...

- ✓...*appreciate the variety of work done by their fellow participants*
- ✓...*have a better understanding of the way they currently develop programmes*
- ✓...*understand the course objectives and agenda*
- ✓...*reconcile their personal expectations with the course objectives*

### Materials

Participant handbooks  
Agenda  
Introductory case studies  
Flip chart and markers



## ACTIVITIES

### #1 Welcome, Introduction and Icebreaker

Welcome participants to the course, introduce the trainers, and give a brief overview of participatory programme development (PPD). For an icebreaker, allow the participants five minutes to find an object in the training room that symbolizes their work in some way (encourage them to be creative). Ask each participant to introduce themselves and explain the symbol that they chose. Briefly summarize some of the similarities in the symbols that emerged.

### #2 Introductory Case Study

Distribute the introductory case study to participants. Ask them to write their birth date, which will be used instead of their name to identify them on the form, so they can remain anonymous. Explain that they will be given their answers back at the end of the course.

### #3 Review of Workshop Agenda, Objectives, and Logistics

Distribute participant handbooks and ask the participants to turn to the page listing the course objectives. Ask for a volunteer to read the objectives out loud, and encourage discussion to see if participants have other objectives to add. Distribute the workshop agenda and discuss any logistical issues.

### #4 Participant Expectations and Group Norms

Ask participants to divide into groups of three people. Ask them to discuss within their groups their expectations for the workshop. Reunite the groups and ask for a sample of responses. Address any differences between the participants' expectations and the course objectives. Also ask participants to develop a list of group norms and post the norms in a visible place.



## TRAINER'S NOTES

**CONTEXT:** *This first session is designed to introduce participants to each other and to the course. In addition to receiving the workshop agenda and objectives, the participants are given the opportunity to express their own expectations. The introductory case study serves two purposes: 1) It provides the trainers with a baseline for assessing the success of the training; and 2) It orients the participants to the types of things that they will be learning in the course.*

### #1 Welcome, Introduction and Icebreaker

#### Welcome and Introduction

The first part of this session is very important because it sets the tone for the entire course. Be sure to emphasize the participatory nature of the course, and reassure participants that they are going to have fun and learn a lot through their experiences.

Briefly introduce Participatory Program Development (PPD) as the process of working together with communities to help them identify their own problems, come up with solutions, develop action plans and implement them. Explain that the participants will be gaining new participatory skills through “hands-on” classroom practice and field practice. They will also learn about the theory and history of PPD and Participatory Learning and Action. While course focuses mainly on PPD in the context of health programmes, it can be applied to any sector.

#### Icebreaker

The goal of this exercise is to get participants to think creatively about the kind of work that they do and the skills that they are required to use on a daily basis. Participants can find a wide variety of objects to represent their work, either literally or figuratively. Participants may even choose an object which is outside of the training room but cannot physically be brought inside (e.g., a water spigot). Encourage them to be creative!

## **#2     Introductory Case Study**

A sample of an introductory case study appears in the Annex, and it can be adapted according to the trainer's needs. This case study is designed to assess participants' knowledge of participatory learning & action principles and techniques. To remain anonymous, participants can use their birth date instead of their names to identify their forms.

Explain to the participants that the case study is not a test, but simply an exercise to introduce them to the concepts that they will learn in the course. Explain that their responses will be redistributed to them at the end of the course, and that they will be given the opportunity to change their answers. These changes will help the trainers to evaluate the participants' grasp of the course content.

## **#3     Review of Workshop Agenda, Objectives, and Logistics**

### Agenda

There is no fixed agenda for this training course, because the exact agenda needs to be created by the trainers after arranging the field experience with the sponsoring agency. The trainers will also have to decide how much time to spend on each session after reviewing the results of their training needs assessment. The amount of experience that participants have had with PLA will determine how much time needs to be devoted to each topic.

### Workshop Objectives

Before the session, clearly write the workshop objectives on flip chart paper. If possible, leave the objectives posted for the entire course. Explain to the participants that you, the trainer, are accountable to them for making sure that all of the objectives are accomplished, and invite them to suggest additional objectives.

### Logistics

It is hard for participants to concentrate on the content of a training course if they are worried about logistical matters. Therefore, it is beneficial to address these issues right away. Topics to cover include per diems, meals, accommodations, changing money (for international participants), where to buy food and other necessities, transportation around the city, where to obtain medical help and how to confirm plane tickets, among other topics.

#### **#4 Participant Expectations and Group Norms**

##### Participant Expectations

If a thorough needs assessment has been conducted prior to the training, the participants' expectations should not differ drastically from the course objectives. Although the trainers can make *minor* adjustments to the schedule and activities to meet the participants' needs, no *major* changes should need to be made at this point. The trainers should make sure that they correct any misperceptions about the course before proceeding.

##### Group Norms

Ask participants to create a list of norms that they would like everyone to follow in order to make the training as enjoyable and productive as possible. It is important that these norms come from the participants, so that they will be willing to adhere to them. Examples include not smoking in the classroom, speaking one at a time, being on time for the sessions and respecting others' opinions.

## SESSION 2

### Introduction to Participatory Programme Development

#### Objectives

By the end of this session, participants will...

- ✓...Reach a consensus on the meaning of "participation"
- ✓...Be able to define Participatory Programme Development (PPD) and the word "community"
- ✓...Understand the basic concepts of PPD
- ✓...Understand the history and foundations of participatory learning and action

#### Materials

Introductory video  
Flip chart and markers



## ACTIVITIES

### #1 Visualizing Participation

Ask participants to divide into groups of three to five people. Invite each group to draw a picture of their idea of "participation" using flip chart paper and markers. When all the groups have finished, have each group present its picture and decide where their idea of participation would fall on the *participatory continuum*.

### #2 Participatory Programme Development: Definition and Key Players

Ask participants to brainstorm about the definition of participatory programme development (PPD), based on what they learned in the first activity. Write suggestions on a flip chart and also refer participants to the definition in their handbooks. Have participants reach a consensus on a definition that they would like to use during this course.

Explain the difference between focussed and unfocussed PPD, and ask participants to brainstorm about the advantages and disadvantages of each. Next, tell participants that there are two key players in PPD: the community and the PLA Team. Ask participants to brainstorm about the definition of "community" and help them to reach a consensus. Describe the composition of the PLA Team, and ask participants if there is anyone whom they would add or remove from the team.

### #3 Introductory Video

Show participants a brief video to provide an introduction to the basic concepts of PPD. (e.g., The beginning section of *Who Holds the Stick? PRA Attitudes and Behaviour*)

#### #4 History and Foundations of Participatory Learning and Action

Briefly present the history and foundations of participatory learning and action (PLA) and draw “The Foundations of PLA” (triangle) on a flip chart. Ask participants to divide into 3 groups, and assign one foundation to each group. Based on what they saw in the video, have each group brainstorm about what goes into each foundation. Bring the groups back together to share their results.



### TRAINER'S NOTES

**CONTEXT:** *The main goal of this session is for participants to come to a consensus on two of the main concepts that are the basis of the training: participation and community. In addition, they learn about the history and theory of Participatory Learning and Action (PLA) and watch a video to illustrate these basic concepts. This session builds the foundation necessary for learning about the specific steps of the Participatory Programme Development Process and specific PLA techniques.*

#### #1 Visualizing Participation

Drawing their idea of participation encourages participants to be creative and to reflect on what “participation” really means to them. It is important that the exercise be used to develop a consensus on the definition of participation to be used during the course. It may be helpful to leave the participants’ drawings posted for the duration of the course as a reminder that they should try to encourage the full participation of all community members during the PLA process.

#### The Participatory Continuum<sup>1</sup>

Participation can take many forms within development programmes, and some types of participation are more “participatory” than others. A participatory continuum is shown on the following page, laying out different forms of participation, from the least

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<sup>1</sup>Adapted from Pretty (1995) in Cornwall, A. 1996. Towards Participatory Practice: Participatory Rural Appraisal (PRA) and the Participatory Process. de Koning, K. and M. Martin, eds. *Participatory Research in Health: Issues and Experiences*. London: Zed Books, p. 96.

participatory to the most participatory. Have participants refer to the continuum in their handbooks and decide which type of participation best matches their drawing.

When participants are finished, tell them that the goal of PPD is to enable communities to engage in *collective action*, which is the most participatory form of participation.

**THE PARTICIPATORY CONTINUUM**

<b><u>Mode of Participation</u></b>	<b><u>Involvement of Local People</u></b>	<b><u>Relationship of Research and Action to Local People</u></b>
Co-option	Token representatives are chosen, but have no real input or power.	ON
Compliance	Tasks are assigned with incentives; outsiders decide agenda and direct the process.	FOR
Consultation	Local opinions are asked; outsiders analyse and decide on a course of action.	FOR/ WITH
Cooperation	Local people work together with outsiders to determine priorities; responsibility remains with outsiders for directing the process.	WITH
Co-learning	Local people and outsiders share their knowledge to create new understanding and work together to form action plans, with outsider facilitation.	WITH/ BY
Collective action	Local people set their own agenda and mobilize to carry it out, in the absence of outside initiators and facilitators.	BY

## #2 Participatory Programme Development: Definition and Key Players

### Definition of Participatory Programme Development

***Participatory programme development (PPD) is the process of working in partnership with communities to develop feasible, desirable, and sustainable programmes.***

PPD uses an approach known as Participatory Learning and Action (PLA). PLA is a process that enables community members to 1) analyse their needs; 2) identify possible solutions to meet those needs; and 3) develop, implement, and evaluate a plan of action. The background and foundations of PLA are discussed in greater detail below.

### Focussed or Unfocussed PPD?

PPD can be either focussed on a specific sector or issue, or it can be “open”, meaning that the community is free to implement projects addressing any issue that it chooses. Many sponsoring agencies (SAs) are not able to do open PPD, however, because they receive money from donors to do work on specific issues. Although this situation may not be ideal, because it limits the community’s freedom to decide which issues to address, it is important to recognize this reality and work within it.

If the sponsoring agencies faces these types of constraints, they have one of two options:

- 1) They can be direct with the community before the PPD process begins, and tell them that it will focus on a specific sector or issue (e.g., health or education); or
- 2) They can conduct the PPD in an “open” fashion, and hope that the community identifies their issue as one of their priorities. If this does not happen, the SA should be willing to link the communities with other SAs who could help them address their priority issues.

### Definition of “Community”

Before learning the principles and techniques of PPD, it is essential for the participants and trainers to have a common definition of the word “community”, since the community participation is the heart of PPD. *Webster’s II New Riverside Dictionary* gives two definitions for the word “community”:

**A group of people residing in the same region and under the same government**

and

**A class or group with common interests**

In rural areas, the first definition generally applies. In urban areas, the first definition could also apply (e.g., in a neighbourhood), but there are also many other types of communities that are not dependent on geography to define them as a community. For example, urban residents may have little in common with their neighbours, but they may be linked to other urban dwellers through work, studies or common interests. Examples of urban communities include factory workers, commercial sex workers, members of social clubs, union members, university students and people affected by environmental problems.

Facilitating PLA with these “non-traditional” types of communities can pose special challenges, because the people may come together in one place only for a few hours each day (or even less frequently). Therefore, the scheduling of PLA activities may be more complex in urban areas than in rural areas. *Refer to the introduction of this training manual for other issues that need to be considered when adapting PLA to urban areas.*

### The PLA Team

An ideal PLA team is composed of six to ten people, although this number is not fixed, and the team may be larger or smaller. It is also multidisciplinary, which means that the team normally has a mix of different genders, disciplines and

career statuses. In addition, there are often representatives of different groups or organisations, including the following:

- ◆The agency sponsoring the PLA workshop
- ◆Other NGOs or development agencies that are working in sectors related to the PLA workshop (e.g., health, agriculture, education, environment)
- ◆Local government representatives (e.g., extension officers, members of district development committees)
- ◆Community members (community link persons)

Note that this team composition is not fixed; it is possible that not all of these groups will be represented, or that other groups not mentioned will be a part of the team. Every team will be different, depending on the community.

Each team member has a well-defined role<sup>2</sup>. One person takes on the role of team leader, and the others act as both facilitators and note takers. The PLA team often divides up into pairs or groups of three in order to work with different community groups simultaneously.

- ◆ The **leader** is in charge of making the initial contact with the community; serving as the primary link with village leaders; coordinating logistics of the field work; introducing the team to the community; supervising the work of other team members; ensuring that activities stay on schedule; moderating conflicts between team members; facilitating daily team meetings; overseeing the report writing and editing; distributing the final report; and making arrangements for follow-up after the workshop (by assuring that there are appropriate liaisons from the sponsoring agency). The leader may be either a staff member of the sponsoring agency or an external PLA consultant. He or she should have extensive PLA experience and should be charismatic, dynamic, organised, and a good communicator.

The trainers will take on many of the responsibilities of the team leader during this course, since the initial contacts and logistics will have to be taken care of before the course begins. Within each of the three participant PLA teams, however, one person should be the leader.

- ◆ The **note takers/recorders** are responsible for observing and recording the PLA activities. This includes both written notes and hand-drawn copies of maps and diagrams that community members create on the ground. In addition to writing down key remarks that are made during activities, the note taker also records who is talking and describes the group dynamics. The note taker should be observant, a good listener and familiar with the local language. The note taker should also be able to summarize information and present it in a clear, concise format.
- ◆ The **facilitators** conduct the PLA activities with the community members. They ensure that all members of the community are given the chance to participate, and they keep the different groups on task. They must have excellent interpersonal skills and a good sense of humour, and be flexible and patient.

NOTE: The note takers/recorders and facilitators often switch roles during the course of a PLA workshop. Participants should be encouraged to do this during the field work.

- ◆ Approximately two **community link persons** are identified by the PLA team to assist with the PLA workshop. These link persons serve as liaisons between the community and the team. In addition to helping with logistical arrangements, they

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<sup>2</sup>Schubert et al. 1994b. p. 19-24.

help to facilitate the PLA activities. They should be people who are respected, dynamic and willing to learn from their fellow community members. They should also have schedules permitting them to attend the entire PLA workshop.

### #3 Introductory Video

Any video that gives a brief overview of the PPD process can be shown. One example is the beginning section (first 8 minutes) of *Who Holds the Stick? PRA Attitudes & Behaviour*.

### #4 History and Foundations of Participatory Learning and Action

#### History of PLA

Participatory learning and action (PLA) is based on the assumption that community members are the best “experts” about their own health and social situations. The role of PLA facilitators is to help community members tap their own knowledge and resources and use them effectively. According to Robert Chambers of the Institute of Development Studies, PLA has its roots in a variety of participatory methodology approaches<sup>3</sup>:

- ◆ Activist participatory research
- ◆ Agrosystems analysis
- ◆ Applied anthropology
- ◆ Field research on farming systems
- ◆ Rapid rural appraisal (RRA)
- ◆ Participatory rural appraisal (PRA)

The principal pioneers of these techniques include...

- The Brazilian activist Paulo Freire;
- The University of Khon Kaen in Thailand;
- The International Institute for Environment and Development (IIED) in London; and
- The Institute of Development Studies (IDS) in Sussex, England.

The PLA process and techniques taught in this course are most heavily based on **rapid rural appraisal (RRA)** and **participatory rural appraisal (PRA)**. RRA emerged in the late 1970s in the agriculture and environment sectors as a reaction against “rural development tourism”--whereby urban-based development officials were taken on specially arranged tours of rural

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<sup>3</sup>Chambers, R. 1992. p. 2.

areas and given a very biased view of “successful” development projects. RRA was used to gather information more quickly and with a higher level of community involvement than was the case in large, quantitative surveys. RRA was a largely *extractive* process, however. After the information was collected, it was taken out of the community and brought back to the development agencies to be analysed by “experts.”

PRA evolved out of RRA in the 1980s, mainly through experimentation by small non-governmental organisations (NGOs). It focussed more on the appreciation of local people’s *capabilities* to plan and implement their own projects (as opposed to RRA, which stopped at an appreciation of local people’s *knowledge*). PRA took many of the methods invented by RRA and added the concept of local ownership of the information generated through participatory techniques. PRA emphasized local analysis of data, or “handing over the stick” to communities.

In summary, RRA is a process designed to promote learning by outsiders, where data are collected and then taken out of the local community to be analysed. PRA, on the other hand, enables local people to conduct their own analyses and to develop their own plans of action.

The term participatory rural appraisal was coined in Kenya when the National Environment Secretariat and Clark University (Massachusetts, USA) worked with a community in Machakos District to develop a village resource management plan. At the same time, several NGOs in India were beginning to conduct PRA. Since the early 1980s, the use of PRA has extended to countries in all regions of the world, mainly through the work of NGOs<sup>4</sup>. Although it was originally used in rural villages, PRA has begun to be conducted in urban areas as well.

The term **participatory learning and action** (or PLA), which has been used in recent years to designate the whole family of participatory approaches mentioned above, emphasises the ACTION phase of the process; that is, the phase when the community implements its solutions. PLA can be conducted in all types of communities (e.g., rural, peri-urban and urban).

Although originally conceived for use in agriculture, environment and natural resources sectors, the use of PLA has expanded into other sectors, including health, gender, education, and violence prevention.

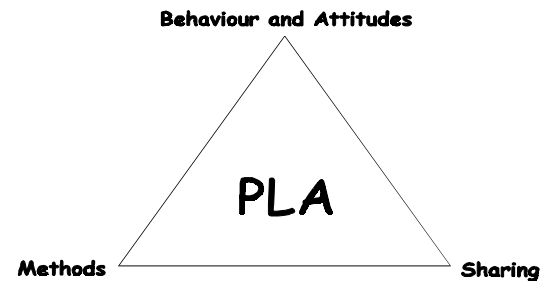
Within the health sector, PLA has been used in projects dealing with women’s reproductive health, HIV/AIDS prevention, nutrition, child survival, health care financing, and water & sanitation.

### The Foundations of Participatory Learning & Action

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<sup>4</sup>Chambers, R. 1992. p. 11.

PLA has three foundations, which can be visualized as a triangle:



1. **Behaviour and Attitudes** are at the top of the triangle, because many PLA practitioners believe that these elements are the key to successfully facilitating community participation. The kinds of behaviours and attitudes which are necessary for the successful facilitation of PLA include the following:

- Respect for local knowledge and capabilities (Reversal of Learning)
- Rapid and progressive learning
- "Handing over the stick"
- Flexibility and informality
- Offsetting biases
- Seeking diversity
- Self-critical awareness

2. **Methods** are used to gather and analyse information during the PLA process. Following are some examples of methods:

- Mapping and diagramming
- Semi-structured interviews
- Transect walks and observation
- Time lines, schedules and seasonal calendars
- Sorting and ranking
- Matrices

Because many of these methods are visual, they can be used by those who are illiterate or low-literate, which encourages the participation of ALL members of the community.

Two key strategies for the use of PLA methods include having a multidisciplinary team and practising triangulation.

A multidisciplinary team is composed of representatives of both sexes, different sectors (e.g., health, agriculture, education, etc.) and different disciplines (e.g., research, programme management, field work). This kind of team ensures that all viewpoints are represented.

Triangulation refers to using diverse sources of information and different techniques of data gathering to achieve a high level of accuracy. (e.g., using semi-structured interviews to cross-check the information gathered during a mapping exercise).

3. **Sharing** of information and experiences is a key element of PLA and takes place on several levels:

- Local people sharing information amongst themselves
- Local people and outsiders sharing information with each other
- PLA facilitators sharing information amongst themselves
- Organisations conducting PLA sharing experiences with each other

At the community level, free sharing of information ensures that communities truly own the knowledge that is generated and that the outside facilitators gain a complete picture of the communities. On a global level, NGOs and other organisations working with PLA learn from each other's successes and challenges by sharing their experiences<sup>5</sup>.

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<sup>5</sup>Chambers, R. 1994. p. 3.

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<sup>5</sup>Chambers, R. 1994. p. 3.

## SESSION 3

### The Participatory Programme Development Process (PPD)

#### Objectives

By the end of this session, participants will...

✓...Be able to describe the order and content of the different PPD stages

✓...Apply their knowledge of the PPD stages to a case study

✓...Understand the PPD process in the context of an actual project

#### Materials

Flip chart and markers  
Index or VIPP cards  
PPD process video



## ACTIVITIES

### #1 Ordering the PPD Process

Ask participants to divide into groups of three to four people. Distribute a set of index or VIPP cards with the different stages of the PPD process to each group. Ask the groups to put the cards in the order they think the PPD process would be conducted, from start to finish. Have each group tape its cards to a piece of flip chart paper and present the results. Have the group as a whole come to a consensus on the order of the PPD stages.

### #2 Description of the PPD Stages

Give each group one or two cards with different PPD stages and ask members of the groups to read about their assigned stages in their handbooks. Have each group give a brief presentation of what is involved in its stage(s).

### #3 Case Study: *Natural Resources Management in Kenya*

Ask participants to remain in the same small groups and to refer to the case study in their handbooks. Have the groups read the case study and discuss which PPD stages were illustrated and which ones were missing.

### #4 PPD Process Video

Show a video, such as *SAGA: Participation in Practice* or *Groundwork: Participatory Research in Girls' Education*, to illustrate the different stages of the PPD process.



## TRAINER'S NOTES

***CONTEXT: This session is designed to give participants an overview of the whole Participatory Programme Development Process, and how the steps relate to one another. After this session, participants will explore each of the steps in more depth.***

### **#1 Ordering the PPD Process**

PPD is a process that consists of several stages. There is no set length for the process--it will be different in every community, and may vary from months to years. PPD is more than just a collection of participatory techniques, and it does not end once the PLA team leaves the village after the PLA workshop. PPD begins with the identification of a project site and ends with an evaluation of activities undertaken by the community as a result of the community action plan.

The PPD process usually consists of the following stages:

1. Community selection and logistical preparations
2. Formation and training of the PLA team
3. Preliminary site visit
4. The PLA workshop: data collection
5. The PLA workshop: data synthesis and analysis
6. The PLA Workshop: ranking of problems and solutions
7. The PLA Workshop: presentation of results
8. The PLA Workshop: creation of an action plan committee and development of a community action plan (CAP)
9. Workshop follow-up and implementation of the CAP
10. Participatory monitoring and evaluation

Write each of these steps on index cards (as many sets as there are small groups of participants). Ask the groups to put the steps in order and post them on the wall or flip charts. Help the group to reach a consensus on the order of the stages.

## #2 Description of the PPD Stages

Have participants refer to this section in their handbooks. Ask them to identify any PPD stages that were not mentioned in the case study. Following is a detailed description of the different stages<sup>6</sup>:

### 1. Community selection and logistical preparations

Ideally, the communities themselves request a PLA workshop from the sponsoring agency (SA). Sometimes, however, SAs are required to develop projects in specific regions, districts, or villages. Therefore, the SA project manager (who may also be the PLA team leader) may decide to approach a specific community to ascertain its interest in participating in a PLA workshop.

*What kind of community would benefit the most from a PLA workshop? PLA is likely to be successful in communities with the following characteristics<sup>7</sup>:*

- Communities with a strong sense of “community” (either geographical or based on mutual interest)
- Communities that have already participated in self-improvement projects
- Communities that are aware of the health issue that your organisation is prepared to address
- Communities that have strong leadership
- Communities that have decision-making power over resources that are given to them
- Communities that have the time to devote to PLA.....both the time for the PLA workshop and the time to implement projects (Keeping in mind that PLA is not a fast process.)

After a potential community has been identified, the first step is to contact community leaders to see if they would be interested in participating in the PLA process. Communities have many different kinds of leaders, both formal and informal. It is essential to contact the formal leaders (e.g., local political or religious officials) in order to gain initial access to the community. Once the approval and commitment of the formal leaders has been obtained, the PLA team can seek out informal leaders who would also play a key role in the PLA process (e.g., the president of the women’s group or the head of the local labour union).

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<sup>6</sup>Adapted from: 1) Schubert et al. 1994a. p. 22, and 2) Kabutha et al. 1993. p. 179-84.

<sup>7</sup>Howard-Grabman, Lisa. Save the Children. Personal conversation.

The team leader meets with these community leaders as early as possible in order to determine dates when it would be most convenient for the community to participate in a PLA workshop. The team leader clearly explains the purpose of the PLA workshop and the different steps of the process, emphasizing that the goal is to help the community help itself.

The team leader is responsible for coordinating logistical arrangements for the PLA workshop (e.g., transportation, food and lodging). These are discussed in more detail in Session 7 (PLA Preparation).

2. Formation and Training of the PLA Team

Once a village or community has been identified, a multidisciplinary PLA team of approximately six to ten people is formed. The team includes both men and women, and at least one person speaks the local language. The members should have different skills and backgrounds. These will be discussed in more detail in Session 6 (Team Building). All members of the team should have training and/or experience in PLA.

**NOTE:** The team leader or person responsible for organizing the PLA workshop will need to organize a **short training** for members of the team, especially the community link persons. The training will need to cover the basic principles of PLA and how to facilitate the different techniques. This training can be conducted in the community a few days before the PLA workshop (unless the community link persons are able to travel to another training site).

3. Preliminary site visit

After the PLA team has been trained, they make an initial visit to the community in order to introduce themselves prior to the PLA workshop. They meet with community members and familiarize themselves with the village or neighbourhood. The team meets with different groups of community leaders during this initial meeting (village elders, administrators, women's groups, the health committee, etc.).

By making this initial visit, the team gains an initial impression of the community and ideas about some priority health problems or other issues of importance. The team also uses this first visit to collect secondary data which will be reviewed before the village workshop (reports, statistics, maps, etc.).

4. The PLA workshop: data collection

During the first part of the workshop, the team spends approximately four to six days in the village collecting information about community problems (in health and other relevant sectors) by using a variety of techniques, including mapping, diagramming, transect walks, semi-structured interviews, listing, sorting, ranking and sequencing. When problems are identified, community members are asked to suggest possible solutions.

During this data collection phase, the community members may be divided in order to allow the full participation of everyone (e.g., young women, elderly women, young men, village leaders, etc.).

The team generally spends half the day working with the community and the other half working together to organize the information collected and plan for the next day.

5. The PLA workshop: data synthesis and analysis

After the data have been collected, the team takes a day to compile and organize the information into in a format that can be easily understood by the community members (e.g., large charts and tables, maps, time lines, etc.). The information is organised according to problems identified and possible solutions.

6. The PLA workshop: ranking of problems and solutions

The PLA presents the different community groups with a summary of the main problems and the solutions that were identified. The PLA team then facilitates sorting and ranking exercises with community members to help them prioritize the problems. Once the most important problems have been identified, the sorting and ranking process is repeated for the possible solutions. The PLA team helps the community members reach a consensus about which solutions to implement and which indicators to use to measure the progress of each solution.

7. The PLA workshop: presentation of results

The community groups come together and present the results of their problem and solution rankings to each other. The PLA team helps the community to reach a consensus on which solutions to implement.

8. The PLA workshop: creation of an action plan committee and community action plan

After consensus has been reached on which solutions to implement, the PLA team leader asks the community to select an action plan committee (APC), which will be responsible for writing the community action plan (CAP). The members of the committee should represent all segments of the community, and there should be at least one person who is literate and can write. Once a committee is chosen, members of the PLA team may choose to leave the community for several days (preferably no more than a week), so that the APC can develop the CAP.

Although the PLA team explains the format of the CAP and provides guidance if requested, they do not participate directly in the writing of it. It is up to the community members to create this plan themselves, so that they will have complete ownership of it.

Once the CAP is finished, the APC presents it to the PLA team and the rest of the community. The PLA team and the community provide feedback on the feasibility of the CAP and identify activities that would need support from the SA. Based on the feedback from the community and the PLA team, the development committee revises the CAP as needed. The PLA team then works with the committee to discuss the next steps for working with the SA. One or more members of the PLA team should be designated to follow-up on the implementation of the CAP.

9. Workshop follow-up and implementation of the CAP

At the end of the workshop, the PLA team writes a report of the workshop, which is translated into the local language and presented to the community.

Once the community has finalized the CAP, the SA works closely with the APC and other community groups to implement the project. The SA continues to let the community take the lead and be responsible for completing various activities, although the SA may provide guidance.

10. Participatory monitoring and evaluation (PM&E)

The APC and the SA decide how often they want to conduct monitoring activities and when would be an appropriate time to conduct a mid-term and a final evaluation. Participatory monitoring and evaluation is a continuous process which is overseen by the APC. The indicators to be measured are determined during the creation of the CAP. In addition to the programmatic indicators to be measured, other questions that can be addressed include:

- Who has participated in the new activities?
- What benefits have these participants seen from the activities?
- How effective and appropriate have the activities been for achieving the desired goals?
- Why have some activities been more successful than others?

**#3 Case Study: *Natural Resources Management in Kenya***

Have participants refer to the case study *Natural Resources Management in Kenya*<sup>8</sup> in their handbooks (see next page). Although this case study is not taken from the health sector, it provides a good illustration of the different PPD stages. Ask each group to identify and write down the different activities that were conducted during each PPD stage. Some PPD stages are not illustrated in the case study, however, such as *formation of a PLA team* and *evaluation*. Therefore, tell the participants that there may be some information gaps.

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<sup>8</sup>Adapted from Kabutha, C. et al. 1993. Participatory Rural Appraisal: A Case Study from Kenya. Kumar, K., ed. *Rapid Appraisal Methods*. Washington, DC: The World Bank.

## 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 organize 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 organize 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, organized 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.*