

# COMMUNITY PARTICIPATION

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## STRATEGIES AND TOOLS

**A Trainers' Manual  
For The Rural  
Water Supply And  
Sanitation Sector  
In Pakistan**



**Ministry of Local Government and Rural  
Development, Government of Pakistan**



**United Nations Development Programme**



**United Nations Children's Fund**



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January 1994

# **COMMUNITY PARTICIPATION**

## **STRATEGIES AND TOOLS**

### **A TRAINERS' MANUAL FOR THE RURAL WATER SUPPLY AND SANITATION SECTOR IN PAKISTAN**

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# FOREWORD

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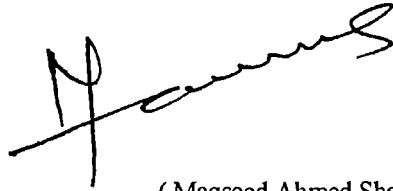
Clean drinking water plays a crucial role in upgrading the health of the rural population and has a significant impact on women's welfare. The provision of water supply is inadequate in Pakistan, and current rural coverage rates are less than 40 percent for water and 10 percent for sanitation. Lack of clean water and proper sanitation negatively affects the quality of health indicators, and almost 40 percent of infant mortality is caused by water and sanitation related diseases. On an average, women and children spend 3 to 8 hours a day in collecting water for domestic use. Time spent collecting water could be more productively allocated elsewhere.

Existing institutional structures support narrowly defined top down delivery mechanisms with no community level participation. However, lack of adequate public resources has necessitated a reassessment of the role of the public sector in the provision of basic services. Hence, there is a clear policy shift from the government as a provider of water facilities to that of a facilitator or supporter for the promotion of sustainable community managed facilities.

Despite the acceptance of community management and popular participation, there are two issues that will need to be addressed in order to support the integration of community management principles in government assisted projects. First, there is a need for establishing a community-based delivery system for large scale implementation of water and sanitation programmes. Currently, most community-managed projects are small in scale and spatially isolated. Many lessons can, however be derived from the experience of rural support programmes, which are now being nationally implemented with assistance from the Government of Pakistan. Second, there is a need for the re-orientation and training of thousands of people who are involved in the

water and sanitation sector. This will involve the development of new and innovative tools and methods and a reassessment of existing training approaches.

The manual represents the culmination of a two year long search for appropriate methods and tools for trainers and is a cooperative effort of many agencies and individuals. The manual focusses on one particular approach to participatory training, which has been applied specifically in the water and sanitation sector in Pakistan. However, it also draws from a wider pool of experience in participatory approaches to development, that have been tried and tested in other sectors.



( Maqsood Ahmed Shaikh )  
Secretary  
Ministry of Local Government  
& Rural Development

## ACKNOWLEDGEMENTS

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This manual is an embodiment of many shades of view and is based on the experiential values and beliefs of many different individuals. It is an epilogue to the catalyzing initiative of the first participatory workshop held in Saidu Sharif in November 1991. A follow up workshop was then conducted under the auspices of the Ministry of Local Government and Rural Development (MLGRD), to consolidate field based applications of participatory approaches.

We would like to thank all the participants of the various workshops, including the artists who participated in the Artists' Development Workshop, for their important contributions and for the invigorating interaction which made this manual a reality. We would like to extend our appreciation to all those who responded to our questionnaire and allowed us to learn from their valuable experiences and to the authors of the project reports and evaluation documents which form the basis of Section III.

The interest and support Commander A. A. Naseem, Secretary, Ministry of Health extended to us throughout this period needs a special mention, for it gave us the spark to continue along this path of inquiry. We would like to thank UNDP, in particular Samina Kamal for her insightful comments which helped to enrich the content of the manual. We take this opportunity also to thank the members of the Federal Support Unit, MLGRD, in particular Ismat Ara Saeed, for their unstinting support and effort.

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Our sincere gratitude goes to everyone associated with the project.





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# **COMMUNITY PARTICIPATION IN RURAL WATER SUPPLY AND SANITATION (RWSS) : THE PAKISTAN EXPERIENCE**

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## **INTRODUCTION**

The concept of involving people in development is not new to Pakistan but in practice it has taken many forms and produced uneven results. Over the last 40 years the Government has incorporated this concept in programmes such as Village Aid, Rural Works, Public Works and Rural Development. Each of these programmes, in its own way, made a useful contribution to the rural sector; but despite the intention to be community-based, decision-making remained highly centralized

Many agencies have therefore begun a search for alternative strategies aimed at reaching and involving people. The testing of these innovative strategies has been done mostly on a pilot basis and under NGO auspices; however the insights, principles and techniques acquired at the micro level have gradually and selectively found their way into larger scale programmes.

In terms of content, most of these exploratory trials have focused on the economic sector. agriculture, forestry, productive infrastructure, income generation. Hardly any attention on the same scale has been given to the water and sanitation sector. Perhaps the only exception (and a highly significant one), is the urban sanitation experience of the Orangi Pilot Project (OPP).

Opportunities to try alternative strategies for the RWSS sector arose during the International Decade for Water Supply and Sanitation (IDWSS), 1981 - 90. However the Decade did not give the expected boost to community participation for a number of reasons:

- The national IDWSSD strategy was heavily hardware oriented. Its main emphasis was on increasing the number of physical installations as quickly as possible without regard to community organization in support of these new resources.
- For a community to qualify for the installation of a WSS system, all that was required was token community participation by forming caretaker/user groups. These groups were found to become non-functional soon after the systems were installed.
- With political and technical patronage coming into the picture, local communities felt even less accountable for the sustainability of the systems. As a result, more and more installations became dysfunctional with time.

The situation in the RWSS sector to date has not improved substantially. In most provinces the delivery mechanisms for water supply continue to be highly centralized. With a few exceptions the entire responsibility for planning, investing, implementing, managing and maintaining the water and sanitation schemes, is in effect borne by the public sector.<sup>1</sup> In some provinces (e.g. Punjab and Balochistan) the cost of operations and maintenance alone can amount to 80% of the total budget of the sectoral agency concerned.<sup>2</sup> The present trend in formulating investments in the sector is still hardware biased, materials and machinery for water and sanitation systems in fact constitute nearly 95% of the total project cost. This leaves only a token amount for use in institutional strengthening at the user level.

The negative effects of such a situation are two-fold:

- 1) The resources of the government are over-strained as a result of its paternalistic role
- 2) The community's feelings of powerlessness and dependency are reinforced.

A notable exception in this regard is the AJK/LG&RD programme. In AJK, by promoting the idea of cost-sharing and by decentralizing many aspects of decision-making, it has been possible to transfer the entire responsibility for O&M to local user communities themselves. In most villages in AJK, village water committees are involved in decisions such as the selection of source and site, setting water tariff rates, selection of operators, expansion of the distribution system and identification of additional sources of revenue for cost-sharing. This goes to show that RWSS projects can be made more cost-effective if line agencies reduce their paternalism and adopt a more facilitative attitude towards local participation.

There are, however, other reasons besides paternalism by the government, which can give rise to local community dependency on hand-outs from external sources. For example some water schemes may be "bestowed" on the community by influential people for political purposes or personal gain, using grants or public funds to which they have direct access. The "benefactors" in such cases may feel no responsibility to consult with the people. In some cases pressure groups may convince the people that it is the government's duty to provide them with clean water free of charge; therefore they need not exert themselves to maintain the scheme in good working order. Under such pressures it is not surprising that communities have distanced themselves from whatever ownership they would have traditionally demonstrated towards the system.

Admitting that all these other factors may stand in the way of genuine and responsible community involvement in the RWSS programme, the major obstacle still lies within the support system itself. It has not taken to heart as yet a very important lesson learnt during the Decade, which is that *whenever technical interventions precede community organization they are likely to fail for lack of community will to sustain them.*

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<sup>1</sup> Report of the 1992 Karachi Seminar on Involvement of Beneficiaries in RWSS projects, p 2

<sup>2</sup> Inception Report, May 1992 PAK 90/013, pp 29 - 32.

If, then, this lesson has come through so clearly from Decade experience, why has the support system not adapted itself to apply it? What accounts for the persistence of the top-down, technocratic approach to RWSS? Of the many possible reasons, the following three seem to be the most pertinent.

- The concept of community participation may not be clearly defined in the minds of project planners, managers and operational staff. As a result, project personnel may lack a common vision of what community participation actually means in practice. A clear and shared concept of the goal is obviously the first requirement for laying out an effective plan of action.
- Project personnel may not be sufficiently trained in specific methods and techniques which help to promote community participation. There may be genuine desire to draw the community into a partnership relationship but the real question is how to do it. Training therefore becomes a key factor.
- Project managers may not have given sufficient thought to the implications of the community-based approach for their own management style, their personnel needs and their resource allocation priorities. Community participation requires time and flexibility. It cannot be mandated or manipulated. Merely attaching a few extension workers to a centralized agency cannot make any real difference to its capacity to stimulate local self-help and community organization. Overburdening the staff with mainstream activities will also defeat the purpose. In fact the entire system of rewards and incentives, of roles and relationships and of target setting and budgeting will need to be carefully looked at, in terms of its consistency with the community development objective.

*Handwritten note:*  
- community based  
- participatory

### **Purpose and Format of this Manual:**

Of the three needs listed above, clearly the need for conceptual clarity is of central and critical importance. It will therefore be considered in more detail in the next chapter. However the main purpose of this Manual is to address the second issue listed above: the need for training of project personnel in techniques that promote effective community participation. It is aimed in particular at reaching Lead Trainers who are in a position to train extension level staff and wish to conduct such training on participatory lines. The Manual includes several tools which extension staff can adapt for use at the community level or which can stimulate them to design activities of their own, suited to their own setting, using similar participatory principles. The important consideration is that the participatory tool or technique be always field tested first, to ensure that it is relevant and effective.

Since training does not take place in a vacuum, Lead Trainers need to keep in mind the general picture of the water sector as well as special issues concerning motivational aspects of the programme e.g. for staff, the need for a common vision so that they can function as a goal-oriented team, for community level action, the need to understand why people may not readily opt to collaborate in the project and in particular the importance of integrating women's role in the Sector. Some of these issues are highlighted in Part I of the Manual.

To put the sector experience in a broader context, Part I also includes a review of innovative field level initiatives by a number of development agencies in Pakistan, even though their programme may be focused on other content fields such as agriculture or village economic development. Only a small sample of such initiatives could be reviewed, depending on material that was readily available or which was received in response to a questionnaire circulated by the Ministry of Rural Development & Local Government in October 1992. It is hoped that this first attempt at learning from innovative practices at the field level within the country will encourage

further sharing of experiences particularly by organizations which could not be represented in the present review.

From this analysis of experience, a set of guidelines for training are proposed at the end of Part I and should serve as a frame of reference for the training activities in Part II.

A number of the activities and tools included in Part II are based on the participatory methodology utilized in two national workshops organized in Pakistan in 1991 and 1992, under the joint auspices of the Ministry of LGRD and the RWSG, while several are entirely new activities specifically designed for the RWSS sector. As they will be introduced into training for the first time, feedback from trainers will be particularly important to those responsible for the design and adaptation of such tools. With proper field testing and amplification, the entire package of sector-specific activities should be an important professional contribution which Pakistani trainers can make to the field, both within the country and beyond.

This Manual is presented to the trainer as a starting point for dialogue on participatory training rather than as a compilation of definitive answers and prescriptions. If it does no more than stimulate the readers to apply a single idea, activity or tool and to use their own creativity to improve the quality and scope of people's participation in the sector, it will have served its purpose.



# **PART 1**



# I. DIFFERENT CONCEPTS OF COMMUNITY PARTICIPATION

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In order to understand why some RWSS projects have succeeded in mobilizing local support while others have not, it is important to start by examining the basic assumptions which have guided their approach to the community. For example project managers often assume that villagers will cooperate more readily in the project if one or more of the following conditions are met

- If community members contribute labour towards the construction of the system free of charge or at minimum wage (“Cheap Labour” Concept)
- If they are prepared to share some of the capital costs or the costs of maintenance of the system, whether in cash or in kind. (“Cost-sharing” Concept)
- If they are prepared to commit themselves to perform specific tasks for the project through a formal, preferably written agreement with the project management. (“Formal Agreement” Concept)
- If they have been involved in decision-making at critical stages of the project. from the design stage through implementation, maintenance and evaluation. (“Decision-centered” Concept)

These four assumptions about people’s behavior are not mutually exclusive. For example “cost- sharing” could easily include free labour as a way to reduce project expenditures; a “formal agreement” could include commitments to perform all kinds of obligations including cost sharing and labour contributions. Obviously the “decision-centered” concept could include all of the preceding three and much more.

Taken in reverse order, the “Cheap Labour” concept is clearly the most limited of the four and by itself is least likely to arouse and sustain a high degree of popular enthusiasm. It



allows people to exercise only one option (their physical labour) while in the Decision-centered concept the choices which people can make, as to their own manner of participation, are unlimited.

Project planners and staff at different levels need to have clearly in mind which of these four concepts corresponds most closely to their idea of "community participation". The trainer's role is to sensitize them to the "pros and cons" of each option. For this reason these four options are being discussed in greater detail below:

### **The "Cheap Labour" Concept**

In some situations, project designers may feel that given the people's poverty and their general lack of schooling, the maximum contribution that should be expected from them is free (or low paid) unskilled labour for construction purposes. Community participation is therefore seen primarily as the performance of physical tasks such as digging trenches, carrying pipes or collecting gravel and other local materials. It is felt that technical decisions should be left to the engineers, hydrologists and other technically qualified personnel. These include decisions on site selection and choice of technology. The assumption, then, is that people's labour contributions are enough for them to have a sense of ownership of the system. It is believed that the community, having helped to build the facility, will be proud of it, be eager to use it and be responsible for keeping it clean and in good order. This has often proved to be incorrect.

Usually community labour is organized with the help of village leaders or other influential persons. Given their position of prestige and power, pressure may be exerted on average and poorer villagers to contribute labour whether or not they see benefits for themselves in installing the system. If labour is not provided as a voluntary personal decision, no sense of pride in the construction may result. Once the job is done, the mass of villagers may lose interest in using and maintaining the facility.

## The “Cost-sharing” Concept

Realizing that labour contributions alone may not be a good indicator of community commitment, some project managers attach more importance to local cost-sharing. They believe that if the beneficiaries give even token contributions towards the upfront capital costs or the maintenance of the facility, whether in cash or in kind, there will be more interest in ensuring that the system does not deteriorate.

These local contributions could, at the least, help towards the construction of a water tank or pay for the services of a local mechanic who would be readily available to do minor repairs. Thus people’s willingness to share in some way in capital or maintenance costs would indicate that they value the improved system as their own.

Unfortunately this rationale does not always apply in practice. People will only value the new water service to the extent that it meets their own criteria e.g. that it is conveniently located, that the technology is not too complicated, burdensome or costly, that the water is of acceptable quality and taste, etc. This implies that they have to be involved in other decisions before they can be expected to pay towards maintenance costs. In particular women, who are the main users and managers of domestic water supply, must be satisfied that repairs are worth paying for. If not, they will revert to their traditional sources. For example if a pump is located in a public place to which women do not have easy access, they will have no interest in paying for its repair.

## The “Formal Agreement” Concept

In an increasing number of cases, project management is leaning towards the use of a formal agreement or “Memorandum of Understanding” (MOU) to make sure that the community fully understands and commits itself to a number of roles and responsibilities, matched by commitments of inputs by the support-agency.

The roles and responsibilities which the community is expected to assume may be done through a local body such as a Village Water Committee or Village Development Organization (VDO) and may include a wide range of tasks<sup>3</sup> such as:

- assistance in baseline assessment, planning and design
- motivation of community members to support the project
- contribution of labour and materials, etc. for implementation of the scheme
- cost-sharing in the operation and maintenance of the scheme
- assistance in solving the problems faced by women

When the terms of the MOU are explained to the villagers, they, of course, have the option of agreeing to the terms or rejecting them, or possibly negotiating changes to suit their situation

The question is whether sufficient time is allowed for the community to consider the MOU from all angles, and in particular whether average and poorer villagers have had the opportunity to a) think through the implications of the MOU for themselves, b) express any reservations they may have and c) have their views reflected in the negotiations process. Agreements which have been negotiated primarily through village leaders and endorsed at large village-wide meetings may not be fully understood by the mass community. As a result, problems may arise when the time comes for individual community members to do their part. Special consideration needs to be given to women’s viewpoints in this respect.

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<sup>3</sup> List of tasks adapted from GTZ/Pak German Promotion of PHED, NWFP, Manual for the Implementation of the Strategic Investment Plan. June 1990

## The “Decisions-centered” Concept

In the light of difficulties experienced in projects where the community as a whole has not been fully involved, more attention is now being given to strategies and activities which engage small groups of villagers in an analytic and creative process of decision-making. This is done through an informal participatory process built around simple problem-posing or problem-solving activities (such as map-building or a pictorial incomplete story) which are described in Section II of this manual.

The decisions reached through this process have the advantage of being thoroughly assessed by the broad base of the community and not simply by the top leadership. The process itself builds confidence among those who normally would hesitate to speak up at large gatherings or to voice their opinions in the presence of authority figures. Having a larger role in the analysis of the situation and in identifying alternative means of solving their problems, community members are in a better position to assess the terms of MOUs and to take intelligent and firm decisions as to how best they can contribute, throughout the phases of project design, planning, implementation, maintenance and evaluation.

In practice, this type of participation is still at the exploratory stage in Pakistan, while the other three types are more commonly found. There is however a growing consensus that community participation should be seen as a process of empowerment where villagers, regardless of their socio-economic and literacy levels, can increasingly take responsibility themselves to plan, manage, control and access collective actions, including improving their own skills and generating their own capital for the sustainability and further development of needed services.

Many RWSS sectoral agencies have not yet fully adopted and implemented this broader approach for the simple reason that it is not easy. They would like to adopt a more participatory policy but many factors intervene, some favourable, some hindering. This causes a dilemma. Here are some of them:

### Seven powerful factors which create a policy dilemma for the RWSS programme

Some of the following factors account for the persistence of top down approaches to RWSS, while other factors have influenced an increased interest in local participation; the chart below illustrates the conditions influencing the choice of strategy ranging from paternalistic to participatory.

Influencing factors	Consequent need/ pressures	Consequent Strategy
<ul style="list-style-type: none"> <li>- At present less than 40% of Pakistan’s rural population of 76.4 million has access to clean drinking water and less than 5% have provision for sanitation. The national government has made a strong commitment to overcome this problem. It has given high priority to RWSS in the ongoing Seventh Five Year Plan and set ambitious targets for the Perspective Plan (1988 - 2003)</li> </ul>	<ul style="list-style-type: none"> <li>- Pressure to fulfill commitments to achieve targets whether or not local communities participate.</li> </ul>	<ul style="list-style-type: none"> <li>- Due to urgency, the govt. bears the entire responsibility for the RWSS programme and if necessary, bears 100% of the costs rather than wait for the community to get involved.</li> </ul>

Influencing factors	Consequent need/ pressures	Consequent Strategy
<ul style="list-style-type: none"> <li>- It is felt that unless massive efforts are made quickly enough to satisfy this need, any gains made will soon be outstripped by rapid population growth.</li> <li>- The present financial resources of the government are inadequate to cope with this entire need.</li> <li>- The cost of operation and maintenance of schemes has risen substantially while cost recovery from users has been low. Where the population is dispersed, maintenance costs are even higher</li> <li>- Failure to involve local communities in Operations and Maintenance has resulted in deterioration of facilities and loss of significant investments.</li> <li>- The Government alone cannot carry the responsibility for the sector indefinitely.</li> </ul>	<ul style="list-style-type: none"> <li>- Need to achieve speedy results.</li> <li>- Pressure to reduce capital costs.</li> <li>- Need for supplementary resource mobilization.</li> <li>- Pressure to ensure sustainability of improved systems.</li> <li>- Need for beneficiaries to take over management of their RWSS projects.</li> </ul>	<ul style="list-style-type: none"> <li>- Technical personnel are made responsible to expand the programme as quickly as possible with assent of local leaders.</li> <li>- Beneficiaries are asked to provide free labour.</li> <li>- A local water committee is set up. It explores local willingness to pay, organizes tariff system, collects funds.</li> <li>- Govt. draws up O&amp;M contract with beneficiaries and trains selected community members in O&amp;M.</li> <li>- Govt. institutes measures to stimulate a sense of community ownership of the project and responsibility for its success. It encourages local initiative in improving and expanding services and benefits.</li> </ul>

The extent to which different projects in Pakistan have been able to make the shift in strategy from top-down to community-based, has depended not so much on their financial resources as on their ability to fulfil the following conditions which will be the focus of later discussions in this manual.

1. **Know the community:** Start from a clear definition of the attitudinal and behavioral implications of community management.
2. **Know the sector:** Identify guidelines from current rural development experience in RWSS or which can be applied to the RWSS sector.
3. **Know the project:** Realistically assess the possibilities of introducing community management into the entire project design.
4. **Know the appropriate training mix:** Ensure the availability of staff trained in participatory techniques of community education





## **II. COMMUNITY - BASED RWSS: A CHALLENGE FOR TRAINERS**

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Trainers who are associated with community-based RWSS projects must be prepared to sensitize, motivate and train different categories of personnel. Their targets include extension staff, Union Council Secretaries and other Local Government officials, elected Union Councilors, social organizers, engineers and other middle level managers, and possibly even personnel at higher administrative levels who influence policies and control expenditures.

Training for such a diverse range of actors must have an underlying unity of purpose: to increase their understanding of how best to promote and sustain community participation. All levels of personnel need to operate from the awareness that without people's involvement in project decision-making right from the start, the risk of failure is extremely high.

There are of course many factors which contribute to project failure: e.g. inappropriate technology, lack of spare parts, shortage of mechanics for minor repairs, misappropriation of facilities by local elite, or influence-peddling by politicians who offer their own (often poorly planned) facilities at no cost other than votes. All these reflect deficiencies in the support system. Those who are part of the support system must be sensitized to the role they may have played in creating these deficiencies or in allowing them to persist. They should be able to see the support system as an external force or power which can profoundly affect the internal dynamics of the community. Training should therefore help them to see more clearly the strengths and weaknesses of the support system. On that basis they can take steps to correct its flaws and increase its effectiveness as an aid to community managed change.

To achieve that objective, the connection between the support system or other external forces and the internal dynamics of the community must be clearly understood by the different categories of personnel involved in the project. Creating this awareness often requires a sensitive orientation and training process. This is a major challenge for the trainer. Many of the persons

who most need such sensitization are also the ones most unaware that they need any orientation or training at all

A central issue to be addressed in this sensitization process is that of *community ownership*. “How can our roles within the project – the things we do or not do – affect the community’s sense of ownership of the improved system?” is a good question for support system members to ask themselves. They should also be very conscious of the specific behaviors at the community level, which are indicators of the lack of a sense of commitment and responsibility. Here are five such indicators

- when the water system malfunctions due to local users’ neglect or abuse and nobody takes responsibility for reporting breakdowns or ensuring repairs;
- when maintenance costs soar but people are unwilling to pay their share, and those responsible for collecting dues are themselves reluctant to do so;
- when completed schemes stop functioning because the village water committee is lax or when handing over the management of the system to the community proves unfeasible due to the lack of a local institutional structure or because the Union Councils are structurally weak,
- when work schedules are delayed or set targets are not achieved because community members fail to live up to the obligation they have agreed to fulfill in the Memorandum of Understanding (MOU) signed jointly by project management and local leaders;
- when the availability of clean water in abundance fails to have the desired health impact because local unhygienic practices have not changed, and users claim they are “too busy” to participate in hygiene education

In situations such as the above, it is safe to assume that project management did not worry about or even seriously consider taking adequate precautions to involve beneficiaries in a way that promotes their sense of ownership and commitment.

The solution is not simply to set up water committees hastily or to appoint caretakers or select community members for training as activists purely on the advice of local leaders or influential villagers. These kinds of arrangements are mere pretences at community participation. They are unrepresentative and seldom work. In some cases the main purpose they serve is to reinforce the hold that vested interests have over the mass of the community.

Developing a community-wide sense of ownership therefore requires that more time be devoted to interaction with community members at large, with the aim of initiating a *process* of human development based on mutual respect rather than hierarchical relationships. The results should be capacity-building in various ways and to varying degrees throughout the rank and file of users and beneficiaries, within the community. That is why it is so important that the entire support system, right down to the level of extension workers, be endowed with the same capacity-building philosophy, so that their actions can contribute to a consistent strategy to promote local self-reliance.

## **DEMYSTIFYING “PROCESS”**

It sometimes happens that project personnel whose background is primarily technical (e.g. engineers, geologists, hydrologists) have difficulty in appreciating the importance of this human development process or even grasping what it is all about. They may see their job mainly in terms of certain technical outputs which can be quantitatively measured (number of pumps installed or latrines built; number of systems in working order, etc.). Project administrators may similarly emphasize quantifiable outputs out of a sense of obligation to donor agencies or to establish their own credibility as a project that “produces results”

In either case, the emphasis is on getting physical targets achieved under time-pressure. Such achievements usually do not last. For example, latrines that are hastily built under pressure to fulfill yearly quotas may be used by the people as poultry pens or for storing firewood; pumps installed under similar pressures may be neglected by the people because they have had no say in the choice of site or technology; operations and maintenance becomes a problem because villagers are unwilling to pay for something that they consider is owned by an outside agency. Emphasis on achieving physical targets alone can therefore be short-sighted. What is needed is to precede these achievements with a process of social change, i.e. a positive change in people's attitudes and beliefs, a more confident perception of their own capacities for problem-solving and planning and their power to organize and take action. This type of change results from an educational process, which takes time, requires patience, but in the end produces more lasting outcomes. The key to this process is the skill of project staff in facilitating new behaviors at the community level, including freer self-expression and creativity, openness to new ideas, healthy peer relationships in group work and willingness to take calculated risks.

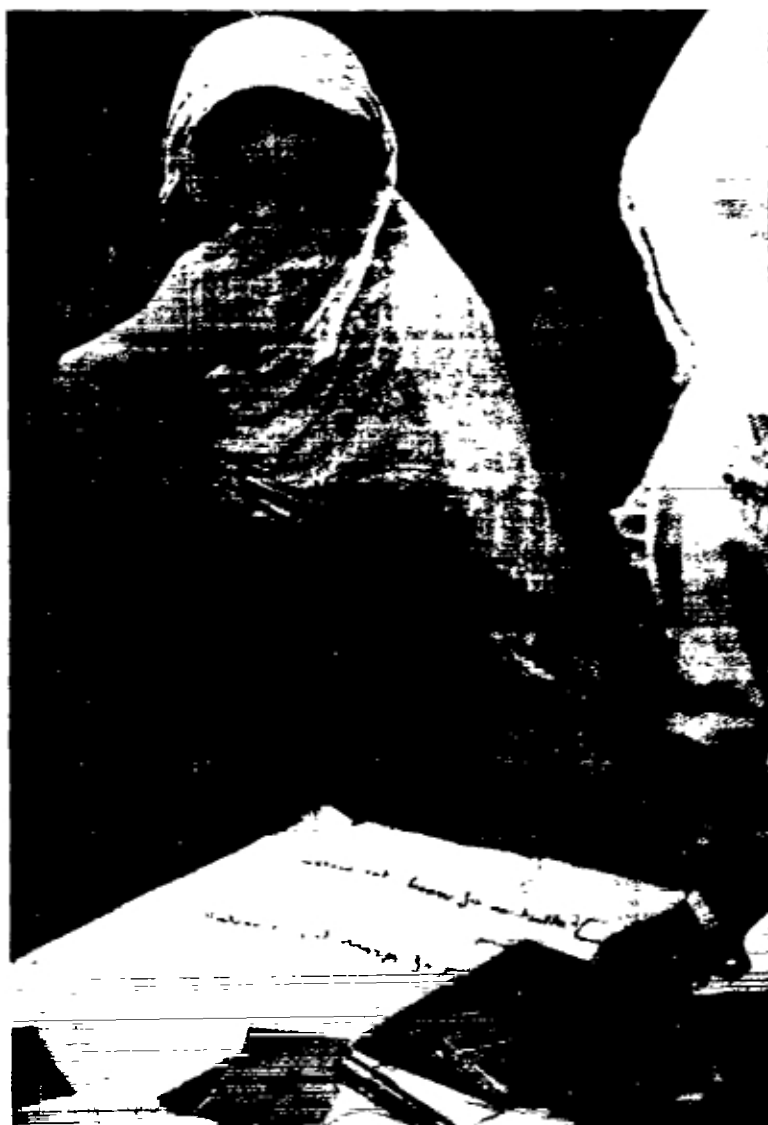
Although the attitudinal outcomes of the process are not easy to quantify, they are of critical importance because they can have a positive multiplier effect over time. What are these "process" outcomes? They include initiative, organization, confidence, creativity, capacity for assessment, decision-making, resource mobilization, planning and problem-solving. These qualitative capacities manifest themselves in concrete actions which can be objectively verified.

Obviously many different inputs and influences can combine to bring this type of capacity development for self-reliance. However, it is important to know that the process can be stimulated and accelerated through activities and learning materials or tools specifically designed to promote inner growth and community power for constructive action.

A number of non-governmental organizations in Pakistan and to some extent official agencies as well, are testing out innovative process-oriented materials which can provide very useful guidelines for the RWSS sector. These innovative strategies will be examined in some detail in Chapter III.

## GOALS AND HINDRANCES

If we intend to use participatory techniques to stimulate a process of change, we must be very clear as to what kind of local attitudes, attributes, and capacities we hope will result from the process of interacting with the community--in other words, what are the desired *end-behaviors*, both for the people and for those engaged in helping them. This is indispensable in any project that aims to prepare people for community management roles and tasks.



We must also be very sure exactly what is the situation of participants and helpers alike, at *entry-point*. This tells us how much of an effort will need to be made to enable them to change. Community members in particular may need to achieve a radical change in outlook if they have been conditioned to a state of dependency and fatalism, while their salvation lies in getting organized and taking control of their lives. Such a change presupposes that the helping agencies themselves are prepared to respect the conditions that foster people's growth

RWSS projects face three major pitfalls in planning to switch over from a top-down and prescriptive strategy to one that is participatory and growth-oriented

These pitfalls are.

### **Inadequate attention to internal constraints**

- Few projects base their intervention strategy on a critical assessment of entry-point behavior in terms of attitudes, fears, prejudices, and other attitudinal, social, economic or institutional barriers which need to be overcome in order to liberate people's constructive energies for development

Some justify not giving special attention to these internal factors on the ground that external hindrances, e.g., exploitation and oppression, have first to be overcome since they are the causes of internal constraints such as apathy and fatalism

The need to reduce if not eliminate external constraints is of course a pressing one, but it needs to be accomplished by efforts to overcome internal hindrances which act as demobilizers of community energy. Negative self-perceptions and lack of organization can act as prison bars that keep villagers captive and unable to achieve their own potential. Participatory methodology aims to break these prison bars and give people the freedom to discover and use this power for their own development

### **Shortsightedness in overall policy**

- The overall policy environment is often not designed to promote positive social change, at times, it may in fact inadvertently reinforce negative attitudes such as dependency. For example a system of subsidies can either sustain local initiative or discourage it, depending on how the subsidy policy is envisaged and administered. Similarly, technical assistance can be provided in a way that liberates people to solve their own problems or increases their dependency on outside expertise, depending on how the extension agency sees its role. Overcoming this pitfall may require a completely new look at bureaucratic structures and overall management style

The failure of policy makers to take people's attitudinal constraints fully into account is one of the reasons why RWSS projects so often misfire. The tendency, then, is to oversimplify the problem to be addressed. For example, if the villagers fail to mobilize funds to pay for the maintenance of the water system, a project that attributes their reluctance simply to poverty, ignoring other factors, may be tempted to subsidize 100% of the costs of O&M. It may thus perpetuate the provider/beneficiary relationship.

### **Understanding community roles and tasks**

- Project planners who count on the community taking over the management of their RWSS projects tend to underestimate the range and complexity of the new roles and tasks which "participation" implies for community members. The monograph "Options for Educators" lists 56 community roles implicit in the Partnership concept and it is only a partial list

All of them are essentially ramifications of a single integral process of human development (Please refer to the following list).

**Community Roles Implicit in the Partnership Concept**

(A partial list)

- |                                      |  |
|--------------------------------------|--|
| 1 Attend community/group meetings.   | 20. Raise funds.                         |
| 2. Actively participate in meetings. | 21. Keep accounts.                       |
| 3 Participate in baseline studies.   | 22. Keep records.                        |
| 4. Gather data                       | 23. Undertake bank transactions.         |
| 5 Interpret findings.                | 24 Make investments.                     |
| 6 Assess and prioritize social needs | 25. Share costs of improvements          |
| 7 Generate solutions.                | 26. Promote women's/minority roles.      |
| 8. Negotiate contracts               | 27. Utilize technical resources.         |
| 9 Reach compromises and consensus.   | 28 Negotiate with authorities.           |
| 10 Settle conflicts.                 | 29. Confront vested interests.           |
| 11. Evaluate options.                | 30. Constitute committees.               |
| 12 Make decisions                    | 31. Perform committee roles.             |
| 13. Identify resources/constraints.  | 32 Identify problems                     |
| 14 Plan course of action             | 33. Manage resources.                    |
| 15 Elect persons for training        | 34 Develop new resources.                |
| 16. Define roles/responsibilities    | 35. Develop leadership.                  |
| 17. Organize labor                   | 36. Monitor maintenance of improvements. |
| 18. Take on new responsibilities     | 37. Evaluate progress.                   |
| 19 Participate in training.          | 38. Share results.                       |

The tendency in the past, however, has been to focus on specific programme components and action decisions such as to “constitute a water committee”, “train caretakers” or “select sites”, without considering the broader implications of these roles and tasks. Will the fulfillment of these responsibilities involve conflict resolution of any kind? Require negotiating skills? Call for improved group process techniques? Will it require sharper analytic abilities to detect causes and effects of problems in everyday life? Better planning capacity? Increased openness to take calculated risks? Will it require the development of savings habits? Ability to assess needs and interpret findings? Do task analysis? Estimate costs and benefits? Evaluate progress?

If community management of RWSS projects is to be effective, the preparation of community members for a management role must be viewed wholistically and not as a sum of isolated acts

4 Options for Educators, A Monograph for Decision makers on Alternative Participatory Strategies, Lyra Srinivasan, PACT/CDS, NY, p 123.

To avoid such pitfalls, it may be useful to review some of the entry point hindrances in greater detail.

## **ENTRY-POINT HINDRANCES**



The questionnaire circulated by the Ministry of LGRD to different development agencies in Pakistan, in preparation for this manual, included a specific question to elicit the respondents' experience on village attitudinal and behavioral barriers to participation. It asked: "Based on your experience, what are some of the community level attitudes and behaviors that hinder the involvement of people in projects?"

These responses combined with data from other sources can be grouped into five or more categories, e.g.:

### **Individual attitudinal factors**

- Apathy
- Sense of powerlessness, inability to control events, fatalism
- Dependency
- Low self-esteem, self-depreciation
- Diffidence (e.g., in speaking up at community meetings)
- Fear of taking risks
- Reluctance to break tradition, uncritical attachments to common beliefs, practices

## - **Socio-economic inequities**

- Lack of capital (savings, access to credit)
- Lack of collateral (land or other resources)
- Lack of schooling and literacy skills
- Lack of leverage (status, connections, voice)

## - **Socio-cultural factors**

- Heterogeneity of village
- Lack of unity, viable local organization
- Status differentiation
- Patriarchal set-up, top-down traditional leadership, tribal customary hierarchy
- Divisions by vested interests
- Family feuds, factions
- Low status of women

## - **Power relationships**

- Fear of benefits being siphoned off by the more powerful community members
- Fear of confrontation with those in power
- Submission to political pressures and interference
- Distrust of promises by outsiders including the government

A few examples drawn from reports of field projects in Pakistan may help to illustrate the above attitudinal constraints and their causes.

In some areas there has been a tendency for villagers to be promised development as a means of securing votes. As a result, various facilities have been delivered but often with little planning. The location of these facilities may be inappropriate or inconvenient to the people; community members may then not feel responsible for maintenance because no one consulted them before installation. In such instances, the existence of a power structure which usurps people's right to influence decisions can aggravate local feelings of apathy and inadequacy.

Dependency attitudes may be expressed in different ways such as direct confrontation with project management (e.g., "What is your programme and what are you going to give us?") or denial of responsibility (e.g., It is the duty of the Government to provide us with a sewage system at no cost. Why should we do it?).

Socioeconomic factors such as differences in land ownership can also contribute to reinforcing negative attitudes. For example, there are instances where the hand pump is installed on land owned by a single family and others are denied free access to it. By storing the handle, locking the cover or closing the compound gate people are discouraged from using the pump. In many instances people accept this situation with resignation out of a feeling of powerlessness, even if they have contributed financially towards the installation of the pump.

Villagers are often wary of the hidden costs of a new water supply system. This fear may be extended to the formation of a water committee. In the words of one villager, "If a committee

is formed, then the committee will impose certain monthly contributions on the members. We are poor people. It is becoming difficult for the people to pay the government taxes, then how can they pay further contributions?"

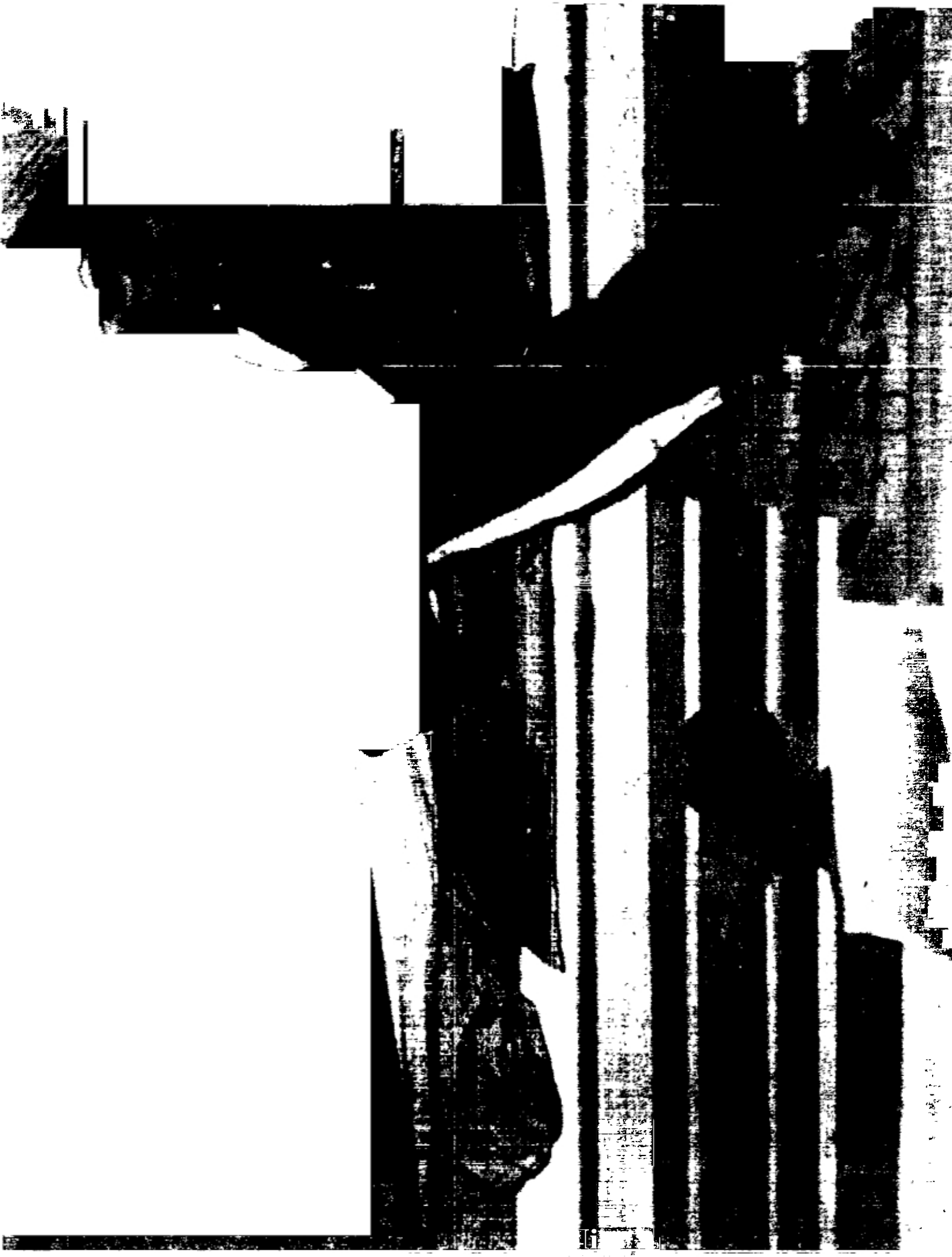
Villagers may also distrust the interventions of outside agencies because of previous experience of being let down. For example, some villagers have strong feelings about agency personnel (both national and international) who "conduct surveys, then go away with the results and do nothing to work with the villagers."

## **IMPLICATIONS FOR TRAINERS**

It should be clear from the above discussion that the task of promoting community participation is a complex one. It involves fundamental attitudinal and organizational changes at two levels: at the level of those who need to be helped, i.e., the community, and of those who are meant to help them, i.e., the support system. It requires taking care that the helping process itself is a facilitative one, and that all project resources are committed to promoting community self-reliance. This is not easy. Much of the task of sensitization and reorientation falls on the shoulders of trainers, but they themselves need repeated exposure to participatory training and materials and support to do their job well. They also need to know what community based strategies and techniques have been found effective in the past and what guidelines can be drawn from them. These will be the focus of the following chapters.







### **III. INNOVATIVE STRATEGIES AS APPLIED IN PAKISTAN**

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The purpose of this chapter is to examine a few of the innovative programmes currently in operation in Pakistan and to reflect on the relationship they bear to the critical hindrances discussed above. Since not many field projects maintain and disseminate detailed reports (or what one might call “process records”) of their on-going experience, our analysis here must rely on available materials from a small sample of development programmes, mostly under NGO auspices, e.g., AKRSP, OPP, SARHAD, and Action Aid, and some special projects with both technical and financial assistance from bilateral donors, e.g., the PATA Project and the PHED PAK/German Programme. The SARAR approach, which is being utilized in several training programmes in Pakistan, will also be reviewed.

The fact that most of these innovations are not focused primarily on the RWSS sector does not matter. What is important is that they offer insights into methodologies which have proven effective at the community level, and from which one can draw conclusions and principles which are generalizable. It is also important to note that none of these projects claim to have achieved perfection. They have learned through trial and error, some more, some less, and continue to be open to new ideas and experiences.

In reviewing the lessons they have learned, therefore, it is proposed here to start with specific human development objectives which these initiatives seem to have served, and relate their methodology to those objectives rather than describe each agency’s operations as a whole. The human development objectives which will serve as a framework for this purpose are directly related to the list of internal constraints discussed earlier.

## **A. How communities can be helped to develop organizational strength and management capacity (AKRSP experience)**

### **Focusing on risk-aversion**

AKRSP is very conscious of the fact that villagers, on the whole are either apprehensive about taking risks or feel unable to do so because of poverty. Taking that as the pivotal point for purposes of this analysis, a number of other considerations can be clustered around it. Risk-aversion has its causes. What are some reasons why villagers may not want to risk acting on the advice of an outside agency? Here are three possibilities:

- They may lack trust in the agency—many outsiders have come, done surveys, taken data, never returned; some give advice that is incompatible with the local culture or economic reality; the hidden costs of advice may be too high, e.g., through tariffs, cost of improvements, labor requirements.
- They lack confidence in themselves—they may feel they have no experience, no skills, no venture capital, no voice or influence on power structures.
- They may fear that the benefits of the project will not accrue to them but will be siphoned off by more powerful vested interests or by the elite, affluent or politically connected members of the community.

AKRSP's programme is designed to take all three of these misgivings or apprehensions head-on. This becomes evident when we examine the AKRSP strategy in relation to the following human development objectives:

#### **1. Developing the villagers' confidence in their power to act and to get results.**

Through a series of initial contacts and discussions, AKRSP makes it clear to the villagers that unless they organize themselves and mobilize their resources, no improvements in living conditions are to be expected. Neither the government nor the project will give them hand-outs. The first requirement, therefore, is that the villagers constitute a broad based participatory village organization (VO) representing some three-fourths of the village households. They must find strength through unity.

Since the villagers may have had little or no experience of participating in group projects, the second requirement is that they agree to conform to some simple rules of discipline which help to build trust in their own capacity as an organization: All members must attend weekly or monthly meetings where work done on a project is reviewed and follow-up plans are made. They must also agree to the discipline of contributing regularly to collective savings to generate their own capital. Records of individual contributions are meticulously kept. Regular contributions by members to collective savings is one of AKRSP's cardinal principles. A tremendous boost to village morale is found to result from the fact that these systematic deposits, however small, soon add up to substantial amounts which can be used as investment capital or as collateral for credit.

As the VO gains strength and maturity in collective management, confidence in taking new initiatives begins to replace the old feeling of powerlessness and apathy. AKRSP supports this growth process through continuing efforts to identify and develop local leaders and managers through training. The VO nominates members to be trained by AKRSP as village specialists in skills needed to achieve development objectives.

## **2. Building confidence in the feasibility and equity of the collective enterprise**

An important principle applied in this regard is to ensure the villagers' freedom to choose the physical infrastructure project on which they wish to work, as a means to unleash their productive potential and to increase their incomes across all levels of VO membership. The first Productive Physical Infrastructure (PPI) project is identified through consensus by the overwhelming majority of the members. It serves as the entry point for development work. AKRSP maintains that investing in jointly managed stock of physical capital is an important step towards overcoming stagnation in the village economy. At the same time the task of building and maintaining a piece of collective infrastructure (such as roads, bridges, barrages, irrigation channels, or meeting halls and schools), is found to be of strategic value in building the village organization. The VO provides a forum through which practical issues of costs and benefits and of differences in viewpoints can be worked out.

The next step is for the VO to identify an income generating project that would benefit most of its members and that could be implemented and maintained by the villagers themselves. The technical feasibility of the proposal is then appraised by AKRSP in close collaboration with knowledgeable villagers

AKRSP finds that the emerging power of village organizations can be threatening to some vested interests and is not always regarded with favor. Constant vigilance and good judgement must be exercised to manage the emerging relationships between VOs and others concerned.

## **3. Building a relationship of trust between the villagers and the helping agency.**

To secure the level of commitment required for the disciplined and effective functioning of a village organization as outlined above, the helping agency in turn must show equal or greater commitment in doing its part in a manner consistent with the objectives of community development. AKRSP's insistence that the villagers organize themselves, save regularly and choose the productive projects on which they wish to work, would result in frustration if no financial help were made available to the VO to launch its first PPI project. AKRSP provides such funding on a grant basis, the grant being an investment in the organizational process. It thus establishes its willingness to share the risks. It also provides technical assistance where necessary to help villagers get the highest possible returns on their investment of labor, time and capital. The commitment of the agency to support and guide is established but the responsibility for initiative and maintenance remains clearly in the hands of villagers. The basis of the relationship is thus mutual respect and trust, guided by a common understanding of the purposes and long range goals to be served through the partnership.

Confidence is also built by the access which AKRSP provides villagers to get assistance from other sources. This includes credit when needed. Villagers in turn earn this confidence through high repayment rates and negligible default rates.

The terms of partnership between villagers and AKRSP are not defined in advance but are worked out gradually through a series of dialogues known as the Dialogues of the Diagnostic Survey. These dialogues are built around the first PPI which thus provides practical opportunities to explore the terms of partnership at different stages of planning, organization and implementation.

Understandably, in a programme of this size and complexity there can be no guarantees that things will always go right. For example:

- In the Gilgit region some PPIs are reported to have become non-operational due to poor maintenance and some have been abandoned by the VOs for a variety of other reasons.<sup>5</sup>
- Some VOs have had to be subdivided not only because of their size (over 80 families, which made the efficient and participatory management of collective goods difficult), but also due to traditional tribal or clan divisions which affected working relationships and access to resources.
- With the expansion of the role of AKRSP's social organizers into general agents, some overlap with the functions of village organizations has also had to be sorted out.
- The most difficult goal to achieve, reportedly, has been the goal of continued equity in economic benefits.<sup>6</sup>

AKRSP, however, maintains a flexible attitude in its operations so as to continuously respond to situations arising from actual field practice. As a result, the achievements of the programme as a whole have been impressive

## **B. How community energies can be mobilized for cooperative action in sanitation. (The Orangi Pilot Project experience)**

One of the most important lessons learned from the OPP experience is that changes in the attitude of the poor take time but once a breakthrough has been achieved, it has a rapid multiplier effect

Residents of the Orangi area numbered close to two million people when OPP activities first started. They were primarily migrants from rural areas who had settled illegally on government land. Having taken the initiative to build their houses with their own labour and resources, they expected that the municipal government for its part would at the least provide basic services such as electricity and water. The need for sanitation was not felt to be as urgent, since the people had bucket latrines and soakage pits. Waste water was allowed to flow freely into the lanes

Due to lack of sanitation, however the incidence of disease increased at an alarming rate. Flooded conditions in the lanes also worsened with the availability of abundant water from the Hub dam. Residents then began to lobby for the Karachi Municipal Corporation to construct sewerage lines everywhere free of cost. Such expectations were totally unrealistic given the municipality's limited resources and the high cost of sewerage construction through commercial contractors.

At first OPP staff found it difficult to persuade residents to assume responsibility for sanitation beyond their own homes. This attitude was understandable considering the people's low income, their traditional habits of dependency and their lack of cooperative experience.

In addition to these attitudinal factors, however, two other constraints had to be overcome. (1) The cost of conventional sewerage and household latrine construction by hired contractors was far beyond what the people could afford; and (2) Orangi residents, including local masons, lacked the level of skills needed for the construction and maintenance of underground sewerage systems.

OPP's strategy in working with such communities has been to combine social organization with technical advice. In so doing OPP consistently maintained a low profile and a flexible approach based on principles of mutual respect, sharing and peer learning. As a matter of

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<sup>5</sup> AKRSP 38th Progress Report, Gilgit Northern Areas, April/June 1992, p.14.

<sup>6</sup> AKRSP Second Interim Evaluation, June 1990, pp. 76-78.

principle OPP found it more productive to work with a small number of residents at a time. e.g. a lane of 20 families became the level of organization. Experience showed that on a small scale, mutual understanding is more easily established, conflicts are fewer, disputes can be easily resolved and trials and errors can be controlled.<sup>7</sup> Using this strategy, although progress was initially slow, the pace quickened. For example, construction of the first sewerage lines took six months; but using that model as a catalyst, it soon became possible to lay 25 - 30 sewerage lines almost simultaneously

Much of OPP's success at the community level is due to the use of a Research and Extension (R & E) approach. This includes:

- a) preparation of a socioeconomic profile of the community through observation and dialogue between OPP's social organizers and the area residents.
- b) preparation of a package of advice by OPP technicians through interaction with community members at all levels, from councillors, elders, and local leaders to average residents of the area,
- c) identification of local activists, both actual and potential, in the course of these consultations;
- d) simplification of the technical designs and development of septic tanks models, manholes and pipelines through research and experimentation;
- e) provision of free technical advice and training of local masons, lane managers and area activists to work under their own management without depending on contractors, thus avoiding the excessive costs incurred in the past through contractor kickbacks and profiteering.
- f) through this combination of technology breakthroughs and training, reduction of the cost of improved sewerage and household latrines, thus making sanitation systems affordable to even the poorer residents;
- g) minimizing the resident's fear of financial losses by proposing a change from the policy of collecting lump sum payments ahead of starting construction, to one in which installment payments are collectable only as work targets are completed

At first the process of capacity building for self reliance did not always go smoothly. For example in the A1-Fatah Colony only slow progress could be made over a full two years. OPP's technicians themselves had much to learn about technical feasibility of different options for the area. Every single one out of three thousand lanes had to be surveyed and the components of alternative sewerage and drainage systems thoroughly investigated. In some areas implementation suffered delays through conflicts e.g. three lane managers in one area refused to follow OPP's technical guidance, their work proved unsound and in time the faulty lanes had to be rectified. What helped to change their minds was the success of neighboring lanes which had adopted OPP's advice

Although there are many features of the OPP experience in urban areas which can be applied in rural communities there are also differences which need to be kept in mind. For example, in Orangi, the strongest motivation for residents to get organized was that of safeguarding their homes from flood damage. The average Orangi family had invested 20 - 25 thousand rupees in the construction of their house. Often this represented their entire life's savings. Accordingly, their house was their most valuable asset and they could not afford to let water logging from soakpits and waste water destroy its real estate value. In many instances, water logging had caused the walls of old soakpits to crumble and collapse causing damage to the foundation of their homes. Protection of their property was therefore a powerful and pressing motivator for action. The health of their family was another powerful motivator and here there is more common ground with rural areas.

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<sup>7</sup> Rahman P and Anwar Rashid, Working in the Community, Some Principles and Methods, OPP Jan 92 P. 3.

One of OPP's most impressive achievements is the complete turn-around in the attitudes of residents, who previously clamored for government intervention to solve their sewerage problems. Now homeowners were willing to accept responsibility for the sewerage systems which they built with their own money and maintained under their own management and at their own cost, with no need even for a revolving fund. It is claimed that "with 4176 lanes out of 6247 having underground sewerage lines, the environment is now clear of filth. A health survey shows that 50% of diseases have been controlled"<sup>8</sup>

Equally impressive is the spin-off effect that OPP's sanitation programme has had on other sectors. For example in the education field the number of schools has dramatically increased and now represent 89% of the total formal schooling opportunities available in the area. In addition a mobile programme brings health and hygiene education to 4,000 housewives annually

The project is also credited with exceptional economic impact at the family level by organizing family interface units. Hundreds of families are said to be engaged in income generating activities conducted from their own homes and using their own labour. OPP assists them in obtaining credit from national banks and provides training in management. Since there is no tradition of cooperative association among the family enterprise units, OPP is trying to prepare the ground for such a tradition by inculcating higher standards of work and business ethics among the clients. OPP believes that success will depend, as in the case of the sanitation programme, on the emergence of activists who will work for the common cause.<sup>9</sup>

### **C. How the community can be helped to deal with equity issues through a continuous process of analysis and dialogue. (SRSC experience)**

Although the strategy used by Sarhad Rural Support Corporation (SRSC) is modelled on the AKRSP approach in many ways—e.g., promoting the formation of village organizations, encouraging systematic collective savings, and assisting the VOs with their productive investments,—SRSC's experience of working in North West Frontier Province (NWFP) highlights problems arising from conflicting interests and equity issues. Due to the rapid social change taking place in the rural communities of NWFP and the weakening of traditional structures for cooperative action, SRSC finds that the weakest sections of rural society have become even more vulnerable. There are also divisive political and economic forces which hinder the development of alternative structures of cooperative action. This has made it difficult for the community at large to readily accept and internalize the principles of participatory development; accordingly, VO formation has proved to be a painstaking and slow process.

SRSC points to three critical issues it has had to confront:<sup>10</sup>

- **Ensuring the equitable distribution of benefits in a stratified society.**

In SRSC's project areas, the large majority of the population consists of subsistence-level farmers, but there are also landless tenants and large landowners. Thus, among various sections of the community there are significant differences in income as well as in access and control of resources. In order to ensure that benefits of the project accrue to the disadvantaged and not merely to the more powerful and more vocal, SRSC finds it essential to sustain a process of dialogue in which "different interests are able to reach a mutually beneficial accommodation."

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<sup>8</sup> Rahman P & Anwar Rashid, OPP's Concepts, Methodology and Procedures op.cit p 6

<sup>9</sup> Khan Akhtar Hameed, Orangi Pilot Project Programs OPP, Karachi April 1991 PP 34-38

<sup>10</sup> SRSC Annual Review Peshawar, 1991, pp. 15-16.



- **Integration into the market economy.**

Most of the communities in which SRSC works are closely linked to market forces and demands. The village organization finds that it has to “compete with individual interests for time and capital resources from its members.” Where VO projects cannot provide immediate gratification of needs, it becomes more difficult to elicit voluntary contributions of time and resources from individual members.

- **Options presented by other development initiatives**

Some other programmes operating in the area, guided by a different strategy orientation, provide services and immediate tangible inputs without requiring any responsibility on the part of the community. By contrast, SRSC’s aim is to demonstrate the longer term benefits of community managed and community sustained initiatives. SRSC finds that this contrast with other programmes places a heavier responsibility on SRSC field personnel to help community members understand their own strengths, and accept responsibility for achieving their own developmental goals.

In the light of these issues, SRSC’s support role in the formation and functioning of VOs is found to require a process of continuous interaction and dialogue with villagers. Its major role is building up of the capacity of communities to analyze their situation, plan strategies and implement and monitor activities for attaining their goals. The process of selective planning and implementing a project serves a number of functions described by SRSC as follows:

“The selection process alone helps the community in reviewing and prioritizing its needs and identifying the available resources. The requirement of selection by consensus builds the organization’s capacity to consider conflicting needs, and to arrive at a decision which provides benefits for the whole community. The planning process helps to enhance the community members’ skills in problem-solving and systematic resource management. Even the technical design issues and problems are discussed and resolved with the community in a participatory manner. The responsibility for the implementation of the project rests solely with the village organization. SRSC’s staff is available for support whenever required but does not take the lead in implementation. The community, therefore, builds its own project and in the process acquires the skills required for operation and maintenance. The whole process gives a sense of ownership, thus ensuring cooperation and interaction in the maintenance and operation of the project over the longer term.”<sup>11</sup>

## **D. How to promote deeper levels of community participation in planning and management**

### **D 1. Involving villagers in needs assessment through Participatory Rural Appraisal. (ACTIONAID experience)**

It is now commonly accepted, in principle, that community members, including the poorest, should be involved in the decision-making process of RWSS projects right from the needs assessment stage; but how this is done in practice is often not clear. For this reason, a close look at how one NGO does it in Pakistan villages may be helpful at this point.

ACTIONAID set out with the aim of encouraging the development and use of new “processes” which can be used by the poorest to articulate their needs and priorities and take a more active role in achieving their ambitions for a better quality of life. The methods used by

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<sup>11</sup> Ibid, p 24

ACTIONAID to ensure the involvement of the community are commonly known as participatory rural appraisal (PRA). The objective is to get an accurate and meaningful picture of the baseline situation from the villagers' perspective, in dialogue with the researchers. It is assumed, that this conscious effort to involve them in a diagnostic process right at the start of a project, will foster a feeling of involvement by the villagers in drawing up their own programme.



To break down barriers and inhibitions in communication, villagers were encouraged to articulate their views both diagrammatically and verbally, as individuals and in groups. Doing a village map, for example, was found to be an extremely helpful way to create awareness among the villagers regarding issues affecting their village. Information could be structured around the map and it provided a basis for developing further baseline data collection systems. Villagers learned from the research team, saw what they needed, went away to do the exercises on their own, and brought the information back to the team.

This kind of process was considered critical to get the community involved as much as possible in the whole process of information collection. Furthermore, once information was assembled it was presented back to the communities for their feedback.

The next step was to present that analysis in a logical framework. Goal oriented project planning methods were used to show cause and effect relationships in flow diagrams. The problem flow diagrams were based on issues felt and observed by the communities rather than the team's perceptions. Once the problems are identified, in a negative form, they are inverted into a positive form, providing the basis for developing aims and objectives.

The major benefit of using participatory methods was the overall feeling among community members that project staff were really there to listen and interact with them. This has



resulted in an attitude of cooperation and involvement from the beginning. Villagers said they had never had such interaction with other agencies before.

The barriers between the team as outsiders and the local community were less apparent and subsequent discussions were frank and informative. This would not have been possible in such a short time if conventional survey methods had been used.

Participatory methodology applied to research is only the beginning. It must lead to a whole process of action planning and follow-up. ACTIONAID uses similar techniques to involve people meaningfully in the entire process.

## **D 2. Involving villagers more actively in planning. (ADP/PATA Project experience in agriculture)**

The experience of the Agricultural Development Programme (ADP) of the PATA Project in NWFP offers a good example of a gradual but conscious change of strategy for reaching and involving farmers. It illustrates how and why the programme decided to modify its participatory mechanisms, e.g., Farmer Community Meetings (FCMs) and the Farmer Interest Groups (FIGs), which had been set up in 1990 to facilitate grassroots-up involvement and attitudinal change.

Structurally, the FIG approach deviated considerably from conventional agricultural extension services elsewhere in the country. It was designed to provide a forum through which farmers could choose among technical options presented to them. Similarly the FCMs, which preceded the organization of FIGs, provided opportunities for farmers to discuss the main constraints or problems they faced in their farming and to put forward priorities on which they needed help.

After applying this system for two consecutive seasons in 1990/91, several limitations from the participatory viewpoint became apparent. For example, although the FCMs resulted in lists of problems of interest to farmers, little discussion of the problems themselves took place.

The meetings also tended to be dominated by farmers with certain vested interests of their own. During surveys, villagers acted primarily in the capacity of data providers. Their observations were subsequently analyzed and translated into recommendations by department staff, not by the farmers themselves. In the FIG meetings, likewise, although the farmers were free to choose among interventions presented to them, the design of the intervention was done solely by the department staff. It was clear that the participatory approach was not working; it left much to be desired.



The shortcomings of the approach became apparent through critical reflection on the process by staff members. This led to a search for further fine-tuning of the participatory mechanisms. The changes made included the following:<sup>12</sup>

- The mode and level of farmers' participation in the Farmer Community Meetings was modified. One of the earlier weak points was that the problems were simply listed without prioritization, and no attempt was made to get farmers to reflect on the root causes of the problems they presented. Now the farmers were asked to rank their problems and priorities.
- Large farmer meetings were split up into subgroups of about 15 farmers each, to increase the quality of the discussion and to make it easier for 'shy' farmers to actively participate. Each sub-group was asked to rank the problems in order of importance. These rankings were subsequently presented and discussed in the plenary session, leading to a final ranking.
- More active farmer participation has also been sought in analyzing problems and identifying underlying causes. Various fruitful group meetings have been held to construct problem-cause diagrams for major problems, jointly with the farmers.

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<sup>12</sup> Brummelman Gerritt, Toon Defoer & S Sajid Hussain, Evolution in farmer participation in Agricultural Development, a case study from Northern Pakistan, October 1992, pp. 5-7.

- The responsibility for the meetings has been deliberately put at a higher level in the department to ensure a better understanding of the goals of the meeting, which are in particular two: to increase farmer participation and to improve the quality of the discussion. The fact that senior officials are committed to a broad based participatory policy has had a positive effect even in local meetings, which now are not so easily dominated by a few vocal farmers.
- Through discussion, consensus is reached on how best to implement trials to resolve the priority problems identified.
- A mutual understanding about obligations and expectations is established and explicit agreements are made between farmers and project staff on the responsibilities of each in the implementation of the exploratory trial.
- A determined effort is made throughout to ensure that the farmers consider the trial as 'theirs' and that the main responsibility for implementation lies with them, while the staff assures their backstopping and technical support.

## **E. Strengthening the capacity of individuals and groups to work towards common goals (The SARAR experience)**

The term SARAR stands for five attributes and capacities: Self-esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility for follow-through. In the SARAR experience, these five qualities are the minimum essentials for community participation to be dynamic and self-sustaining. They serve as antidotes to the many inner constraints discussed in Chapter II. SARAR techniques also help to level the hierarchies within a group, thus opening the way for all to participate on an peer basis including the poorest, most disadvantaged and least articulate members of the community.

UNDP/PROWESS adapted the SARAR method for use in the RWSS sector in some 20 developing countries on the assumption that the success of the programme largely depends on enhancing the contribution of community members and in particular, rural women. With PROWESS/World Bank Support, several development agencies in Pakistan have integrated or adapted SARAR philosophy, techniques and tools, to strengthen the participatory component of their field programmes and training activities.<sup>13</sup> The methodology has also been incorporated into the Pakistan Unicef assisted water and environmental sanitation (WES) programme which is implemented by the Local Government and Rural Development Department (LG&RDD) in the provinces of AJK, Balochistan, NWFP, Punjab, and in Sind by the Rural Development Department (RDD).

Since the field application of this approach in Pakistan is at an early stage, efforts have concentrated on training at different levels, from the training of Master Trainers to that of Union Council Secretaries. Some workshops have been multi-level; for example, the Balochistan Workshop on Participatory Approaches for Community Development which was held in Zhob in August 1992 included development officers, engineers, Union Council secretaries and social organizers.

Participatory methods and tools introduced at SARAR-based workshops enable trainers to create effective learning experiences at the village level to help conceptualize and carry out specific projects with optimal involvement of all concerned. By being involved in new ways,

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<sup>13</sup> Representatives from 10 different agencies attended a National Participatory Training Workshop held in SWAT in October 1991 under the auspices of the Ministry of Local Government and Rural Development in collaboration with UNDP/World Bank, and several more participated in a Follow-up Workshop held in Bhurban in November 1992. Some of them also participated in an International Master Trainers' Workshop organized under UNDP/PROWESS/World Bank auspices and hosted by the Government of Pakistan in Islamabad in November 1991.



learners working in groups discover new talents and abilities, an enormous boost to self-confidence of individuals and to their trust in the group process. The quality of participation in needs assessment, planning and creative problem-solving steadily improves through the cumulative effect of a series of such experiences.

To achieve these aims SARAR uses five methods:

**Creative** - to promote fresh viewpoints, new ideas/solutions

**Investigative** - to demystify research; involve learners in data gathering and processing.

**Analytic** - to engage learners in problem-solving

**Planning** - to develop skills in systematic action planning

**Informative** - to access information in an enjoyable way

Monitoring and evaluation of progress forms an integral part of all five. The human development objectives of this approach and their relevance to the RWSS sector are illustrated in the chart No 2, on the next page:

SARAR Human Development Objectives	Relevance to RWSS:
<ul style="list-style-type: none"> <li>- to develop an increased sense of self-worth, and awareness of capabilities, resulting in an increase in self-directed behavior and participation in community affairs;</li> </ul>	<p>Many more community members take active part in discussions and decision-making,</p>
<ul style="list-style-type: none"> <li>- to be more resourceful, inventive and creative, more open to trying new things, more capable of generating new solutions;</li> </ul>	<p>e.g., Receptiveness to new technology. Initiatives in fund raising;</p>
<ul style="list-style-type: none"> <li>- to grow in ability to critically examine one's beliefs/practices and make sound decisions on future courses of actions;</li> </ul>	<p>e.g., Critical assessment of beliefs and practices regarding health, hygiene, water sanitation; attitudes towards women's participation ;</p>
<ul style="list-style-type: none"> <li>- to be better able to solve problems through analysis of causes and alternative solutions;</li> </ul>	<p>e.g., Problems of cost sharing, equity of benefits,</p>
<ul style="list-style-type: none"> <li>- to acquire basic planning skills including setting goals and selecting solutions;</li> </ul>	<p>e.g., Planning in regard to site selection, technology choice, water uses, roles in management;</p>
<ul style="list-style-type: none"> <li>- to seek knowledge and other resources as needed;</li> </ul>	<p>e.g., technical skills, knowledge of water borne diseases, contamination routes;</p>
<ul style="list-style-type: none"> <li>- to be able to function effectively in a peer group so as to increase its power as an instrument of change;</li> </ul>	<p>e.g., group decision to form village organization, group problem-solving;</p>
<ul style="list-style-type: none"> <li>- to increased the sense of social responsibility, including willingness to assume new roles and make commitments,</li> </ul>	<p>e.g., willingness to pay for services and to be responsible for O&amp;M;</p>
<ul style="list-style-type: none"> <li>- to be able to think ahead, visualize a better future.</li> </ul>	<p>e.g., anticipate expanding needs for water/sanitation,</p>

In the experience of SARAR trainers it takes more than one exposure to a participatory workshop for staff to develop the facilitative skills they need to achieve the above objectives. Those who are used to lecturing and imparting messages may find the habit hard to break. Others whose primary job training is in a technical field, e.g , engineers, may initially feel that "this whole business of facilitation" is beyond them. To make it easier for staff to apply these broad objectives in their day-to-day work in the RWSS sector, a number of SARAR tools are being used and new tools on the same principles are being created. Many of them are described in Part II of this manual.

If the process seems too complex or the range of objectives too wide, often an acronym can serve as a simple reminder of the essential qualities to be promoted. SARAR uses the acronym QUOTA to remind field staff that the community has a share of responsibility for the success of the project. To help the community fulfill its part, the entire operational strategy must be conducive to the development of certain attributes and dispositions at the community level. These essential qualities, symbolized in the acronym QUOTA, are as follows:

- Q Questioning ability: the ability to look at one's situation critically, to uncover reasons, possibilities, solutions, to examine the validity of traditional beliefs and practices in today's context.
- U Unity of purpose: group solidarity in setting goals and working towards them; joining forces to constitute an organization.
- O Ownership of the project: assuming responsibility for its success, making a commitment for sustained effort.
- T Trust. in one's own ability and in the partnership arrangement, trust that differences can be resolved through dialogue to assure equitable benefits.
- A Action. to get the plan on firm ground, to learn from experience and to get results.

## **F. How community effort can be reinforced through service linkages to village organizations (IRDP/PAK/German Programme experience) <sup>14</sup>**

In the first two phases of the Integrated Rural Development Project, while some measure of self-help had been demonstrated, the sustainability of the effort was seriously in question. A refocusing of the project scope has therefore been planned for Phase 3 by using a dual strategy:

- Strengthening the formation of village self-help action groups by modelling on the AKRSP approach (the scope of the organizations, however, will be slightly more focused, targeted preferably on groups sharing an economic interest).
- Linking these local organizations into the existing structures of governmental and non-governmental services in order to assure continuity of effort after project end. The linking function will be done primarily through village extension workers and village group representatives. They will be given training for this purpose.

The basis of cooperation between the village groups and the IRDP is laid down in a joint agreement of general Terms of Partnership (ToP) which includes:

- a commitment by the group to constitute an organization, meet regularly and engage in systematic collective savings, and
- a commitment by IRDP to provide the necessary technical advice, training and financial support.

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<sup>14</sup> PAK/GERMAN/IDRP Mardan, Implementation of Phase 3 Concept, April 1992, pp. 3-4, 12-18



In the past, the project was organized along sectoral lines, i.e., the various sectoral specialists operating within the project were organized so as to provide technical support to the self-help groups. It was felt, however, that this type of sectoral service arrangement could create a dependency in the villagers' minds, not tenable once the project ends. In the new approach, more emphasis is placed on the learning process by which people organize themselves to achieve a common end and take steps to acquire the necessary external support to reach their goals.

This has required changes in the organizational structure of the project. While the technical services are still there, they operate in a staff function and through the social organization field link. At the same time, the project provides upward linkages to the existing service institutions representing and supporting the villagers' requirements for assistance from the agencies already serving the area.

This has come to be known as the "sandwich" approach to local development. It tries to join two slices of the development process, i.e., the self-help capacities of the villagers and the capacities of service institutions to provide services on participatory lines.

Even though no detailed report on the field application of the Phase 3 concept was available at the time of preparing this manual, the concept itself raises a number of issues which merit serious consideration. First of all it calls attention to the fact that for the success of a community managed project, the institutional aspects of the support system also need to be taken into account, in particular the managerial support functions. Tied in with this are the issues of delegation of responsibility and sharing of decision making, and the need for flexibility in planning. These issues may not loom as large when action is focused on a pilot area, but they certainly have to be confronted when the project goes to scale.

## **G. EXTRACTION OF THEMES:**

Some insights and generalizable principles that can be gathered from the experience of various field projects discussed in this Chapter include the following, which will be further developed in Chapter V.

- Village people's attitudes of dependency and fear of taking risks must be taken seriously into account in project planning.
- A social approach combined with technical advice and flexibility in implementation can help to build trust and local confidence.
- An essential step in this process is to promote an appropriate form of community organization.
- A collective enterprise can be the means of bringing villagers together to work for a goal which benefits them all. Defining such a goal and the means to achieve it requires a process of continuous dialogue.
- The discipline of regular meetings and systematic savings contributes greatly to local empowerment.
- The relationship of outside agents and community members must be one of mutual respect and open communication.
- Involving the villagers in a diagnostic activity of assessing their needs is an essential first step in promoting a sense of ownership of the project and responsibility for its success.

- The participatory process can be expedited and made more stimulating and productive through the use of techniques that are focused on people's development. Project staff need to be trained in such techniques.
- Community based projects have to be matched by a management style that is flexible and open to innovation.
- The definition of ways and means by which the support agency can be more responsive to the community's growth needs is of crucial importance to the success of the project.





## **IV. THE ROLE OF WOMEN IN RWSS PROGRAMMES IN PAKISTAN**

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If a project manager were to be asked whether rural women in Pakistan should be involved in decisions affecting rural water supply, in many cases the answer is likely to be “Yes. . . but.” Yes because domestic water supply has traditionally been considered to be within women’s domain. They are the ones who usually have to satisfy the family’s needs for water for a variety of purposes cooking, washing, drinking, bathing, sanitation and care of livestock. In some areas of Pakistan women reportedly spend more than five person hours per day fetching water over steep mountainous terrain, balancing heavy containers on their heads and by hand, and often carrying children at the same time.

Whether or not the arduous physical task of hauling water is done by women alone or is shared with children and others in the village, ultimately it is the woman who is responsible for the family’s water supply. It is she who determines how much is needed, how it will be stored, how used and by whom. Protecting the water from contamination and rationing its use thus become matters of direct concern to women. The health of the entire family depends on how wisely a woman regulates the storage and use of water within the home; and this in turn depends on the ease with which she can access the water required for family use, in the quantity needed and of a quality she considers acceptable, even if only judging by its taste and appearance.

In all of these actions concerning water storage and use, women are clearly the decision makers. But are they also involved in community level decisions related to water supply? For example, do they have a say in the choice of a site for the pump, or in selecting among technology options or in establishing a tariff system for water use? In most cases, no. While their role as the community’s main water users is clear, what is not clear is whether and how they can play a broader decision making role outside the family without violating the norms of the socio-cultural context in which they live.

In exploring this matter further, several factors should be taken into account. They are discussed below as a set of “needs” for women’s advancement.

## Five “needs” which can help enhance women’s participation in community decision making.

### Need #1. To recognize women’s economic contribution.

As in most developing countries, rural women’s work in Pakistan is generally considered to be routine, confined to domestic chores and therefore their contribution to the nation’s economy is not adequately reflected in productive labour statistics. In reality, however, they are found to play an important role in the economic life of their village. This is confirmed in a number of formal or informal assessment studies conducted in recent years.

For example, in many parts of the country, rural women are responsible for processing farm products, rearing animals and poultry, keeping gardens, and producing textiles and clothing, all of which is done in addition to fetching water, gathering fuel and fodder, disposing of waste, maintaining buildings and nurturing and raising the family. In statistical terms, AKRSP finds that women provide over 50 percent of the total labor used in farm activities, in the Northern areas. In the Northwest Frontier Province (NWFP) the Malakand Social Forestry Project notes that the care of livestock is the sole responsibility of women throughout the Malakand Agency, except for a few households where this responsibility is shared. According to a survey conducted by the Barani Agricultural Research and Development Project in 5 districts of NWFP, 85% of the rural women participate in agricultural work and are responsible for 25% of the production of major crops and 30% of the food crops. Women’s contribution to the total agricultural income is conservatively estimated to be in the order of 25-40% (World Bank, 1989)<sup>15</sup>

Since the value of women’s economic contribution is not fully recognized and appreciated, they are often by-passed in project planning. This tendency can be seen very clearly from the following observation on experience in the agricultural sector in Pakistan:

“Despite the fact that women do carry out many independent activities in agriculture, their role is usually defined as “helping the men”. In fact they themselves tend to define their role in this way. Since their decision-making power is limited, even when it concerns their own activities and time allocation, they are usually not considered independent actors in the production process. This dependency represents a serious constraint on the ability of the project to approach women as a target group, particularly when extension recommendations involve the use of external inputs or adopting new technologies.<sup>16</sup>

Rural women’s productive roles are of course likely to vary considerably with differences in the economic situation of their families and with the degree to which ethnic or cultural norms restrict them to the family compound. Various studies have shown that in the Punjab the input of females in economically productive activities declines with the rise in economic status as determined by size of land holding. Similarly one study indicates that under equal ecological and economic circumstances, the female participation rate of rural women is lower in the more conservative Pakhtun areas of NWFP and Baluchistan, as compared to the Punjab.<sup>17</sup> However, regardless of how limited their productive roles may be, even the least of such activities, if it is to be done efficiently and bring returns, requires the use of intelligence, good judgement and basic managerial skills for which the persons involved, regardless of gender, deserve credit. Where such credit is not being given, it follows that fair opportunities for improving skills will not become available. This disparity needs to be rectified.

Male community members must be enabled to see that by acknowledging and attaching value to women’s economic contribution, everyone stands to gain. A fair minded assessment of gender roles should open the way for women to receive much-needed technical assistance and

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<sup>15</sup> Calor, Munique and Wahaj, Rubin, Policies and Strategies for Planning and Implementation of the Women’s Component PATA/NWFP/IRDP Dec 1991. p 9

<sup>16</sup> Ibid, p 11.

<sup>17</sup> Shaheed, F. and Muntaz K., Women’s Economic participation in Pakistan: A status Report, UNICEF, Pakistan, p 24

resources of which, at the moment, they get an inadequate share. Technical and moral support will help to improve women's task performance, resulting in more efficient time use and larger gains to their immediate families. By enhancing women's access to resources, through a credit scheme, the UNICEF sponsored programme in Baluchistan has shown that qualitative indicators like women's sense of self worth can be radically improved; thus, giving them the opportunity to become direct beneficiaries of the development process in a non threatening way.

The PAK/German Integrated Rural Development Programme in Mardan, NWFP, has followed a strategy of practical demonstration in order to convince the male members of the community regarding the economic viability of women's activities. By initiating a joint credit scheme targeting both males and females, the programme has been able to establish the credibility of female borrowers. In the same villages, the repayment rates of female borrowers were observed to be higher than those of male borrowers.<sup>18</sup> Moreover, in the savings programme, women have been active partners, and have thus directly contributed towards the financial capacity of the community to invest in additional initiatives, both private and collective.

The OPP programme has demonstrated that major strides in the role of women can be made once the community is convinced of the value and importance of women's contribution to development. For example, the self-support activities in the Orangi area have led to the sprouting of hundreds of family enterprise units in the lanes, some with OPP guidance, others spontaneously. Women have become active workers and partners in these enterprises. OPP finds that the quickly multiplying family enterprise units highlight a great social change in the traditional life style of the community. Not only is the number of working females increasing rapidly, but women entrepreneurs are also coming forward. In fact among OPP clients, 283 family enterprise units (i.e. 21.8 percent) are run by women managers.

The need to create awareness of women's productive contribution must begin first of all at the community level, since the community stands to gain most from a change of perspective. It also needs "awareness-raising" at many other levels, in particular at the level of project management, sectoral agency, and local leadership.

## **Need #2. To increase women's access to education**

Girls education generally tends to be of low priority in village communities of Pakistan. As a result, literacy rates among rural women are extremely low, in some areas barely 3 to 4 percent.

Two reasons are commonly given for differentiating between girl's and boy's education.

- Girls are needed at home by their mothers to look after younger siblings and to help with household chores.
- Schooling involves costs. It makes more sense for low income families to invest in the education of boys who have better prospects of using their education to get salaried jobs.

In certain areas, however, greater value is now being attached to girls' education. It is felt that education will help to make them better mothers and will provide them with greater confidence. In a survey conducted by Actionaid, such positive attitudes towards female literacy were seen to be fairly common in the Kalinger area. In one village, a father who was determined to educate his daughter, was noted as saying:

"The difference between an illiterate and an educated person is like the difference between a donkey and a parrot. The parrot as a bird is wise and quick to learn, while the donkey will go backwards if you push forward and forward if you push backwards."<sup>19</sup>

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<sup>18</sup> Saeed, Ismat Ara, Women involvement in Community Development Efforts, PAK/German Integrated Rural Development Project Mardan

<sup>19</sup> Irum Hashmat and Lubna Hashmat. Actionaid, p 1



Although being illiterate is not synonymous with being ignorant, it is easy for an illiterate person to feel inferior vis a vis others who have had more exposure to formal education and who are more articulate and better connected. Socialization factors which create feelings of inadequacy, unworthiness and timidity can hold back village women from taking an active part in community decisions, especially those involving negotiations and contractual agreements with authority figures.

Traditional methods of teaching literacy have often proved discouraging to adult women who have little time to spare and little patience to learn phonetic skills as such. Women's education has to be informal, lively and functional if it is to arouse their interest and sustain their motivation. Available participatory techniques for adult learning need to be fully explored and new approaches designed, keeping in mind the specific needs, constraints and potentialities which apply to rural women in different areas of Pakistan.

Many innovative approaches are being tried to improve literacy among young girls and women. One such programme is the LGRDD/UNICEF pilot project targeting cotton pickers in the Multan area. Adult literacy centers have been established to support the organization of female youth groups which have now become the main implementers of the approach at the field level. The success of this project can be measured by the fact that the female youth groups actively identify and plan the components of the literacy programme.

The OPP experience gives encouraging evidence that traditional barriers to girls' education can be overcome. For example, out of 509 schools in the Orangi area, 443 (i.e. 87.1 percent) are now co-educational and only 66 (12.9 percent) are segregated. This expansion of opportunities for girls' education has been accompanied and supported by a corresponding increase in female teachers. Out of 1818 teachers in 1991, 1318 (i.e. 74.8 percent) were women and 457 (25.1 percent) men.

Furthermore, traditional attitudes can be overcome by involving communities in the selection of teachers. The Basic Education project for girls, being sponsored by UNICEF in the



Thatta district, has shown that constraints like non-availability of female teachers can be superseded if the community is allowed to nominate their own teachers. In a number of cases, the community selected male members as teachers to head the community's literacy programme for girls.

### **Need #3. To consider cultural limitations when planning resources needed by women**

Special situations arise when services and resources which women need, e.g., clean water supply, access to latrines, medical services, come in conflict with the prevailing cultural norms. For example, in case of illness, women may need urgent medical attention but in the absence of female professional medical staff, health problems may have to go unattended and often become chronic.<sup>20</sup> In addition, when health care facilities are only available outside the village, women may not have access to them (except in emergency situations) due to restrictions on their mobility. The same applies to other services such as agricultural extension, technical training or markets for local produce. This restriction applies in particular where accessing these services involves direct communication with males.

Similar ethical dilemmas may arise in connection with women's access to water supply. When selecting the site for a new water source, e.g., a handpump, sometimes a public place may be selected for the convenience of all without taking into account local restrictions which would bar women's use of that site.

The extent to which women's mobility is restricted varies, of course, from one ethnic group to another. In pakhtun areas where the rules of conduct are particularly strict, the siting of a pump poses a problem, as the following observation indicates:

"In Loralai. . . due to strict purdah observance, installing a hand-pump outside the compound will probably mean a constraint for women to fetch water. In theory more people will have access to the pump but practically such a public place may be hardly visited by women; they will prefer to walk longer to an alternative water source if less exposed to possible passers-by. Sometimes a wall around a pump may be a solution to overcome women's hesitancy but certainly not so in many cases. In Kharan and Chagai the village and its direct surroundings is considered not to pose a great risk for a woman. If male outsiders enter the village all women will instantly retreat in their homes. In pakhtun areas similar free movement for ladies is unthinkable."<sup>21</sup>

In the past, site selection in RWSS projects in Pakistan has often been done without consulting women beneficiaries. Since women are in fact the main users of the water source and they are the ones required to observe cultural restrictions of whatever kind, it should make sense to consult women before selecting a definitive site for the improved water source. In a number of sanitation projects, it has been demonstrated that by involving women in the process of technology choice and site selection, acceptance levels and effective use of the facilities can be improved. For example, in the UNICEF Northern Areas Sanitation project it was found that when women actively participated in the project there was an increase in both implementation through the meeting of targets and in the utilization rates of latrines. To the contrary, in the case of the Mardan Integrated Rural Development Programme, it was found through a field survey, that in one village only 4 out of the total latrines constructed, were being used. A major factor that had contributed to this outcome was the oversight on the part of the project staff in terms of including the women's group in planning and implementation.

Sensitivity to the need for involving women and the use of simple participatory educational techniques, can in fact foster rural women's participation in the comparative assessment of different options from their own perspective. This can be a first step in a longer educational process for helping them gain skills in problem-solving.

<sup>20</sup> Action Aid Progress Report, January to June 1992, p. 6

<sup>21</sup> Toot, Mattijs, An evaluation study of O&M of Afridev Pumps, Quetta, 1991, p. 21.

#### **Need #4. To reduce women's drudgery and to free their time for better uses.**

The very heavy workload which rural women carry is seldom questioned, either by the women themselves or by their community at large. It is generally accepted that this is their destined (or at least socially sanctioned) lot, as daughters, wives, and mothers. The women themselves may not wish to question their lot in life. As one project report illustrates:

“It is very difficult to ask women if they are happy with their situation or not. By saying they are not happy they would implicitly say that Allah has not given them a good life or that their parents or husband is not good for them. For these reasons, women were indirectly asked if they were satisfied with their position by asking them if they would like their daughters to have the same life as they.”<sup>22</sup>



Three types of solutions are being tried by innovative development agencies in Pakistan to both reduce women's hardships and to increase their problem-solving capacity:

- One is to increase women's access to labor-saving technology such as nut cracking machines introduced by AKRSP in the Northern areas. AKRSP's WID and technical sections collaborate in developing and disseminating packages designed to decrease women's workload and increase their earning capacity. However, some problems with acceptance are reported
- A second solution is to initiate separate demonstration projects for women such as poultry raising and vegetable growing (also by AKRSP) or women's nurseries to produce high value animal fodder (by the Malakand Social Forestry Project, NWFP). These activities are carefully monitored so as to assure an experience of success. This practical proof of what they can achieve empowers women to take new initiatives on their own

<sup>22</sup> BKG op cit, p 20.

- These measures, however, have sometimes run into problems. In some instances, village men have interfered by either appropriating the technology for their own use or by attempting to take over the management of demonstration plots such as women's fodder nurseries. This is where the assisting agency has had to take a firm stand in discussing the problem with the male village leadership.



Most importantly, women's feeling of powerlessness is being counteracted by promoting the formation of Women's Organizations (WOs), sometimes starting with informal discussion groups at the neighborhood level. WO's are, in most cases, separate entities from the regular Village Organization (VO). However in some areas, due to opposition from the male villagers, no separate WO's have been encouraged but, instead, VO's have a women's section. Although cultural and religious differences tend to inhibit the spread of WO's to some extent, the principle of encouraging women to participate in development activities is said to be gaining ground.<sup>23</sup>

One such programme that can be cited as an example of successful female involvement is the PAK/German Integrated Rural Development Programme in Mardan.<sup>24</sup> Women's participation in income generating activities like forestry, poultry rearing and fruit cultivation was promoted by actively supporting women's organizations, through a process based on mutual trust and self respect. In terms of initiative taking and follow up, in certain instances women's organizations were perceived to be more dynamic than the male village development organizations (VDO), e.g. in one village the project had to withdraw support from the VDO due to lack of interest and commitment, while in the same village, the women's section of the programme assisted the women's group to successfully implement income generation projects through poultry breeding and fruit plantation activities and savings and credit schemes.

<sup>23</sup> AKRSP Thirty-Eighth Progress. April - June 1992, p. vii

<sup>24</sup> Saeed, Ismat Ara, Women Involvement in community Development Efforts, PAK/German Integrated Rural Development Project Mardan

## **Need #5. To increase the number of women trained as extension workers and technical staff**

To expedite improvements in rural women's situation, it is imperative that WID programmes must be able to attract and retain female staff of the calibre and attributes acceptable to local communities. This has not been easy for several obvious reasons, such as the shortage of resources and facilities for training female development staff and the difficulties which women extension agents often encounter at the village level i.e both physical hardships and problems of acceptance by villagers themselves. There are ways to overcome these problems by training more women from within the village itself.



Several agencies are also making special efforts to train female professionals and auxiliary staff to help reach and involve rural women in RWSS programme activities. For example, the Pak-German Promotion of PHED NWFP organized a 3 day workshop for Lady Health Educators from the Health Department and other agencies to train them in conducting health and hygiene education. The trainees were each provided with a kit of materials to help them initiate village based training for women. Their function is to promote hygiene education practices in villages where water supply schemes are being implemented by PHED under the integrated concept.

To overcome the shortage of female staff several innovative solutions are being tried: Some RWSS agencies have attempted to involve women extension workers from other line departments, e.g., Health or Social Welfare. To get around the problem of finding literate women for extension work, one project gets the cooperation of school going boys to help their illiterate mothers in doing the paperwork required for extension tasks. As the level of literacy for females has improved in the Northern areas, many male managers of women's organizations are now being replaced by female ones. In one village, the role of the manager has been expanded to include village accounting activities. Every fortnight, the female manager is now required to

audit the records and accounts of different women's organizations and male village organizations in the area. In all instances, the consent and support of male members of the community has been assured from the start. To overcome issues of female mobility, a mobile teachers' training unit has been set up in Baluchistan, which focuses on training female teachers within the districts.

Local distrust of outside female workers is also found to decrease with time. The following excerpt from a field report is an example:

"During an in-depth interview a woman was asked to if she had appreciated the hygiene education visit. Her answer was the following: 'It was the first time for us that we were visited by women we did not know at all. First our men did not like it but we said, it is good that they come. Then they accepted it. You have made an entry point for us.'" <sup>25</sup>

Future efforts to involve rural women in the RWSS sector will need to start out by confronting some hard questions. For example:

- What are the costs to the sector of female specific constraints as they apply in different parts of the country? What are the costs of these constraints to women and their families?
- What adjustments will need to be made and by whom in order for women to benefit fully from the RWSS programme?
- What strategies and measures to involve women in the sector would be both effective for the sector and non-threatening to society?
- What are some indicators of positive change in women's situation (a) as it affects the sector? and (b) as the sector affects women?

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<sup>25</sup> BKH Preliminary Report Low Cost sanitation Programme, Op. cit, p. 15.



## V. GUIDELINES FOR PLANNING WITH THE PEOPLE

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The well-known economist and educator, Gaston Berger, founder of the Prospective Method, who liked using simple analogies to drive home a point, had this to say on the need for insightful policies:

“On a well-known road, the driver of a cart who slows to a walking pace at night can rely on a weak lantern to light his path. But an automobile which is traveling at a high speed over an unknown region must be equipped with powerful lights. Driving fast without seeing anything would be absolute folly. Yet is not our civilization getting involved in an adventure of this kind?”

In a sense, RWSS projects are also travelling along an uncharted path. There is, as noted earlier, considerable pressure to proceed at top speed. Yet field experience advises caution. There are road blocks ahead and steep ruts to be avoided.

The preceding chapters make it clear that in most cases, the goal of self-reliance cannot be achieved through top-down directives, imposed contracts and 100% financing by an outside source. This is not to say that institutional resources are not essential but they must be used in a way that promotes self-help. To achieve an ambitious target of providing water supply to all rural areas, the people's attitude of dependency on the government must be reduced through a support system which itself is designed to encourage and enable local communities to exercise initiative and gain a sense of ownership, responsibility and commitment.

Since the support system in the past has not been designed specifically to fulfill such an enabling role, a set of guidelines addressed to different levels of planning, management and implementation needs to be developed. The trainer, to whom this manual is addressed, must be able to see the whole picture in order to incorporate the guidelines adequately in the orientation and training of project personnel at different levels.

The following guidelines are based on insights drawn from a variety of practical experiences in Pakistan and other compatible experiences. Some of these experiences have been referred to in preceding chapters of this manual; they have helped to identify the issues which need to be addressed and the participatory principles which apply to them. Obviously any guidelines of this nature should be adapted, trimmed or expanded to suit specific situations in different parts of the country.

## **A. Guidelines for the development and support of community based RWSS initiatives**

### **1. Conceptual clarity:**

The concept of community participation and the principles which can translate this concept into action must be clearly defined at the start of the project.

- For a community-based RWSS project to be successful, its plan of action must be guided by a clear concept of what is meant by community participation in terms of specific attitudes, abilities, roles and relationships which are essential to effective partnership. The agency responsible for the design of the project will also need to know precisely what principles of human development and community organization need to be observed, in its specific context, in order for the community to become fully empowered to fulfill its role. These principles may require major changes in overall policy and project management styles.
- It is not enough for project leadership alone to have such conceptual clarity. It must be shared by all staff. They need to arrive at this common vision through analysis and discussion, not simply by being told about it.
- Trainers have an important role to play in this process. They need to engage staff, at all levels, in examining their individual viewpoints concerning community participation so as to arrive at a shared vision of the goal. In that way all energies can be focused on achieving the goal as a team.

### **2. Policy consistency:**

Project staff are more likely to apply participatory principles in working at the community level if they see the same principles applied consistently within the project's institutional system.

- The principles which enable the *community* to function better by becoming stronger, more self-directed, are basic principles of human development and organization which apply equally to *project management*. Supervisors and managers need to be aware that they are in fact role models for personnel down the line. If junior staff and field personnel have little or no role in programme decision-making and if their performance is evaluated strictly by their ability to follow directives and meet prescribed targets, it will be harder for them to use a different, more facilitative, way of working with people than if they had experienced it first hand in their own work setting.

Modern management practice confirms that employee participation in decision-making, on the principle of shared ownership, is a powerful motivator. The project's personnel policy and management procedures as a whole may thus need to be reviewed from the viewpoint of consistency with the philosophy of open communication and shared decision-making.



- This review may need to focus in particular on an analysis of the reward system: To what extent does current policy on promotions, incentives, transfers, reporting, etc. encourage or discourage the use of participatory approaches in (a) working at the community level, and (b) the performance of normal duties within the organization? For example, premature transfer of staff trained in participatory approaches and overburdening field personnel with reporting requirements and quantitative targets to be achieved can indeed be counter-productive. If there is genuine commitment by project managers to the goal of community participation, they will continuously review the project's policies and procedures in terms of their eventual impact at the grassroots level.

### **3. Coordinated multi-sectoral effort:**

The cooperation of other technical services, based on mutual understanding of goals and principles, is essential for the success of a community based RWSS project.

- In the eyes of average villagers, their quality of life and well-being cannot be divided up by separate sectors since all their needs are related in one way or another. For this reason a highly specialized sector such as RWSS needs to establish linkages with other agencies to be able to respond to local aspirations in an integral way.
- Far too often such inter-agency cooperation has had to be worked out at the field level, depending on good relations among individual extension workers. Despite good will, however, problems of coordination arise at field level due to lack of transport, conflicting task assignments by supervisory personnel or different work schedules for field staff (e.g., some working primarily in the evenings and others during the day). Most of these problems could be resolved through coordinated planning at higher levels.

### **4. Local government and institutional development:**

The participatory training of local authorities and other elected or traditional leaders should be a matter of high priority.

- To a large extent the success of a RWSS project will depend on how well the lead institutions of the area, in particular the local government, accept and internalize the principles of community participation.  
  
If local leaders, for example, are exposed to participatory training, they are likely to be more willing to use a democratic process in decision-making, e.g., in the selection of community members for special training or in the constitution of a Water Committee
- In working at the village level a cardinal principle is to avoid imposition from above, as much as possible, and give the people the dignity of a partnership relationship where they play a central role in decision-making in matters directly affecting their lives. Care needs to be taken, however, to see that these decisions reflect the thinking and consensus of average villagers and are not simply imposed on them by local vested interests or authority figures. Careful attention needs to be paid that all groups within the village are represented on decision-making committees. Political power-wielders and influential traditional leaders need to be convinced of the benefits of such wider participation.
- A common tendency in the RWSS sector is to set up Water Committees too quickly and to expedite the selection of caretakers on the recommendation of prestige leaders of the community. These shortcuts often lead to poor results. A participatory group

process should precede such decisions since it allows new leadership elements to emerge. It thus broadens the base from which talent can be drawn for various management roles. While the final choice is always up to the people, the selection process should throw the net as wide as possible.

## 5. Role of women in RWSS decisions:

Since women are the primary users and managers of water supply, it is indispensable that their viewpoints be heard and accommodated in community level decisions for the sector



- This principle needs to be emphasized, in particular, in areas where women have led a sheltered life and may be diffident to express their opinions on what is most convenient or beneficial to them, for example, in matters of site selection, cost-sharing criteria or technology choice. In particular, it is essential that local leaders realize the importance of involving rural women as fully as possible in the planning and management of water resources regardless of their level of literacy or economic status. Their contribution can be brought into the mainstream without transgressing local cultural norms. Special precautions are needed to ensure that they have equity not only in participation, but also in access to resources and benefits.

## 6. Time frame and budgets:

Project managers and donors must be ready to acknowledge that participatory processes take time and need flexibility in management but that these requirements pay off in a big way through people's increased capacity to shoulder O&M responsibilities

- In current practice, field staff whose job security depends on showing tangible results often feel pressured to hurry through the process and pay lip service to community

involvement. Accordingly, they do not always allow sufficient time for villagers to reflect at their own pace on the causes or the consequences of their problems and the options available for resolving them. Interventions become dictatorial and even manipulative when too much pressure is exerted on the group to show results or to meet deadlines. A flexible schedule is therefore essential if field work is to proceed in a non-manipulative way.

- In order for staff to conduct the community development process on these lines, adequate budgetary provisions must also be made, in particular for staff training and support, including transport and educational tools which help to facilitate community involvement.

## **7. Monitoring & Evaluation**

- If community management is to be a central goal for the RWSS sector, then project managers need to be vigilant to see that all actions down the line are consistently directed towards that goal. This implies following closely what is happening as a result of the intervention, particularly at the field level and preferably through process records which provide insights into attitudinal and behavioral change. A process record is an indispensable tool if managers want to keep track of where the project is heading and why or what is holding it back. Although anecdotal and somewhat subjective in nature, a process record helps to examine the sequence in which actions were taken and with what consequences; then on that basis, it offers clues as to the positive ways in which staff should be using their energies.
- For projects that are making the major switch from a top down approach to a participatory one—or even for those combining elements of both—the criteria for evaluating success or failure may need to be drastically modified. The tendency in the past has been to focus on quantitative results: number of pumps installed, how many meetings were organized, what percentage of systems are maintained in good repair over what length of time and at what cost, etc. These quantitative outputs no doubt are relevant, but by themselves they can give an incomplete (and sometimes misleading) picture. More important is to look for qualitative indicators of change, e.g., examples of initiative, calculated risk-taking, good organization, group planning, effective use of water resources, increased willingness to pay, regard for women's contribution, emergence of new leadership, etc. which provide the incentive and the support for more tangible quantitative outputs
- It is essential that villagers themselves should have a key role and major say in the conduct of monitoring and evaluation of the project's impact on their lives. To do so, they will need training in the use of simple evaluative techniques and tools.

## **B. Guidelines for Training**

### **1. Development of a core of Lead Trainers:**

High priority needs to be given to participatory training at different levels, beginning with the development of a cadre of national trainers who can serve as a resource pool to train others.

- To be successful, community-based RWSS projects will need institutional resources in the form of a core group of Trainers well versed in the facilitation process who can provide orientation and training to project personnel at different levels.
- The design of the training provided to these Lead Trainers should be consistent with the principles which they are expected to use in facilitating the training of others.

- The use of the term “Lead Trainers” is preferable to “Master Trainers” since the skills of participatory training cannot be easily “mastered” in one or two workshops. At best the trainers who serve as a national resource pool can be sufficiently ahead of others in their comprehension of participatory methodology and their skill in using it, to be able to “lead” others in developing similar comprehension and skills.
- These national trainers are more likely to keep up with new advances in the field if they recognize that they have not mastered it all and that the development of participatory methodology is an ongoing process. Project management should provide for continuous and cumulative staff development in this respect through (a) a sequence of in-service participatory training opportunities and (b) close linkages between training and field operations from which many lessons can be learned.

## 2. The Facilitator’s role and training:

The role of the facilitator is central to this whole process of community involvement. The facilitator should not be viewed as a disburser of dole or a dispenser of wisdom, but rather as catalyst whose job is to bring out the strengths and latent potentialities of people and to enable them to get organized

All staff whose job includes enabling others to develop and use their full potentialities are entitled to be considered as “facilitators.” The term, however, applies more specifically to those who conduct participatory training, at whatever level, and/or are engaged in face-to-face community education activities based on similar participatory activities

To be good facilitators, trainers must be able to relate to their trainees with respect and build peer bonds with them, recognizing that adult learners bring much valuable experience and potential talent to the learning situation; such relationships can be built more genuinely when the facilitator strongly believes that people, no matter how poor, have an in-born capacity for self-direction, which can be drawn out and nurtured through a supportive and enabling approach. Trainers must therefore put aside any feelings of superiority and refrain from playing an authoritarian role, which can discourage learner initiative and perpetuate dependency.

It follows that facilitators have to be good listeners. They must know how to encourage a rich flow of communication among the participants and engage them in problem-solving, decision-making and planning. The trainees thus gain a sense of ownership of the ideas and alternative solutions, which result from group discussion.

Facilitators combine their group process skills with community organization techniques. They aim to make themselves dispensable by building strong local institutions which can sustain the process and further strengthen it. Helping the participants to mobilize their own resources and to expand them through networking is part of this institution-development process. Thus people building must lead to institution-building.

## 3. The design of a Facilitators’ Training:

### a. Choice of Training Style

In order for Trainers who are being trained as Facilitators to fully internalize the participatory principles which they are to use in training others, their own training must be conducted on participatory lines

Facilitators must experience first hand the benefits as well as the complexities of conducting participatory training sessions in order to gain an in-depth understanding of how the process works and why. They will then be able to apply participatory methodology with

confidence, enthusiasm and discretion, rather than mechanically and by rote. To help them reach such a level of understanding, however, mere exposure to the participatory process is not enough; those responsible for the training of Facilitators need to help them to identify the *underlying principles* of each activity and to appreciate its interconnection with other activities as part of a *whole process* of capacity-building. Only through an understanding of the underlying principles and process will the Facilitators be able to apply participatory methodology in a growth-producing way.

This does not mean that lectures, videos and other relatively more “directive” techniques and tools cannot be included in the training of Facilitators from time to time. But they should be kept to the minimum and clearly identified as “directive” inputs. Trainees should further be challenged to convert the same content into a participatory activity for use at other levels. This will help to deepen their understanding of the difference between directive and participatory styles of training.

## **b. Design of a Participatory Workshop**

### **Desirable number and type of participants**

- Ideally the number of participants in any one workshop should not exceed 24, in no case should it exceed 30 because when divided into three subgroups for group work, the subgroups of 10 participants each are too large for good interaction.
- It is not advisable to include observers at a participatory workshop. It can be frustrating for them to sit through a participatory process without the opportunity to get involved. They thus add to the size of the group but not to its content.
- A heterogeneous group, e.g., a mix of trainers at different levels or of different affiliations (health, sanitation, water supply, rural development, WID, etc.) makes for a richer experience than if all participants are from the same category. Two precautions are however needed: (a) it complicates the task of conducting a Training for Trainers (TOT) workshop if some members have had exposure to participatory training activities and others have not. That would require working on two tracks simultaneously: a task that is hard on the Facilitator and frustrating for the participants; and (b) if the group includes persons at very different administrative levels (e.g., management and field), care should be taken to establish a climate of peer relationships right from the start of the workshop so that junior staff are not intimidated and inhibited by the presence of their seniors.

### **Locale**

The venue should preferably be a residential center far from the normal work environment of the trainees, to avoid distractions and permit a more intensive, concentrated experience. It should also preferably be close to rural committees where field work can be done.

### **Programme flexibility**

It is inadvisable to try to conduct a participatory TOT workshop on strictly pre-programmed lines. In order to be able to respond to their trainees' needs and expectations as they emerge, the TOT Facilitators must be prepared to re-arrange and even modify or substitute their planned activities so as to make the training experience more relevant and appropriate for the trainee group at any given point of time. To be able to make such changes and adaptations easily, the TOT Facilitators must be well versed in a variety of skills, techniques and tools, but in addition, must be creative to come up with new activities on the spot.

### **Creating the climate**

In order to set an informal tone and permit maximum freedom to participate, the following precautions need to be taken:

- (i) Dispense with a formal opening ceremony if at all possible. If not possible to eliminate it, keep it brief.
- (ii) If the seating arrangement is formal, in rows facing a podium, remove the podium and change the seats around into a circular arrangement. Depending on the number of chairs in the circle, this may also require giving up the desks if they cannot be accommodated.
- (iii) There should be plenty of wall space on which newsprint and other outputs of discussion can be posted.
- (iv) The locale must be big enough to accommodate 30 participants and their facilitator in plenary sessions and the same number divided into 3 subgroups for group discussion purposes. If possible, adjoining facilities should be available where small groups can conduct their sessions without disturbing one another.
- (v) Care must be taken to reduce the interference of external noises, e.g., of other meetings going on at the same time or of dining room or kitchen clatter. The TOT sessions themselves are likely to be very lively and it is essential that the participants be able to hear each other without strain.
- (vi) The use of loud speaker equipment is not recommended as it reduces the intimacy of the interaction between facilitator and participants.

### **c. Application/Reality Testing**

Opportunities must be provided within the workshop for the participants to apply what they have learned about the participatory approach. This can be done to some extent through role play and peer learning, but is best done in real life settings through field visits to nearby villages. In the latter case, it is important that participants be forewarned not to raise people's expectations of hand-outs. The purpose of the field visit as a "mutual learning experience" should be honestly shared with the villagers and arrangements made for a local agency to do follow-up work in the villages visited.

Participants should not be instructed on how to conduct the field visit: it is a task they must handle on their own, using the experience available within their subgroup. When planning a *learning experience* to be conducted at the village level, however, they will need a standard outline (e.g., Objectives, Topic, Learning Group, Method, Tools Procedure, Evaluation) and should arrange a dress-rehearsal with the Facilitator(s) to make sure that they are on track.

### **d. Follow-up Planning**

Towards the end of the workshop, participants will need to give thought to the applications of participatory methodology in their own settings. A Force-Field Analysis type of experience can be helpful to identify their goals, resources and constraints as well as practical action steps they consider feasible in their specific situation.

In defining their follow-up plans, participants should clearly visualize the kind of institutional support they will need to conduct in-service training for others and provide supervisory guidance in the organization of activities on participatory lines. Such support will need to give particular attention to training manuals and tools of the kind that evoke a high degree of involvement of learners. The availability of sample kits of such materials

is of particular importance in initiating the SARAR process. It helps the inexperienced field worker and encourages local creativity in developing materials of their own. Transport facilities may also need to be given priority where the population is scattered and the communities are remote.

#### **e. Evaluation**

In most cases evaluation can be done very simply, with the help of tools such as the Pocket Chart and the Five Squares Exercise. The extent to which different members of the group take turns at communication or leadership roles in the course of the workshop is also an indicator of the extent to which the participatory process is working, provided this happens spontaneously and not at the Facilitator's request. Formal evaluation (e.g., through a questionnaire), if used, should establish the participants' level of understanding, confidence and skill in applying different techniques and their assessment of the extent to which the techniques and tools can be applied in their normal work environment.

### **C. Summing Up**

For the participatory process to be effective, the ideology must be shared at all levels of personnel and be put into practice consistently throughout the system. This will unify all components including management, operations, monitoring/evaluation and training

The change from a top-down, directive approach to a participatory one cannot be assured by relying mainly on the re-training of extension staff. In many instances, personnel in managerial capacities and the so-called "higher echelon," will need priority attention; their orientation in participatory methodology is vital, since they control the expenditures for all training and project support. Although awareness of the value of the interactive process is of importance throughout the management structure, ownership must begin at the top. Training and orientation experiences will of course need to be adapted to what is appropriate and essential for each level.

The success of the entire community-based project may hinge on the training of a highly capable core group of Facilitators to serve as catalytic agents. To fulfil their enabling role, the training of Facilitators themselves must be carefully designed on participatory lines. It is essential that they understand and develop a commitment to apply the fundamental principles which underlie the different participatory activities and tools utilized in participatory training. They are not likely to make much headway if they treat such training simply as a "bag of tricks" and/or if their attitude is skeptical, apologetic, diffident or mechanical. Facilitators need to realize that they have a key role to play and must prepare themselves to play it well. The fate of the programme may depend upon their doing just that.





## **PART II**



# Participatory Activities and Tools

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## Note to Readers:

The purpose of Part II is to present to you a range of activities and tools which you can adapt to your own situation or which can serve to stimulate your creativity in developing new tools best suited to your needs

You will find that each activity has been coded by the “level” for which it was designed C for Community, T for Trainers and E for Extension Staff. These are merely suggestions. Sometimes even community level material can be introduced at the level of Management to give managers a taste of what the process is like at the village level. Of course this purpose must be explained to them before starting the activity and they should be given the option to decide whether or not they are prepared to give it a try. If they are not comfortable with the idea, it is better to simply explain the activity rather than involve them in doing it. Thus it is extremely important for facilitators to consider the level for which a participatory activity can be appropriately used in their specific cultural context

You will find two types of activities included here.

- Those of a generic kind, i.e., which can be applied for training, orientation or community education in any sector, whether agriculture, forestry, health, nutrition, water supply or sanitation. Examples include Map Building Photo Parade, Cup Exercise, Johari’s Window, the SARAR Resistance to Change Continuum, Unserialized Posters and Story with a Gap. Flexiflans are by far the most “open” or generic of SARAR tools since they are adaptable to virtually any content which the participant may have in mind. These generic activities have been mostly adapted and reproduced from Tools for Community Participation.<sup>26</sup>

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<sup>26</sup> Srinivasan, Lyra, Tools for Community Participation, PROWESS/UNDP, NY 1990.

- Some activities are specifically designed for the RWSS sector. They focus on issues such as choice of technology, responsibility for O&M and willingness to pay towards the cost, use and maintenance of community based RWSS systems. The sectoral activities included here have been designed specifically for Pakistan.

In either case, it is important to be aware that the success of the activity will depend on the willingness and ability of the trainer or resource person to act as a facilitator and not as an instructor. Most of us who have been educated by the conventional lecture method may have difficulty in switching over to a facilitative style where our ability to listen and to stimulate self-expression by others is of much more value than our ability to impart messages or to direct action. To become good facilitators requires commitment and vigilance on our part to involve the participants by observing a few simple guidelines. For example, the facilitator needs to:

- Introduce a task for participants to work on, through which they can deepen their own understanding of an issue or a content area, instead of lecturing to them on the subject;
- Explain the task clearly but in as few words as possible. Avoid the temptation to repeat instructions in many different ways. To keep our role “low key,” we must be prepared to *introduce the task and let go*.
- Allow the groups sufficient time to work at the task in a self-directed way. After participants have completed their task, the facilitator’s role is to enable them to extract the best insights from it by discussing what they have done, said and learned. This part is what is commonly known as “processing the activity.” Here the facilitator must exercise caution in not slipping back into an authoritarian role. Some participants will directly challenge the facilitator to “tell us: who is right?” This is a trap we must avoid. To pronounce a verdict is to create a dependency on the facilitator for a single “right” answer. The facilitator has the obligation to share insights with the participants but it must never precede their own full analysis of a problem; more importantly, it can be offered as another angle for the group to consider rather than as a final judgment.
- Avoid what is known as the ping-pong style of questioning and answering. At some point in the process, especially if discussion seems to lag, the facilitator may be tempted to enliven it by throwing questions at individual participants and then responding to their responses so that interaction goes back and forth between the facilitator and the group in a ping-pong manner. Here again the challenge is to get participants to do the thinking on their own with the minimum of prodding.

It should also be noted that not all activities included in this manual are from a single source. Many are well-known SARAR techniques but innovative approaches from several other sources have been included as well, and duly credited. Acknowledging the source of the innovative experience is important both for encouraging creativity and for purposes of follow-up, to seek clarification from the original source if needed.

At times a trainer or an extension worker who is new to the participatory approach may be intimidated by it. All kinds of reasons for not using participatory strategies may then suggest themselves: “The elders of the village may think this is child’s play. It will turn them off.” “People don’t have patience with chit chat. They want action.” “Villagers expect the extension agent to tell them what to do. They will think I don’t know my job.” “Trainers are confused by the discussion method. They prefer lectures and taking notes.” All these reasons may have a grain of truth in them but are largely rationalizations. They show a lack of trust. The participatory approach will only work if it is based on trust at three levels:

- Trust in the capacity of learners to use their own minds and come up with their own viable solutions to problems.

- Trust in the methodology itself which has been amply demonstrated as both effective and exciting in practice, and
- Trust in oneself as being capable of generating an interactive process in which the people, not the facilitator, are the principal actors.

This kind of trust comes through experience and through the cumulative effect of a series of exposures to participatory training

Finally, the attitude of the facilitator must be open to the excitement of the participatory process and the enjoyment of learning that it generates, but at the same time, it must be taken seriously. To look upon it simply as “fun and games” is sure to defeat the purpose. Therefore, it is essential that an explanation of the purpose of using a different approach be given before introducing a participatory activity to any group that is unaccustomed to participation. Explaining the purpose, as a means to getting better results, puts the activity in a different perspective and gives it the dignity it deserves.

Participatory methodology is never static. Every practical experience suggests new and better ways to do it. It is hoped that the reader will approach the activities included here, in that spirit. This should lead to a very fruitful sharing of experience of what has worked or not worked in practice and why, and what else can be done to energize and empower the people’s participation.



# **Multisectoral Tools and Activities**





**Level: T, E & C**

## **MAP BUILDING**

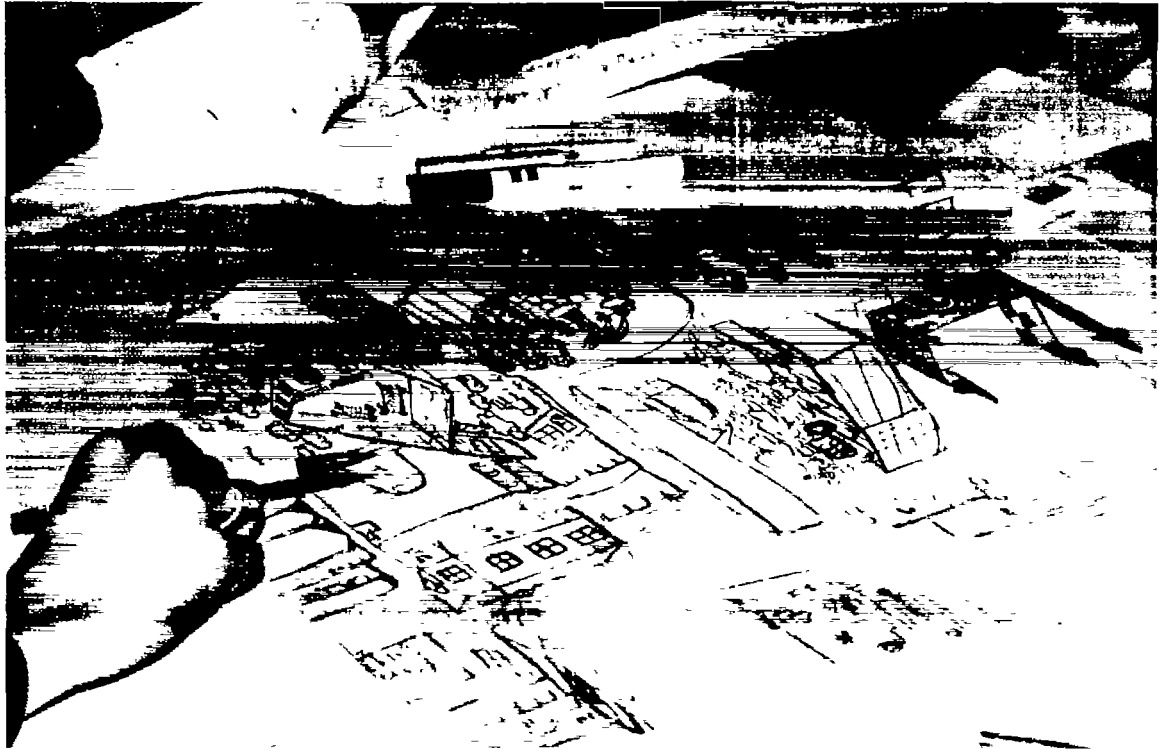
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### **PURPOSE**

To get to know the participants' perceptions of a rural community (their own or a composite of a typical village) including all the factors contributing to its problems and potentialities

### **MATERIALS**

All kinds of scrap material including clay, pebbles, buttons, straw, sand, twigs, leaves or what ever is at hand in similar quantities for each of 3 subgroups. Large sheets of paper, felt pens in different colours. Alternatively the map could be drawn directly on the ground.



## PROCEDURE

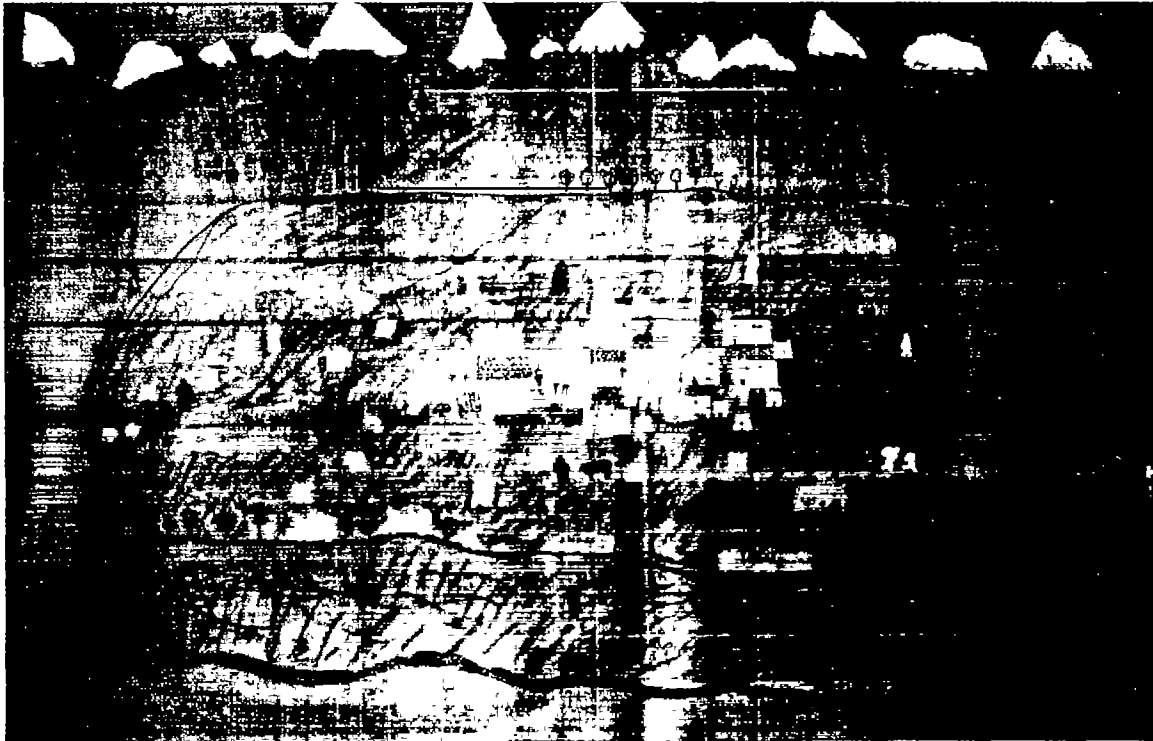
If working with Trainers and Extension Staff use the attached Map Building Task as a guide. If working with community groups simplify the task. For example you may invite them to simply draw (or physically put together) a map of their own village as it is today. At a later stage you could involve them in discussing (a) why their community is in its current stage (of development or under development) and in what respects they would like to see it change.

## **MAP BUILDING TASK**

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### **PART I**

- Draw a map of an imaginary (but typical) Pakistani village in all its details: topography, natural resources, population, occupations, etc.
- Give your village a name
- Write a profile of your village for better understanding of your map. Be sure to identify the factors (both within and outside the village) that have contributed to its present stage of development.
- Be prepared to explain your map to visitors to your village.
- When you have completed Part I, ask your facilitator for instructions for Part II.



## PART II

Re-assess your map before the visitors arrive:

- Does your map show any striking differences in land ownership and other forms of economic and social power distribution?
- Does it illustrate the extent to which there is poverty in the community and what is the attitude of the poor towards their poverty? Are they generally apathetic, fatalistic, dependent, or are there examples of self-help/mutual aid initiatives? What physical evidence does your map show of these attitudes?
- What can we learn about the situation women from your map? Are they consulted on community affairs? or on specific services, e g , on water supply, sanitation?
- Who are the village leaders and other power-wielders, and where are they situated?
- Are there factions in the village? If so, what is the reason?
- Are outside resources, both governmental and NGO, available to your community? What kind of assistance or service do they provide? How efficient is the support system?

**Level: C,E**

## **FLEXI-FLANS**

---

### **PURPOSE:**

To demonstrate how open-ended and multi purpose materials like the flexi-flans can be used to increase the creative involvement of the participants.

To reinforce the group's understanding of the difference between learner-centered and didactic or directive training methods.



## **MATERIALS:**

A wide variety of flexi-flans and a flannel board or a piece of flannel cloth which can be used as a back drop on which to arrange them. It is important that the human figures be of people of different ages, both male and female, and represent different socio-economic backgrounds. They should also be facing in different directions (e.g. front view and left/right profile) so that they can be arranged to represent two or more people engaged in a conversation or discussion. (See samples on the following pages).

Flexi-flans consist of paper cut-outs of human figures with flexible arms, legs and torsos which can be placed on a flannel-covered board to illustrate a point of view or to relate an incident or a story. In addition to the human figures, a number of props are included in the set (houses, trees, animals, tools, vehicles). A large variety of figures and props will stimulate participants to select, combine and compose scenarios of their own. In making flexi-flans, popularly known as "flexis", it is preferable to use heavy paper or very light cardboard which is stiff enough to retain shape, but not so heavy as to be difficult to punch through the double thickness where arms and legs are to be joined to the torso.

## **NOTE TO TRAINER:**

This exercise introduces participants to the use of open-ended materials, which can be used in many training settings.

You and your trainers will need to make your own flexi-flan figures and props, so allow sufficient time to prepare for this exercise. If you have the help of an artist, he or she should start designing flexis as soon as possible, since quantity and variety are important. Participants should help in colouring, cutting, assembling on a mass production basis.

Flexis can be a powerful and creative communication tool in learner-centered training, especially when working with a group which includes illiterates. Participants should be strongly encouraged to use them as a way of drawing out ideas from the group and as a method of starting discussions, not as tool to "teach" messages to the trainees or villagers. To use flexis for didactic purposes may confuse the participants and inhibit them from freely using the material on their own and as their own.

## **PROCEDURES:**

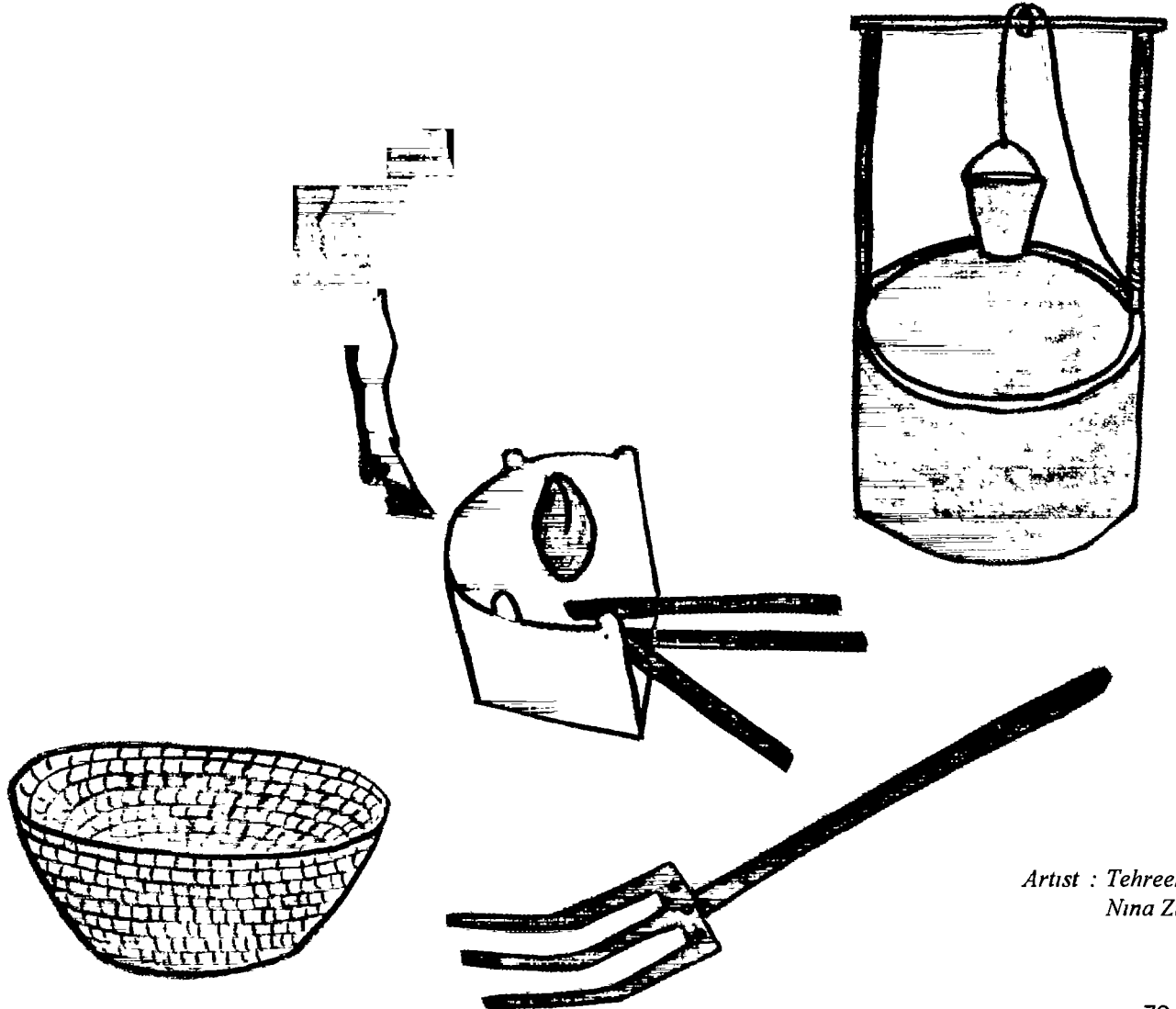
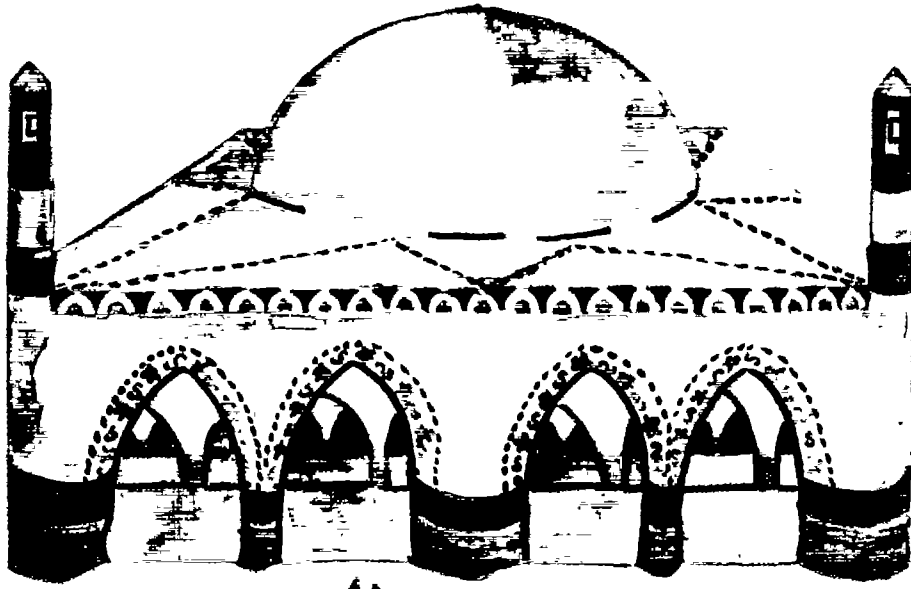
- Introduce flexi-flans as a communication tool similar in function to the alphabet. The flexi figures can be combined in innumerable ways to express ideas, feelings, events, hopes and concerns, in the same way that letters can be combined into words to express thought and emotion, experiences and plans.
- Propose a simple task using minimal instructions, such as suggesting that the participants use the flexis to share something about themselves or their community or an event that they recall with pride or amusement.
- Plan how you are going to state the task so that your instructions are brief, to the point, and clear. Impress on them their creativity is what matters.
- Have the groups share their creativity at a plenary session.

**SAMPLES OF FLEXI FLANS**



*Artist : Fauzia Minallah*

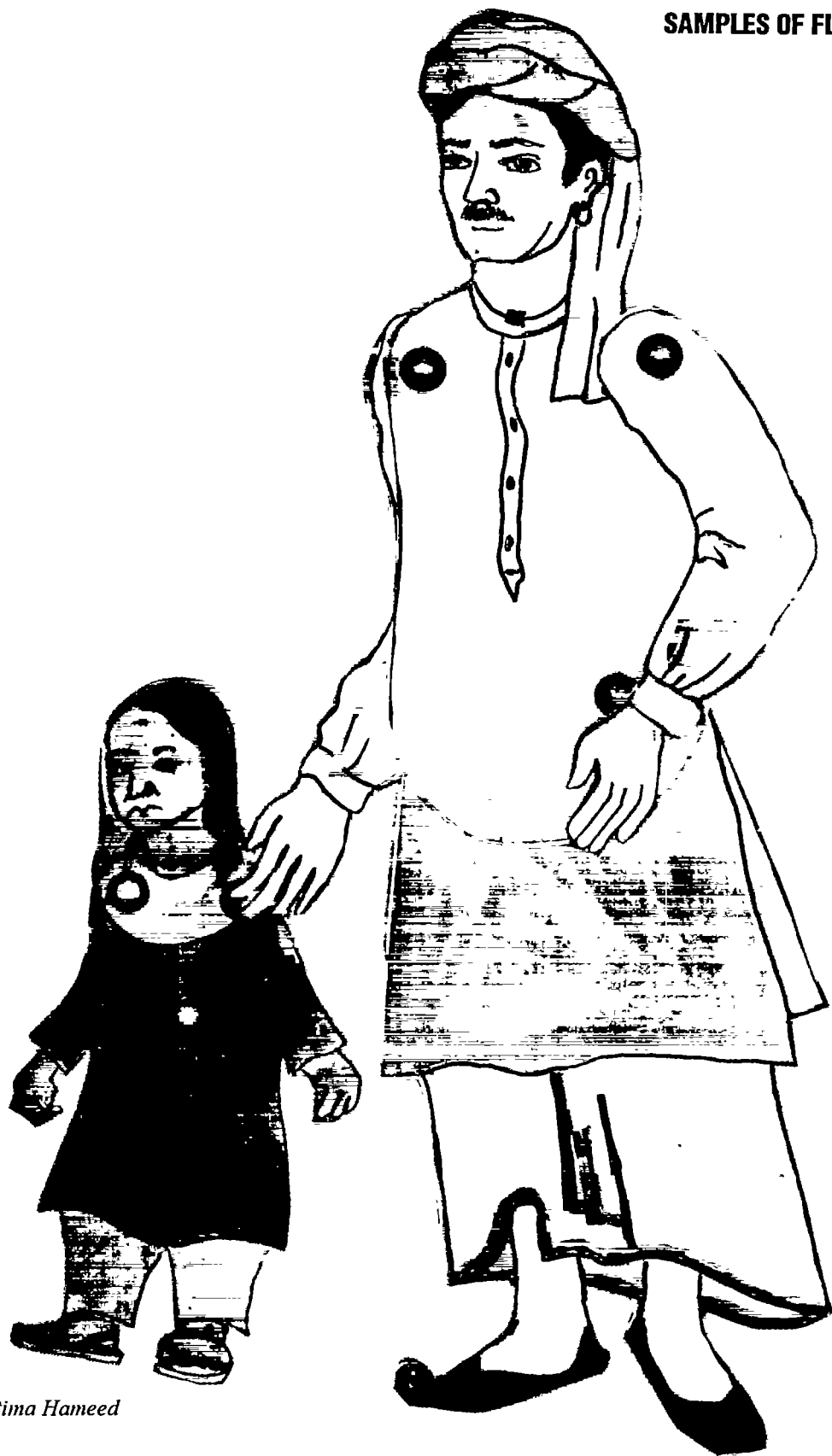
**SAMPLES OF FLEXI FLANS**



*Artist : Tehreema Mitha c  
Nina Zubair*



**SAMPLES OF FLEXI FLANS**



*Artist : Fatima Hameed*

## **UNSERIALISED POSTERS**

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### **PURPOSE:**

To demonstrate how open-ended and flexible visual aids encourage creativity and how they provide a tool to stimulate discussion of important real life issues among participants.

### **MATERIALS:**

Three copies of a set of 10 to 15 pictures or “posters” (roughly 8 1/2 x 11 inches or 210 x 297 mm), each depicting a dramatic human situation such as a dispute between two people, a heated group meeting, a young boy chasing or being chased down the street, a family in trouble, an illness, a community festivity, or an individual deep in reflection.

These scenes are represented in such a way that they are open to many different interpretations. The facilitator who prepares this material should not have any one story line in mind. Since these posters are “un”-serialised, i.e. they are not numbered in any set order, participants can rearrange them in any sequence they choose. However, continuity in terms of characters, clothes etc may encourage the use of the same posters for making different stories.

### **NOTE TO TRAINER:**

This exercise reinforces the idea that neutral, open-ended visual aids can be important tools for trainers in participatory training programmes. Used in a village setting, the facilitators can learn much about the community from the stories created and the discussion of issues.

The success of the exercise rests in a major way on the selection of the pictures. They should be truly thought provoking, depict dramatic human scenes and be widely open to interpretation. Simply putting together a set of pictures from assorted magazines or other sources will not assure the desired results. The themes should not be biased by the focus of the workshop. In particular, if the set includes pictures which have a clear-cut sectoral message (such as nutrition, family planning or health), the stories may all tend to focus on the message, on the assumption that it is the "right answer" expected by the facilitators. The activity then ceases to be truly creative and we learn little from it.

If pictures cannot be obtained, you can explain the exercise and ask trainers to draw a picture of a dramatic episode in their own lives. They can use stick figures, symbols or other aids.

This method allows the trainers to see a variety of ideas and themes which they can then translate into large poster pictures for use in village.

You may find that the group choose similar pictures but compose quite different stories from them, or they may choose different pictures but the stories may turn out to be similar. The reasons for differences or similarities in the stories should be thoroughly analyzed by the group.

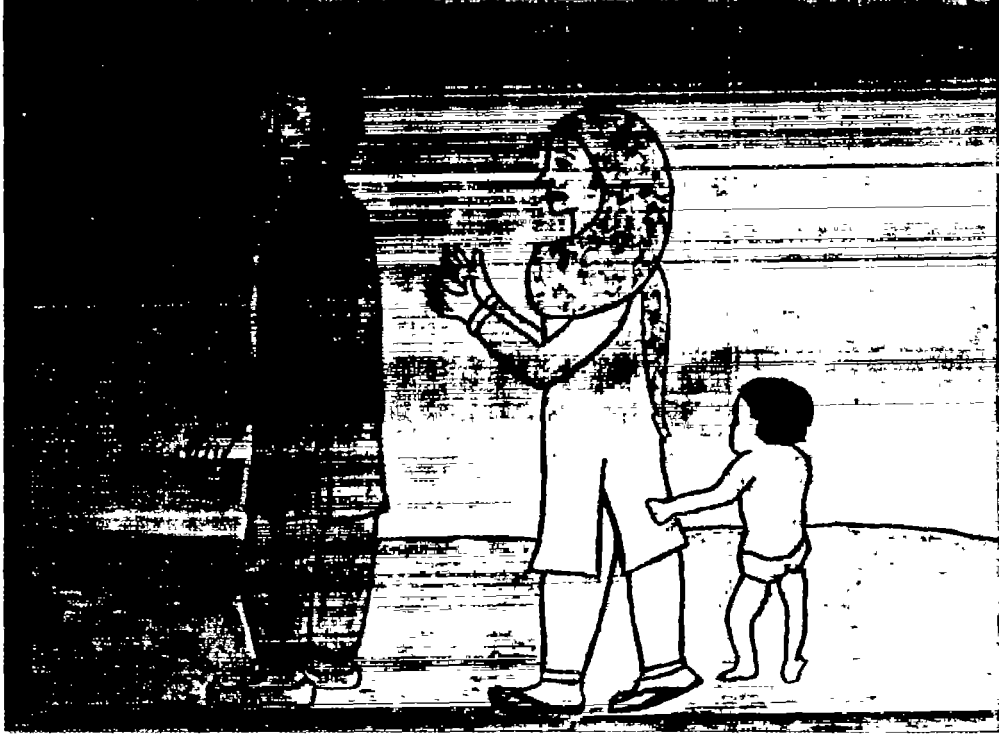
When done at the village level, villagers may be surprised and happy to find that their stories could yield a long and impressive list of issues for further discussion.

#### **PROCEDURES:**

- Divide the participants into three groups. Give each group a copy of the full set of posters.
- Instruct them to choose any four posters out of their set and create a story with a beginning, middle and an ending. Participants should be encouraged to give names to the characters and to identify the community or village in which the story takes place.
- When all groups are ready, invite them to tell their stories in a plenary session using the posters to illustrate the sequence of events.
- Have one member of each group note down the key issues and themes that have surfaced from the discussion of their story. Let participants as a whole reflect on how the issues and themes noted could serve as the basis for other learner-centered activities.

SAMPLE UNSERIALIZED POSTERS

Picture 1



Picture 2



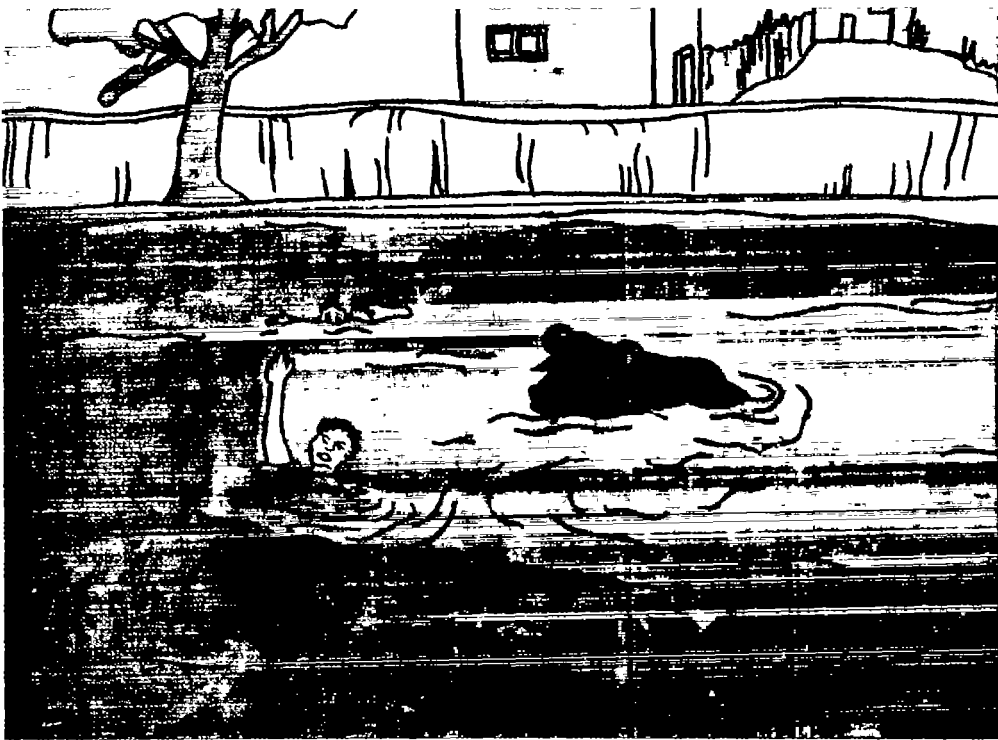
Artist : Nina Zubair  
Tehreema Mitha

SAMPLE UNSERIALIZED POSTERS

Picture 3



Picture 4



Artist . Nina Zubair  
Tehreema Mitha



## **THREE-PILE SORTING CARDS**

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### **PURPOSE:**

To develop analytical and problem-solving skills and the ability to understand causes and effects

To get to know the extent to which participants are fully aware of the positive or negative implications of a variety of situations shown to them.

### **MATERIALS:**

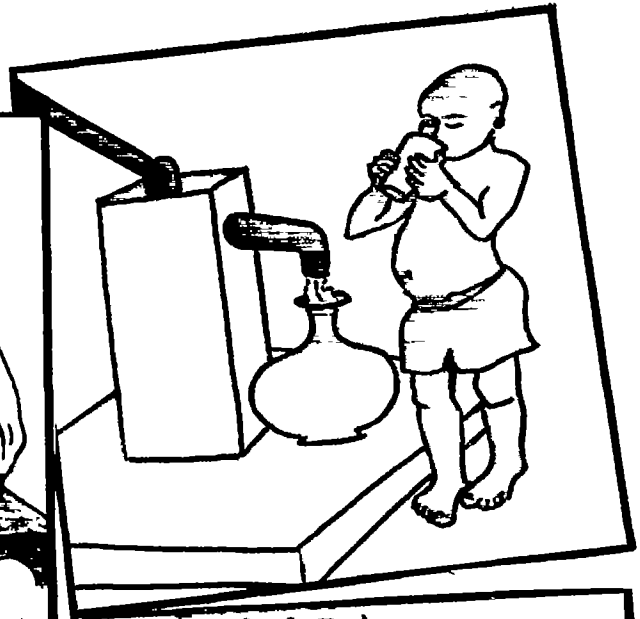
A set of some 9 to 15 cards, each with a picture of a scene which could be interpreted as good, bad or in-between from the viewpoint of health, sanitation or water supply, etc. Common behaviours that can be made into picture cards for this exercise include washing hands with soap, sweeping trash into a pit, leaving food uncovered, washing clothes, swimming in a dirty pond, embroidering a table cloth, constructing a latrine, getting water from a public stand post, drinking water directly from the tap or hand pump.

### **NOTE TO TRAINER:**

This activity further develops participants' self-confidence in analysing their own problems at the local level.

The adaptations of this exercise are limitless. At the trainer's level, it has been used as an evaluative tool to determine if trainees are able to differentiate among the different learning processes to which they have been exposed. For example, in one workshop, participants working in three groups were given strips of paper, each bearing the name of an activity done the previ-

**SAMPLES OF 3 PILE SORTING CARDS.**



*Artist · Tehreema Mitha*



ous day. The group's task was to sort out these activities into three categories: growth-oriented, message-focused, or in-between. Later the groups were invited to share their conclusions and defend them at a plenary session.

Extension staff can gain valuable insights from this activity into how people perceive their everyday behaviour in terms of its impact on health. In this sense, it becomes a method for investigating people's reality.

It can also serve as a preparation for planning, as when using it to sort out roles and responsibilities. For example, on a common problem of environmental sanitation, participants may identify a number of practical action steps and then ask: Who should take them? The community alone? The Government alone? Both?

## **PROCEDURES:**

- Form a circle.
- Invite 2 or 3 volunteers to come to the center of the circle. Give them the set of cards to study and then sort out into three piles: Good, Bad or In-Between, using good health, sanitation, water supply or other development conditions as criteria.
- Encourage participants to reconsider their choices in consultation with other members of the group around them.
- If some aspect has been missed, feel free to raise questions which would help the group think further and, if necessary, change their classification of the card concerned.
- If desired, have participants select one or more cards from the Bad category and develop a list of action steps to resolve the problems presented. They should then decide who should be responsible for each step, i.e. the community, the government, or both jointly.

**Level: C**

## **STORY WITH A GAP**

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**PURPOSE:**

To demonstrate how villagers as a group can be engaged in planning water, sanitation and health activities



## MATERIALS:

Two large posters, one of which shows a “before” scene (a problem situation) and the other an “after” scene (a greatly improved situation or solution to the problem).

A set of smaller pictures showing some of the steps which could be taken in moving from the problem to the solution.

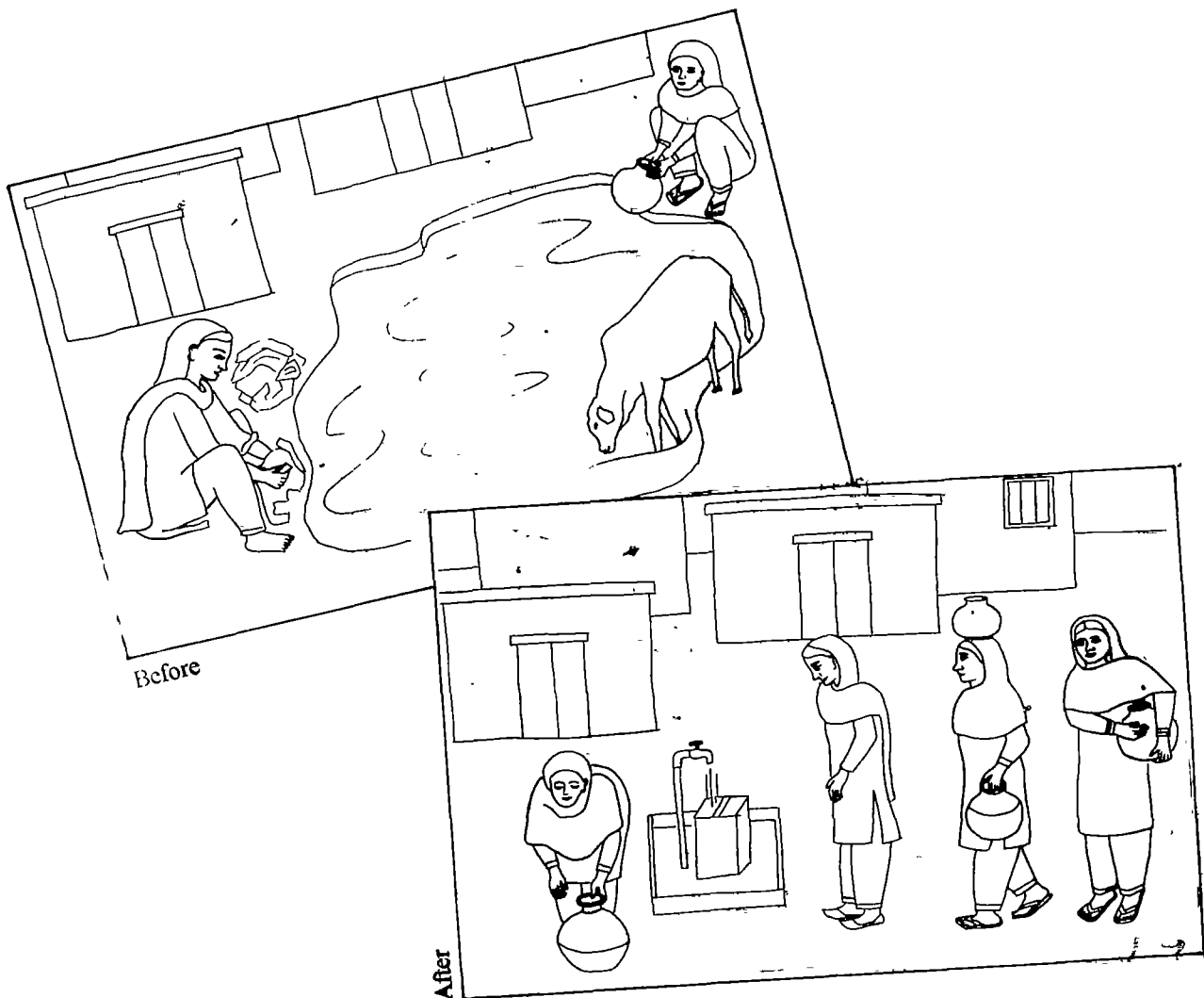
## NOTE TO TRAINER:

This planning exercise can be adapted by the trainers for village use.

The involvement of local communities requires a certain ability to plan. Average community members, and women in particular, may not have experience in such planning. This activity helps to simplify the planning process

If appropriate pictures are not available, you can draw some with stick figures. You can also have the participants draw them. In the second step, participants can brainstorm the steps in between the “before” and “after” instead of using pictures.

Sometimes seemingly irrelevant pictures can be included in the set and the groups can be provided the option of discarding any pictures they consider inappropriate. Usually they will



attach some meaning, often humorous, to the less relevant pictures and incorporate them into their planning strategy. This added dimension of creativity increases the enjoyment of the exercise.

## **PROCEDURES:**

Divide the participants into two or three subgroups

- Present the “before” picture to the participants and either invite their comments on what they see or specify the scene by telling them about a family that lived in that village (give names, details of health hazards etc.) Build the story up to a crisis point where something had to be done to improve conditions.
- Ask them to speculate on why the village situation has deteriorated. For example, if the picture includes a broken pump, participants may suggest the following: too many users, no caretakers, lack of maintenance knowledge, lack of spare parts, well is dry, children misuse it, vandalism, animals destroy the apron.
- Having established the “before” baseline situation, introduce the “after” picture and allow time for the group to discuss it, noting the substantial improvements achieved.
- Next raise the question: What steps do you think the village people took in changing the conditions of their village from “before” to “after”? Here, have the group brainstorm or, if necessary, distribute the pictures of steps. You could include blank cards among the pictures for participants to add steps of their own.

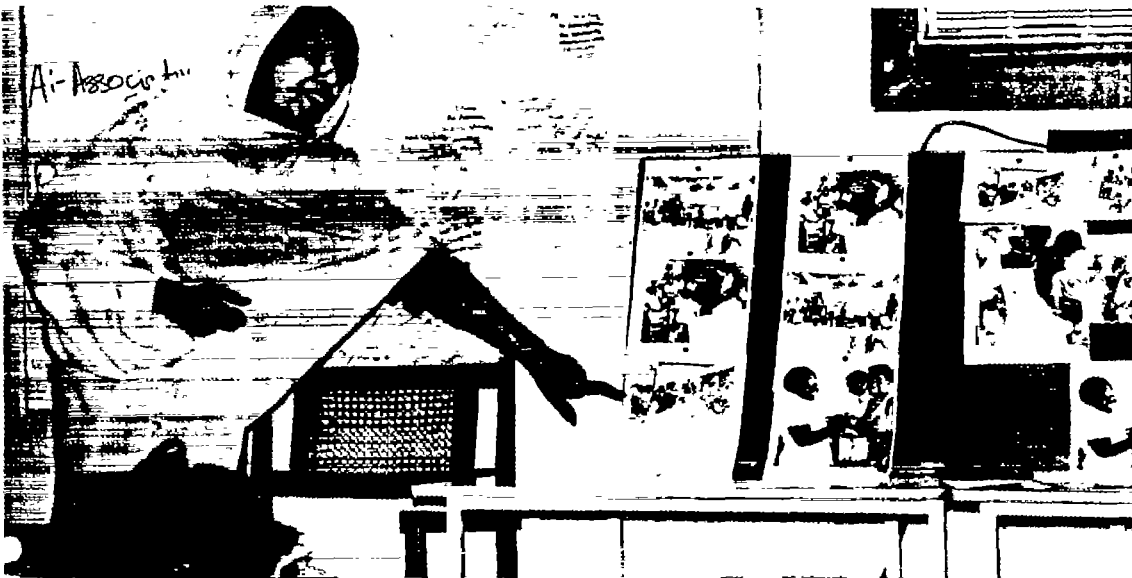
**Level: T&E**

## **PHOTO PARADE**

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**PURPOSE:**

To help participants learn to distinguish between directive and growth-centered participatory communication styles and to identify the basic requirements for effective adult learning.



## **MATERIALS:**

Three copies of a set of photographs (around 15 photos), representing a wide range of communication situations, ranging from highly directive to highly participatory. For example:

- A demonstration where learners are active.
- A demonstration where they are passive.
- A lecture to a large audience.
- A small group discussion.
- A hands-on group activity.
- A written task in a formal classroom setting.
- An informal exchange of views in a village setting.
- A health center where the nurse is instructing mothers.
- A situation where the extension worker is the listener and village women are speaking in a lively fashion.
- A community project involving supervised physical labour by villagers

## **NOTE TO TRAINER:**

This activity helps participants learn about factors most or least supportive for good learning. Through their own experience, they learn to apply these conclusions to their work with community members.

The success of this exercise depends on the right choice of photos, the willingness of the facilitator to refrain from “teaching,” and strict limitation of the number of photos selected as positive and negative by, each group. Any more than three of each category can make the reporting tedious. It is also important that the number of choices should be the same for all three groups.

## **PROCEDURES:**

- Divide the participants into three groups and give each group an identical set of photographs.
- Explain the task: “In your group, please look closely at your set of photographs and select the three photos you like the best, three which you like the least and three which you feel are in-between, as far the quality of the learning or communication that seems to be taking place in each case is concerned. Be prepared to report in 15 minutes and justify your choices”.
- Do not give the groups any clarification of the content of the photographs; they should be free to interpret them as they see fit.
- When the task is completed, invite each group in turn to post the nine photographs they have chosen on the blackboard, placing the three negative photos side by side on the left, the three positive ones on the right and the three in-between ones in the middle. The next groups will place their photos directly below, in the same order.
- Each group must give its reasons for categorizing their choices as positive or negative or in-between.

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\* *Adapted from an activity designed by Chris Srinivasan for a workshop in the Philippines.*

## **CUP EXERCISE**

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### **PURPOSE:**

To help participants clearly see the difference between directive and non-directive approaches.

### **MATERIALS:**

Sets of six cards, each of which has a picture of a cup but with different instructions to go with it in mixed up order, for example:

- Put some coffee in the cup
- Fill the cup to the brim with hot coffee.
- Do what you like with the cup.
- Put some liquid in the cup.
- Fill the cup with hot coffee
- Put something in the cup.

Alternatively the following examples could also be used:

### **Diarrhoea Exercise**

- Put 1/2 teaspoon of salt and one teaspoon of sugar in a glass-full of water to relieve your child's diarrhoea.

- Give your child a glass-full of water with salt and sugar added to relieve diarrhoea
- Give your child water, salt and sugar mixture to relieve diarrhoea.
- Give your child some liquid to drink to relieve diarrhoea.
- Do something to relieve your child's diarrhoea.
- What do you intend to do to relieve your child's diarrhoea?

### **Pump Exercise**

- Your problem is that you drink contaminated water. You need a pump. I have a good pump for you.
- Your problem is that you drink contaminated water. You need a pump. Which type of pump do you like?
- Your problem is that you drink contaminated water. You need an improved water source. Which type do you prefer?
- Your problem is that you drink contaminated water. What would you like to do about it?
- Do you have a problem with the drinking water in your village? If yes, what would you like to do about it?
- What are the priority problems of your village? What solutions do you have in mind?

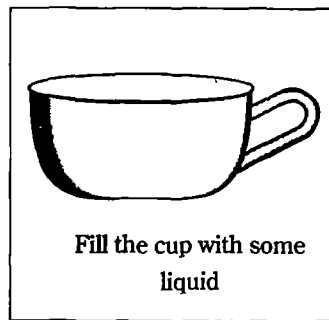
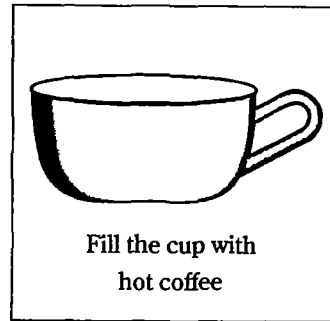
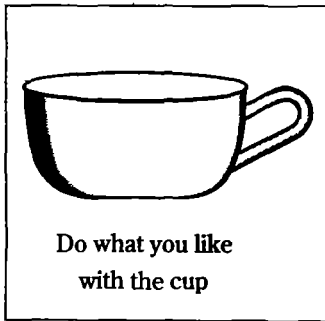
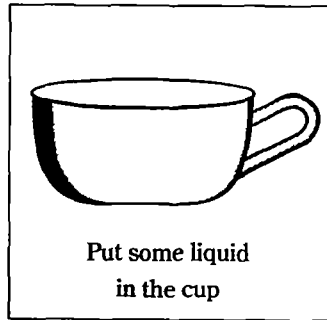
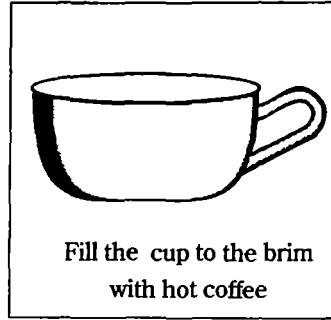
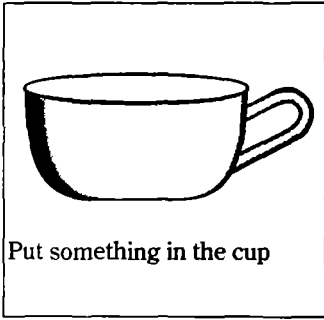
There should be enough sets of cards for participants to work in pairs or in small groups of three to four persons.

### **PROCEDURES:**

- Invite the participants to arrange the cards in an order which indicates differences in degrees of directiveness starting with the most directive card on the left and ending with the most open on the right. The chances are that with minimal effort they will all get it right.
- You may wish to ask them why it is that they all came up with the same answer. (the material was designed in such a way that there could only be one "right" answer.)
- Encourage the group to comment on how the exercise can help them to understand the difference between didactic teaching materials and open ended learning materials.
- Invite them to consider at which points of this continuum they would place the workshop activities done that day, or the previous day.



# THE CUP EXERCISE



## **ROLE OF THE FACILITATOR**

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### **PURPOSE:**

To enable participants to understand the impact of different human development approaches on learner behaviour.

### **MATERIALS:**

The following descriptions of three different types of facilitators, to be written on three separate cards

**The Directive Facilitator:** You have a reputation of always delivering and finishing your lectures on time. You carefully prepare the contents of your lecture and are considered an authority in your field. You strongly believe that a structured, formal learning environment is the most appropriate way for promoting human development.

**The Ping Pong Facilitator:** You believe that by using leading questions you can encourage participants to confront their problems. You use questions to guide the discussion and to channelize the thinking of the participants.

**The Participatory Facilitator:** You believe in encouraging the participants to freely express their ideas, by creating an informal atmosphere. You are flexible and open and maintain a low profile. You establish and maintain a peer relationship with the participants.

### **NOTE TO TRAINER:**

This exercise can be an evaluative tool, in order to see how well the participants' understand the differences between directive and non-directive styles of communication. It is therefore suitable to introduce this exercise in the latter half of the workshop.

## **PROCEDURE:**

- This exercise is best conducted in three groups. Provide each group with one facilitator description and ask them to list out the corresponding behaviours of the participants under that particular style of facilitation.
- Each group should then enact a role play in terms of the behaviour of the participants. Each group should select one person to play the part of the facilitator. The content of the role play should be left to the group.
- At the closure of the activity, encourage the participants to reflect on the underlying assumptions of each approach, that is, what does each type of facilitator assume about the learners? What did the participants feel when they were enacting their parts as learners and as the facilitator? How does this relate to real life experience at the community level?



Self Esteem.

II - Action Planning

R: Responsibility

SARAR Resistance  
to  
Change Continuum.

A: Associative  
Strength

R: Resourcefulness

## **SARAR RESISTANCE TO CHANGE CONTINUUM (RTCC)**

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### **PURPOSE:**

To sensitize participants to the fact that community members may have many different, often understandable reasons for not wishing to adopt change

### **MATERIALS:**

A blackboard or large newsprint on which a continuum diagram is drawn, showing seven stages of resistance or openness to change. (Sometimes eight stages may be identified, adding one more to the positive end of the continuum).

A variety of flexi-flans or other cut-out pictures of village people.

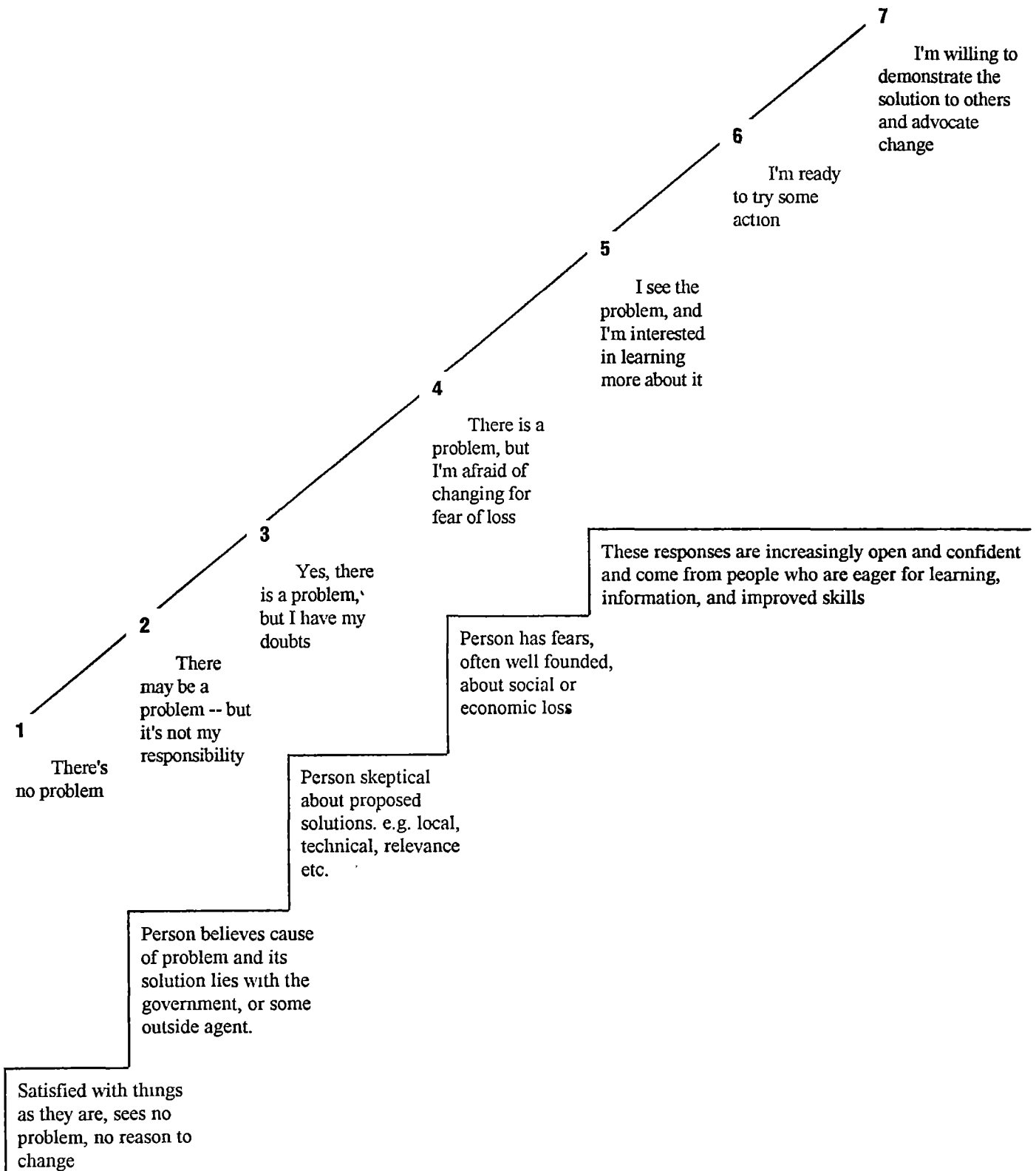
Balloon-shaped cut-outs, each of which has a quotation written on it representing the feeling or attitude of individual villagers towards a proposed change. There should be enough of these balloon quotes to correspond to all the stages of the continuum, with duplicates and some blanks.

### **NOTE TO TRAINER:**

This activity goes to the core of the work of extension workers: how to understand and work with a range of local attitudes towards change. It should be given sufficient time so extension workers can deeply reflect on the learning.

Although there is no fixed order in which theoretical concepts are introduced, this exercise is generally scheduled early in the workshop since it helps to clarify the rationale for participatory approaches.

# SARAR Resistance to Change Continuum





The RTCC is a simple, analytical framework for differentiating among attitudes towards change, by sorting them out along a scale showing varying degrees of resistance or openness. It shows diagrammatically the most resistant attitude on the extreme left where the individual does not recognize the existence of the problem at all, to the most open attitude on the extreme right where, in addition to adopting the change at a personal level, the individual is ready to advocate it to others.

The RTCC helps to determine the relevance of different educational strategies in relation to different levels of attitudes. The inevitable conclusion is that one cannot use the same approach with people who are at stages 1 through 4 as with those at stages 5, 6 and 7. The latter would probably respond well to straightforward message-focused materials since people at these stages are ready to accept and apply information. However, with people at stages 1 through 4, one would first need to draw out their own viewpoints and gain insight into the attitudinal constraints before attempting to convince them about a new idea. For this purpose, learner-centered materials would be more useful.

There are two methods that can be used in this exercise. Consider the time you have and the amount of participation you want when choosing a method.

After each of the methods, ask the group: "At which stage would people be most receptive to directive teaching? Which kinds of strategies are more useful in the resistant stages? What value would participatory methods have for people at different points of the continuum?"

## PROCEDURES:

- Ask the group to cite some examples when they have observed resistance to an outsider's messages because of local beliefs, values and attitudes long sanctioned by traditions and culture
- Some examples given by participants include the following:
  - Eggs are not good for infants They cause convulsions.
  - Wounds can be healed by applying wet clay on them
  - A talisman is an ideal cure for all sickness.
  - Flowing water is clean water.
  - Mothers-in-law should not share a latrine with a son-in-law, or a father-in-law with a daughter-in-law.
  - Diarrhoea is caused by heat, especially in the summer.
- Point out that often these beliefs are not openly expressed to an outsider but, until they are aired and discussed in a respectful way, they will not make room for an outsider's point of view.
- Proceed with one of two methods and the questions for the group.

---

### Method One:

Distribute the balloon cut-outs to the group. Briefly explain the continuum diagram and ask participants to note if the balloon (s) they have received correspond to any of the stages of the continuum Ask them to reflect on their balloon quotations but not to identify them with any of the stages until you have completed a description of all seven stages.

---

### Method Two:

Ask the participants to make up their own continuum based on the range of possible community responses, both positive and negative. To do this they will need to classify the community responses which they have identified into a continuum illustrating the degree of resistance or openness each represents Have them consider what attitude underlies each of the specific responses they have identified. Does it reflect apathy? Lack of confidence in the feasibility of the idea? Denial that a problem exists at all? Fear of the social or economic risks of being an early adopter?

You must make sure that the gradations they illustrate are in a logical sequence of openness to change."

### Stage 1

Complete denial of the existence of the problem

*Example* We have been drinking water from this river for generations. It never harms us



## Stage 2

Problem is recognized but the will to act is missing due to a feeling of powerlessness, apathy, dependence or fatalism.

*Example:* We need water but it is up to the government to build a water system for us.

## Stage 3

While the problem is recognized, there are some doubts and fears inhibiting the adoption of the solution, such as

Doubting the relevance of the methodology.

*Examples:* These techniques may be alright for women but the men especially older men will find them childish

Doubting the competency of the extension worker.

*Example:* What do these urban girls know about child care? They are not even married.

Doubting the community's readiness to cooperate.

*Example:* Village people here expect to be taught. I am comfortable teaching them in a directive way.

Doubting one's personal capacity to effect change.

*Example:* What can I do? I am only a woman. I have never been to school or I am too old, too poor.

## Stage 4

There is some interest in the proposed change but also fear of the social, economic or other risks involved.

*Example:* I would like to have a latrine for the family. But what if my children still fall sick? The neighbours will laugh at me. They are against the idea of latrines.

*Example:* I would like to get my wife involved, but what will others say?

## Stage 5

There is real interest in learning more about the proposed change with a view to adopting it.

*Example:* Where can I get copies of such materials? I am interested in trying them.

## Stage 6

There is readiness to adopt the change.

*Example:* At night or when we are sick, a latrine is very convenient. I want to build one.

## Stage 7

Not only is the new idea accepted and applied but there is readiness to convince others to adopt it as well

*Example:* You can count on me. I will teach other mothers how to prepare an ORS solution for their children who have diarrhoea

*Example.* I know how to fix and maintain the pump. I will be glad to show others so we can save on repairs.



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\* The RTCC was first published by World Education in "Workshop Ideas for Family Planning Educators"

## **FORCE FIELD ANALYSIS**

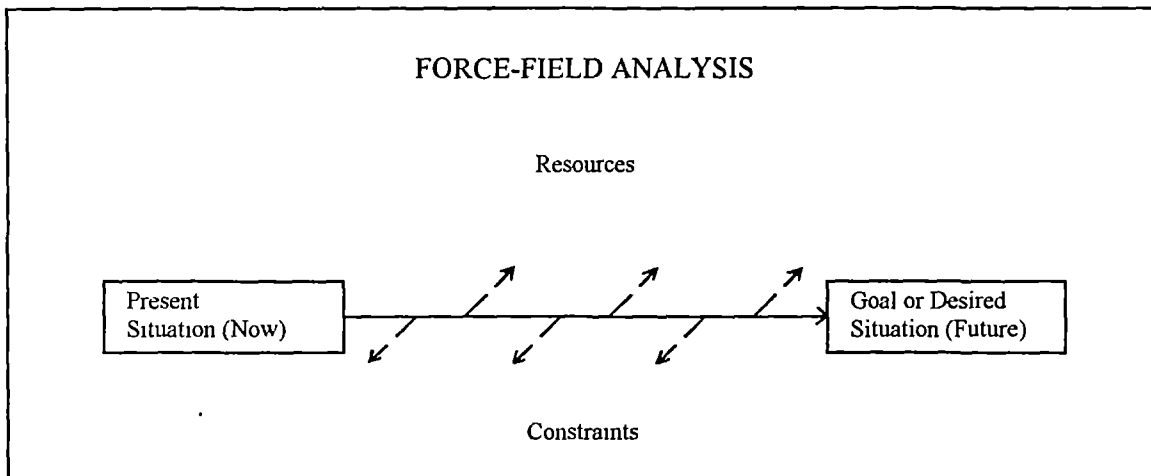
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**PURPOSE:**

To help participants understand the theory behind the planning techniques they will use in their own planning and in adapted form at the village level.

**MATERIALS:**

Three copies of a large chart (approximately [1.5 m x .6 m] 5 ft. X 2 ft.) with the diagram below but without the labels



The box on the left should have a picture of a problem situation, e.g. a woman carrying a heavy load of water.

## NOTE TO TRAINER:

Trainers must know how to introduce planning concepts and skills at the community level in simple ways and also be able to apply such skills for themselves at a more complex level.

Once the group has done the “Story with a Gap” Activity participants will be able to relate more easily to its abstract form, as in the diagram above

This exercise takes the group much further than the “Story with a Gap”; it requires, not only the identification of action steps, but also identification of the resources and constraints which affect the achievement of the desired goal.

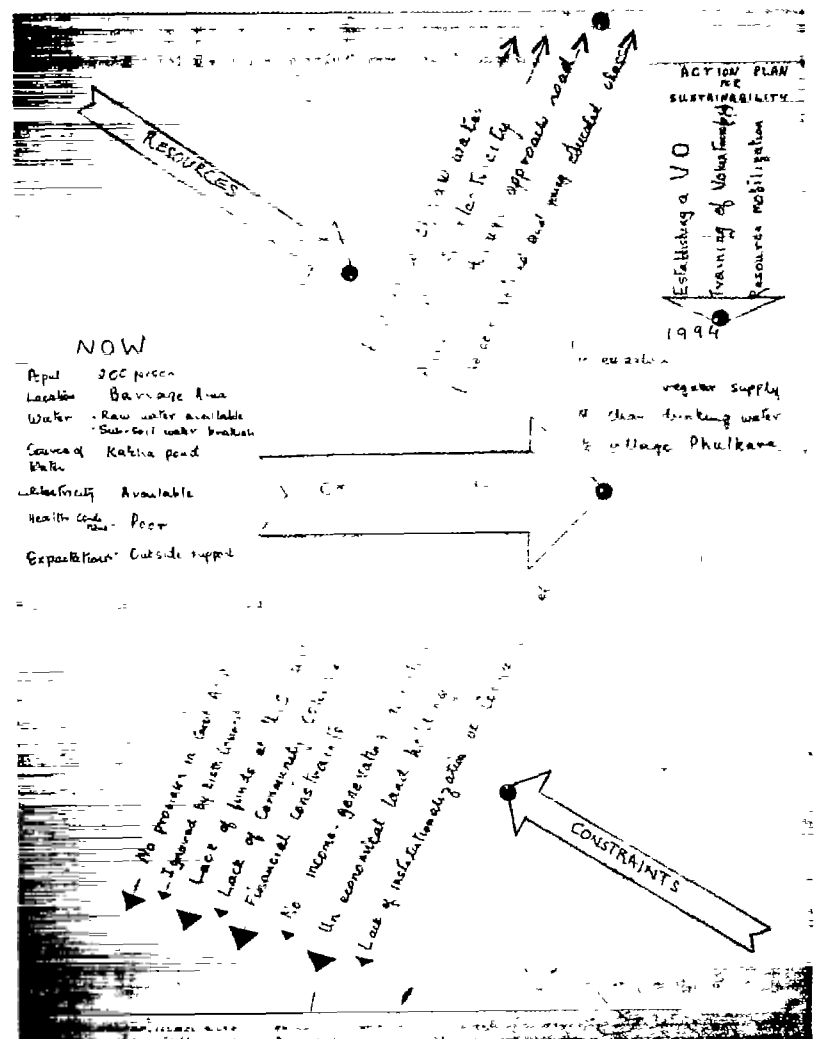
It also helps to prepare trainers for their own major task of planning follow-on activities to use the participatory approach in their own work upon completion of the workshop.

## PROCEDURES:

- Divide participants into 3 groups.
- Post one of the three charts on the blackboard.
- Explain the diagram and add labels as you go along, e.g. the box on the left represents a current situation (write Now above the box) which we hope to change. Ask the group what they consider to be wrong in the picture shown in the box. The other box on the extreme right represents an improved or ideal future situation, a goal to work towards in moving away from the present problem. (Write Future above second box and add a date to suggest a specific time frame for achieving the goal).

Point to the direction of the central arrow as you emphasize that the movement is away from the now towards the future. Explain that the arrows pointing towards the “Now” box represent constraints or forces holding us back from achieving our goal. While the arrows pointing towards the box on the right represent resources or helpful forces which aid us in moving forward. Add the labels Constraints and Resources.

- Tell participants that each group will be given a copy of the chart. Their first task is to define in detail what is wrong in the now situation, then to spell out the



desired future situation or goal, and then proceed to identify the resources and constraints which apply in that particular case.

- Hand out all three charts.
- When the groups have completed their tasks, invite them to report in plenary and open up a discussion based on the analysis done by the groups.
- Explain the second task, which is to select any one constraint and identify the steps that could be taken to counteract or eliminate it with the help of one or more of the resources identified.
- Have groups report back and discuss as before.\*

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\* *Adapted from Kurt Lewin's Forcefield Analysis*

## **FIVE SQUARES ASSESSMENT**

---

### **PURPOSE:**

To analyze workshop experiences in terms of the degree of dominance of the trainer compared to autonomous participation by the trainees

### **MATERIALS:**

Five squares shaded or coded to indicate five different ratios of trainer/trainee dominance. The first square has a completely shaded area indicating complete trainer control. The second square has a large shaded area indicating approximately ninety percent trainer dominance, the third is coded to 50/50 participation, the fourth only ten percent trainer dominance, and the fifth shows 100% trainees control. The first and the fifth squares are only for illustration purpose and relate to hypothetical situations

### **NOTE TO TRAINER:**

This exercise helps clarify the concept of directive vs. non-directive educational strategies. It also helps participants realize that, although a trainer must work hard to prepare a learning exercise, if the task has been well-prepared, the trainer's role is simply to introduce it and let go, the task itself provides the structure within which the participants can operate on their own.

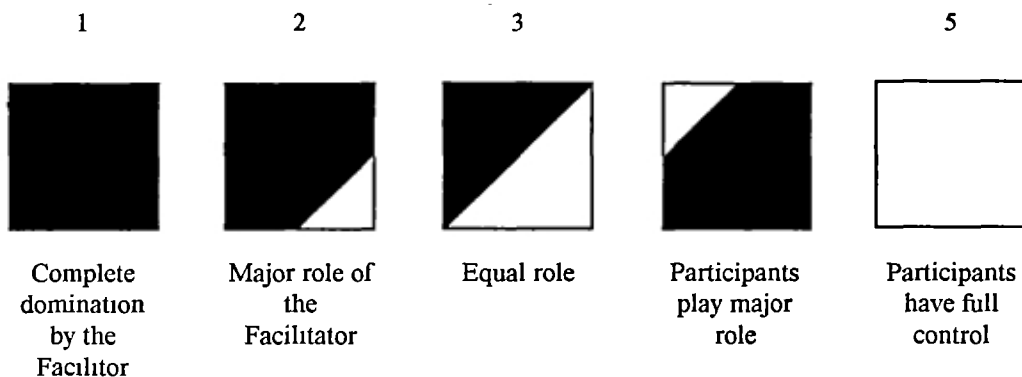
However, the amount of freedom which participants are able to exercise in responding will vary, depending on how much subject matter or content is already built into the materials utilized. It is extremely important for the extension workers to understand this principle.

Be prepared to list at least three activities from the programme that illustrate a range of participant control. Choose at least one in which their role was minimal, e.g. the “Cup Exercise” and one where they have participated very actively, e.g. “Map Building”.

### PROCEDURES:

- Remind participants of three or more activities in which they have recently participated. Do not disclose your reasons for choosing those activities.
- Show the Five Squares and explain that the shaded area of the square represents the facilitator’s role and the light area stands for the participants’ role.
- Ask the participants which of the Five squares represent how they acted during each of the activities you have selected for discussion.
- Let the participants discuss freely among themselves. Avoid giving the “right answer”. The answer must emerge from their own analysis and from mutual challenging. You can help by occasionally pointing to issues that have been overlooked and if necessary underscoring the difference between the structure (format) of a task and the content which results from doing the task, i.e. the difference between setting a task and fulfilling it.

### Facilitator/Participant Role Percentages



## **JOHARI'S WINDOW**

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### **PURPOSE**

To facilitate communication between field workers and community members by creating greater awareness about degrees of inter-personal communication.

### **MATERIALS**

Johari's Window drawn on a large size paper and four separate labels (See Figure 2).

### **NOTE TO TRAINERS**

This analytic model takes its name after its two authors, Joe Luft and Harry Ingham, both psychologists, who were concerned with different styles and processes of interpersonal communication. To illustrate differences in degrees to which two people may be mutually aware, they devised a model with four quadrants or WINDOWS labelled, OPEN, BLIND, HIDDEN and UNKNOWN (See Fig.1) The SARAR adaptation of this model includes pictures of two people facing each other at each Window to represent the degree of openness of inter-personal communication and mutual understanding. The person shown inside each Window represents an average villager and the person on the outside represents the extension agent.

This tool helps participants realize that extension workers generally relate to the community from Window 2: They tend to assume they have all the right answers to village problems, while the villagers are considered ignorant and blind. Extension workers therefore may try to instruct the villagers, thereby hoping to help them open their eyes (overcome ignorance) and see things as clearly as the outsider does. The expectation is that villagers will then change their behaviour to match the outsider's instruction. This strategy has seldom proved effective.



The tool also brings home the point that the outsider (extension agent) facing Window 3 is in fact as good as blind when working with villagers without first getting to know their true feelings, beliefs and values, which are not often disclosed by people until genuine trust has been established. One way of addressing this issue, that is, how to move from the hidden/blind window state to that of open two way communication, can be the use of open-ended participatory materials, in order to provide people with opportunities of self-expression and to listen to them with respect. An additional picture, indicating this, can be used later to establish this link (See Fig 3).

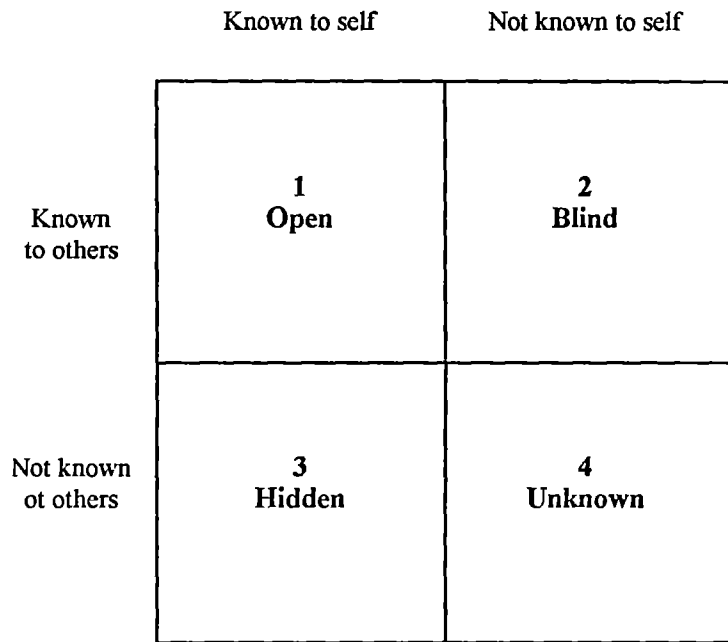


Fig.1

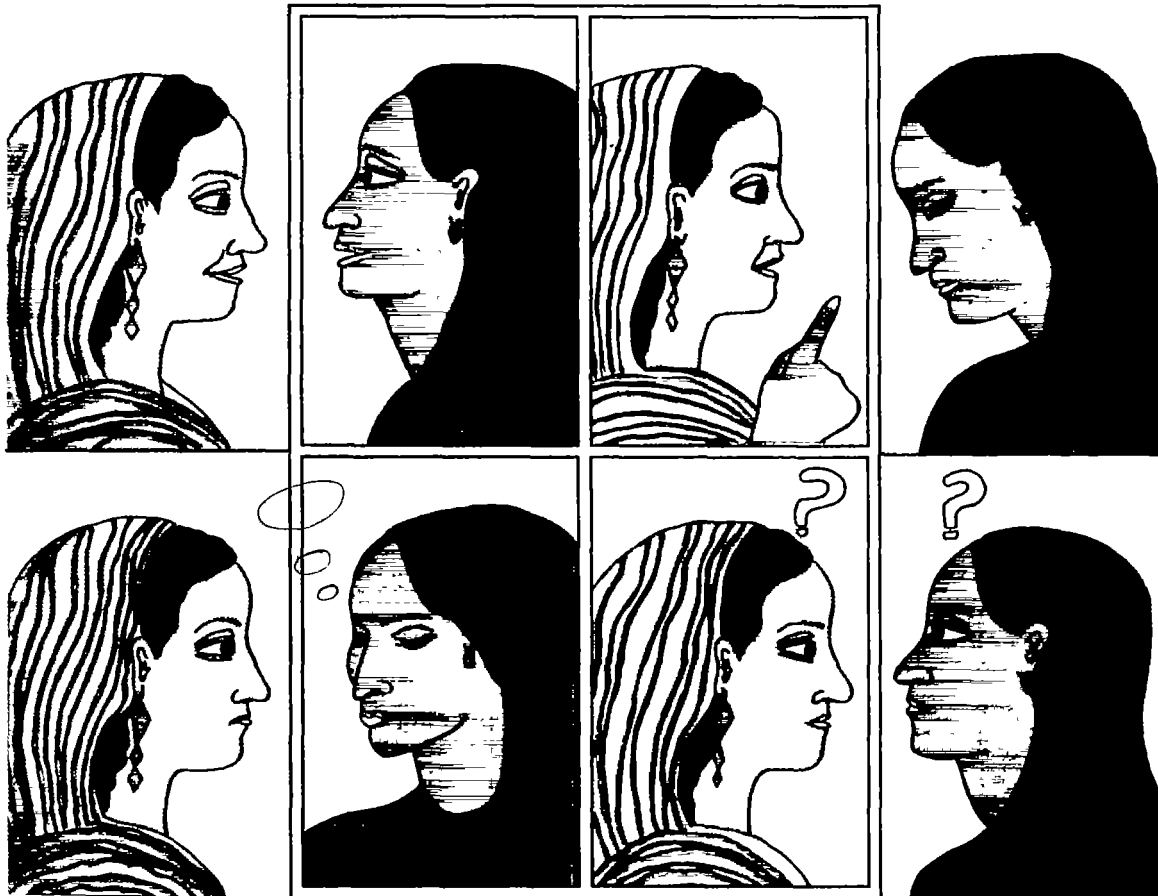
## PROCEDURES

- Post a large Johari's Window on the wall. Place four labels on one side, in mixed up order BLIND, UNKNOWN, OPEN, HIDDEN.
- Give a brief explanation of the model as in Fig. 2. (Do not identify which label goes in which Window.)
- Start with the explanation of the "Blind" Window, then the "Unknown", then the "Open" and last the "Hidden". Use minimum words as in the Note under Fig.2. Speak slowly so that participants can study the four Windows as you speak.
- After explaining all four labels, invite a volunteer to come up and place the four labels on the windows. Check if all agree with the way they have been placed. If there is controversy over Windows 2 and 3, let all views be aired and then explain why Window 2 is labelled "Blind" and Window 3 "Hidden".
- Invite discussion of the relevance of Johari's window to extension workers' contacts with villagers.
- Time permitting, invite participants to role play the Windows.

## Johari's Window

**OPEN** - Both parties know each other at least superficially and the relationship seems friendly.

**BLIND** - The outsider (extension agent) can see problems and their solutions clearly but the insider (villager) does not see them at all.



**HIDDEN** - The insider (villager) has certain feelings, beliefs, values, fears, etc. which only insiders are aware of. They are hidden from outsider's view.

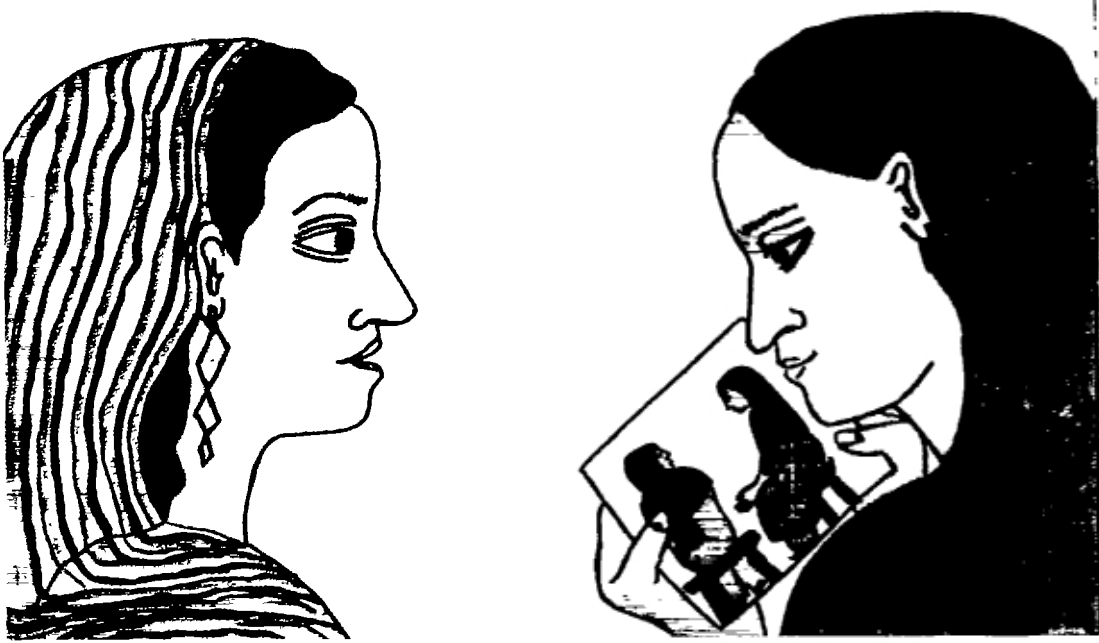
**UNKNOWN** - Neither party knows the other well. They may however get to know each other better in the future in the course of working together over a period of time

Fig 2

Artist : Colleen Cousins.

USE OF PARTICIPATORY MATERIALS FOR A  
TWO WAY OPEN COMMUNICATION.

Picture 1



Picture 2

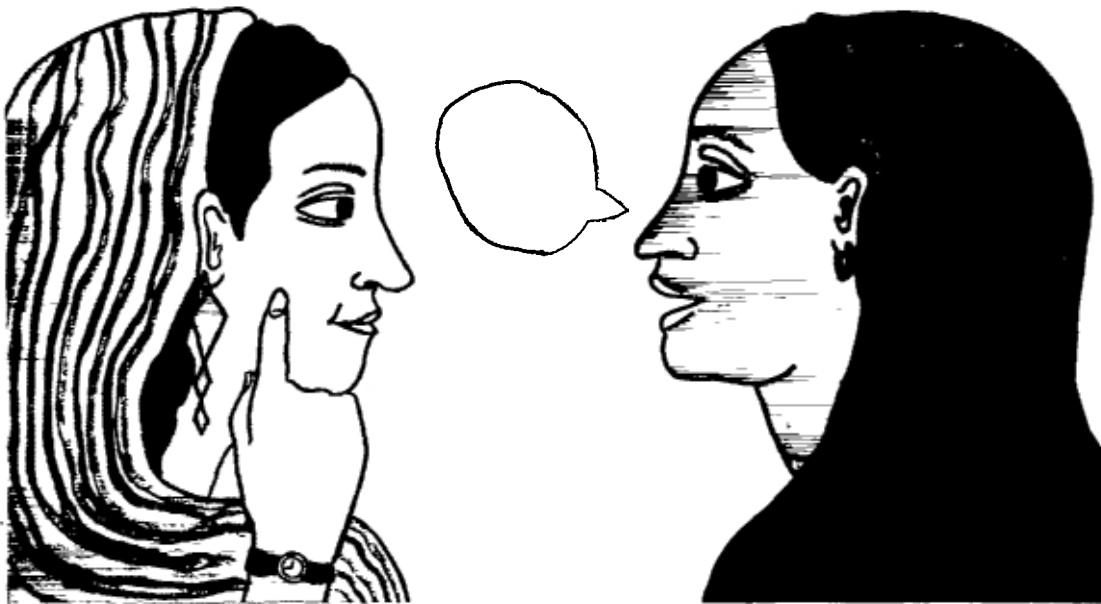


Fig. 3

Artist : Colleen Cousins



**Sector-specific  
Participatory  
Activities For  
RWSS**



## **THE BOTTOMLESS PIT EXERCISE**

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### **PURPOSE:**

To involve villagers in examining basic concepts of community management of water supply and sanitation projects and to help them apply these concepts to their own reality.

### **MATERIALS:**

A set of 20 to 30 ( or more) 3" x 5" cards, mostly blank, only 2 or 3 have a word or brief phrase written on them suggesting a problem, (e g., cattle polluting the water trough) or deficiency (e g , lack of spare parts), by way of examples.

Masking tape or thumb tacks if the cards are to be displayed on a wall or board, or pebbles to weight the cards down if the floor is to be used.

Large sheets of paper and felt pens in two colors.

### **PROCEDURE:**

- Explain to the group that you wish to involve them in a management exercise that may be very useful to them in daily life and also be enjoyable as a group activity in which everybody can participate.
- Using a large sheet of paper (or the ground), draw the picture of a pit with land banks on either side as in the diagram below. Tell them this is a pit in which we will place cards representing different problems we can think of as affecting a village's water supply and environmental sanitation. Sometimes a village may have so many

- problems that the pit can seem bottomless but for now, it will be limited to a capacity of some 20 to 30 problem cards. Show them a sample card with a problem written or illustrated on it.
- Invite the group to brainstorm other problems or lacks to be written on the remaining cards. (To ensure that as many people as possible participate in generating ideas, you may wish to suggest they work in small groups of not more than 5 persons, then invite one problem-idea from each group). As each idea is offered, have it written or drawn on a card and invite a volunteer to place it in the pit.



- Next ask the villagers to indicate which, if any, of these problems apply to their village. Those that do apply should be color-coded with a felt pen dot or X in the upper left hand corner of the card. Others will have no color code, but will remain in the pit.
- Now label one of the two land banks of the pits “Govt” and the other “Community”. Invite any group member to select a card from the pit and place it on either bank, depending on whether the problem can be solved mainly by the people or is seen primarily as the governments’s responsibility. The volunteer who chooses the card should listen to all the opinions offered by the group members as to where the card should be placed, but should make the final decision. If the participants feel that the solution depends on the combined effort of government and people then a curved bridge should be drawn over the pit. The card can then be placed on the bridge but it may be more to the government side or the community’s side, depending on which side they feel should carry major responsibility in the partnership for that particular task.
- When most, if not all, the cards have been discussed and placed, ask the group to interpret the results, i.e., where have they placed the major responsibility for solving local problems? Could some of the cards on the government side be taken over to the community side or at least to the bridge? If on the bridge, at which end?
- Using the output of this exercise as a context, the discussion should now be directed to the actual situation of the local community and can be a “free for all” type of interaction. However, to bring closure to the experience, ask the group which activity from the community side is, in their opinion, easiest to implement.





## **ASSESSING COMMUNITY WATER RELATED PROBLEMS:**

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### **PURPOSE:**

To help villagers reach agreements as to the water related problems that directly affect their lives, and to establish linkages and priorities among them.

### **MATERIALS:**

A set of 6 to 8 posters (approximately 8-1/2" x 11" in size), each showing a different water related problem, e.g , distance to fetch water; difficult terrain; polluted water, lack of water, deluge, infant diarrhea; stagnant water; malaria; outdoor defecation by river or other water source, defecation washed down by rain; fever (e.g., malaria), dirty surroundings of pump or other water source; uncovered containers for storing water; broken down pump, women hauling water, community quarrels over water; etc.

### **PROCEDURE:**

- Select posters which are relevant to the area. Place all posters on the floor or on the wall in no particular order, avoiding the "row" format.
- Ask for two volunteers who can identify posters representing problems relevant to the local community. They should consult each other and the rest of the group before making their final choices. These should then be posted on the wall.
- Invite two new volunteers to add to these posters if they so wish, using the same discussion process.
- Now ask the group "Of these problems, which one affects you most? Which one do you consider of priority importance for your village?"



## **PROMOTING LATRINES AND HEALTH AWARENESS**

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### **PURPOSE:**

To assist participants to explore ways of promoting latrines and health awareness at village level through village leaders, influential people, etc.

### **MATERIALS:**

A set of cards with pictures of different categories of people, such as a school teacher, village leader, older woman, farmer, etc.

### **PROCEDURE:**

- All groups are provided a similar set of “people cards” and are asked to discuss which people already have latrines, who could be in favor of constructing and using latrines and who could be uninterested in latrines.
- Groups are then asked to sort out and pin up the cards starting on the left with people who are interested in constructing and using latrines and ending on the right with people not interested in latrines. Draw an arrow pointing from left to right to remind them of the order. Ask the participants how, when and where the people listed on the left could encourage those people listed on the right to built and use latrines.
- In a plenary session have participants identify the most influential people who have latrines in their houses and the role that these people can play in the promotion of latrines at village level.\*

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\* Source: Shakeel Ahmed and M. Siraj ul Haq, Workshop on Participatory Approaches for Community Development at District Zhob, Balochistan. August 1992.

## **PHASES OF A WATER PROJECT**

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### **PURPOSE:**

To enable community members to visualize and assess in some detail the different phases and tasks involved in the effective planning, use and maintenance of a community based water system.

### **MATERIALS:**

Newsprint or blackboard or other writing surface.

A set of cards, each naming or illustrating one aspect of management, e.g.,

- adequate coverage (how to ensure that the water supply reaches all intended beneficiaries)
- effective usage (what kind of guidelines for users should be established)
- cost sharing (how to share costs equitably among users of different economic means and water consumption needs)
- Construction/implementation ( how to define roles, tasks, e.g., who will set up and monitor work schedules)
- operations (how to ensure that the right persons are selected as caretakers, are trained and are compensated for services in maintaining the water source in good repair).
- monitoring (how to ensure that the water source is kept clean; prevention of misuse and vandalism; timely reporting of breakdowns; and ensuring proper delivery of inputs)

A set of pictures illustrating different phases of a water project.

A map of the local village (preferably drawn by community members).

### **PROCEDURE:**

- Inform the group about the purpose of the session. Tell them you will first share with them a set of pictures showing different situations which occur during the process of planning, using and maintaining a water system in good order. (These pictures are not shown in any logical sequence). As you show the pictures, invite discussion of each one to make sure their meaning is clear.
- Invite two volunteers to come up and arrange the pictures in the order in which the different phases and activities of a water project take place. The rest of the group should refrain from making comments, to allow the volunteers the freedom to make their own choice of sequence.
- Open up discussion of the sequence to the group as a whole. Have other volunteers rearrange the pictures if necessary until there is sufficient agreement as to the order in which they believe the water project develops. (The facilitator can guide the discussion towards the end if there are serious errors).
- Ask participants to identify the phases/activities in which the community can play a role (major or minor) They can use colour-coded symbols or even seeds or leaves to do so.
- Show the management cards one by one; explain them if necessary and post them. Blank cards may be used to add other management tasks.
- Ask participants to form groups of 3 to 4 persons and to pick up any one management card per group.
- The subgroup should then discuss what specific actions they would propose for their selected management task.
- The reports of all subgroups should be consolidated into a management plan.

# Facilitator's Guide to Phases of a Water Project

## 1. INITIATION PROCESS

- Technical Survey
- Socio-economic survey (household, community meetings, official visits)
- Community-wide meetings
- Selection of water committee/VDO (members, chairman)
- Definition of Roles and Responsibilities
- Financial contribution (amount, number of times to collect contribution/hh)
- Who will be responsible for collecting money
- Resource assessment by community

## 2. PLANNING & DESIGN

- Selection of technical option/source selection (alternative)
- Level of service
- Layout of Distribution network
- Siting of tank, valves and standposts
- Formulation of ground rules (use of water, payment of fees, disconnection/connection)
- Signing of MOU

## 3. IMPLEMENTATION & CONSTRUCTION

- Construction workplan (phasing and timing)
- Selection of contractor
- Role of community (supervisors, labour...)
- Role of village leaders/councillor
- Role of agency (who, # of times, who he meets ..)

## 4. OPERATION & MAINTENANCE

- Quantity of water (# of times, duration)
- Repair and repair time
- Mechanic (who, from where, training ..)
- Spare parts
- Bill collection (amount, frequency, changes)
- Who will be responsible for bill collection?
- Account keeping
- Planned maintenance when, how often, money

## **5. MONITORING & EVALUATION**

- - Purpose
- What to monitor (success indicators)
- Who will monitor (agency, community)

## **6. EXPANSION & REHABILITATION**

- Changes in system ( tank, motor, distribution)
- New source/rehabilitation of old source
- Major repairs (planned/unplanned)
- After water, what? new areas for projects





# **COMMUNITY ROLE IN THE SUCCESS OF WATER SUPPLY PROJECTS**

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## **PURPOSE:**

To enable community members to determine (by comparative analysis of selected field situations) how a community can play an effective supervisory role during the construction and implementation stages of a water supply project.

## **MATERIALS:**

a) Brief descriptions (mini cases) prepared by the facilitator on the basis of own experience or on case material provided in this manual. The mini cases should illustrate three different situations in which community members display different degrees of concern and aptitude for a supervisory role.

1. Total lack of involvement, each one justifying his or her own attitude of not wanting or not being able to get involved
  2. A community that provides free or low cost labour but does not feel obligated to maintain the system. Some do not even use it.
  3. A community that helps throughout but finds that the costs of O&M are too high or that benefits are not equitably distributed. The mini cases should highlight issues but not indicate outcomes, i.e., to what extent the project succeeded or failed in each case
- b) Three pictures, one for each case, to help focus the discussion.

**PROCEDURE:**

Tell the group that you would like to hear their views on three different situations where a community water supply project was being established. After listening to each case, they should discuss whether the project's construction and implementation activities went smoothly or not, and what role the community played or could have played in the process. As you describe the case to them (describing in an informal way is better than reading the mini case), hold or pin up the corresponding picture high enough so that all can see. After all three cases have been analyzed in this way, ask the groups to summarize the key points of effective community participation in the successive stages of a water supply project.

## **COMMUNITY MANAGEMENT: COSTS & BENEFITS ACTIVITY**

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### **PURPOSE:**

To create awareness that community management results in benefits to many people at many levels in many different ways and that each of these benefits involves certain costs and responsibilities

### **MATERIALS:**

A large card, e.g., 5" x 8" or 8-1/2" x 11", depending on size of group involved in the discussion, the space available and the distance for viewing by participants on the outskirts of the group. The card should be labeled Community Management.

A large sheet of paper on which to post the card, and with room for the addition of other smaller cards.

Some 10 to 20 small cards, e.g., 2-1/2" x 3-1/2", in two different colors, one color for benefits and other for costs.

Felt pens.

### **PROCEDURE:**

- Remind the group of their previous discussions of community management.
- Explain the purpose of the task briefly to the group, preferably without giving specific examples of costs and benefits.
- Place the Community Management card at the center of the large sheet (Note: As always the floor may be used instead).

- Ask . In what way does Community Management of water supply benefit the community? Have volunteers write (or draw pictures of) different responses on separate cards of the “Benefit” color.
- Invite a volunteer to place one of the benefit cards next to the Community Management card and then ask if there are any costs involved in achieving that particular benefit.
- Once the task has been understood, have the participants divide themselves into triads or small groups of not more than 5 or 6 persons to deal with the remaining benefit cards in the same way. The cards may be duplicated for different groups or divided among the groups. The analysis done by the subgroups should be consolidated into one chart and discussed by the group as a whole.
- In a Plenary session, invite discussion of the following:
  - Who should bear the costs?
  - How will benefits be shared?

## **ROLE PERCEPTIONS BY CATEGORIES**

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### **PURPOSE:**

To help RWSS field staff and community volunteers reach agreements as to the sharing of responsibilities for Operations and Maintenance (O&M) tasks by different categories of personnel involved in the RWSS programme.

### **MATERIALS:**

(For each of 3 subgroups)

A list of O&M tasks, in bold print (See below)

A copy of the same list cut into strips and placed in an envelope. The group's symbol or letter (A,B or C) should be indicated on the envelope.

Four large sheets of paper (approximately 16" x 11") on which to post the strips. (NOTE: Each of these sheets should be labelled with the name of one of four categories of personnel to be involved in some aspect of O&M. Examples of categories: Caretaker/Operator, Water Committee Chairman, Union Council Chairman, Union Council Member

Masking tape and felt pens.

Blank strips for additional ideas of O&M tasks.

### **PROCEDURE:**

- Divide participants into 4 subgroups according to the categories to which they belong in their normal course of work. Preferably the headings chosen for the four sheets of

paper, above, should correspond to the categories represented by participants at the workshop. This way you can be sure that the subgroups will be able to identify the O&M tasks of which they have personal knowledge as being relevant to their category.

- Ask each group to do the following:
  - Start by sorting out “tasks” strips according to the category of staff primarily responsible for fulfilling them. Select and post on the appropriate sheet of paper only those tasks which they truly believe their category should perform. Reserve the rest to assign to other categories as they see fit.
  - Ask them to do the same with the remaining strips using their personal judgement as to which category is the right one to do those tasks.
  - Use blank strips if they wish to add tasks.
- When all four subgroups have completed the selection and posting, have them arrange their four sheets on the wall or blackboard in a horizontal row beginning with the category which is closest to the community and proceeding in hierarchical order. The other groups should place their sheets in the same order so that different role perceptions for any one category can be easily compared.
- When the outputs of all four subgroups have been posted, open up a plenary discussion of points of agreement or disagreement on different role perceptions. Invite suggestions for a rational distribution of such roles in the specific context in Pakistan to which the participants belong.

### **Mixed Up Sample List of O&M Tasks (Who should do it?)**

- Look for funds and resources for maintenance and improvement of the system.
- Show the people how to use the pump.
- Explain the policy and objectives of the project.
- Take care of the maintenance and repair of the pump.
- Keep the area around the handpump clean.
- Select the equipment that is easy to operate and readily available.
- Procure spare parts.
- Coordinate and contact the right people when the pump breaks down.
- Prepare people for the drilling.
- Provide consultancy on O&M matters.
- Act as Secretary to the Village Committee.
- Store and administer spare parts and equipment.
- Maintain linkage between the community and outside agencies.
- Provide hygiene education to community members.
- Introduce the project to the people.
- Provide training in pump maintenance and repair.

- Supervise the installation of the pump.
- Motivate the people to cooperate with the project.
- Requisition supplies
- Evaluate the functioning and effective use of the system.



# **CHOOSING AMONG TECHNOLOGY OPTIONS**

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## **PURPOSE**

To help villagers clearly visualize the costs and benefits of different technology options available to them on the advice of technical personnel.

## **MATERIALS**

A set of pictures on technical options appropriate to the area.

## **PROCEDURE**

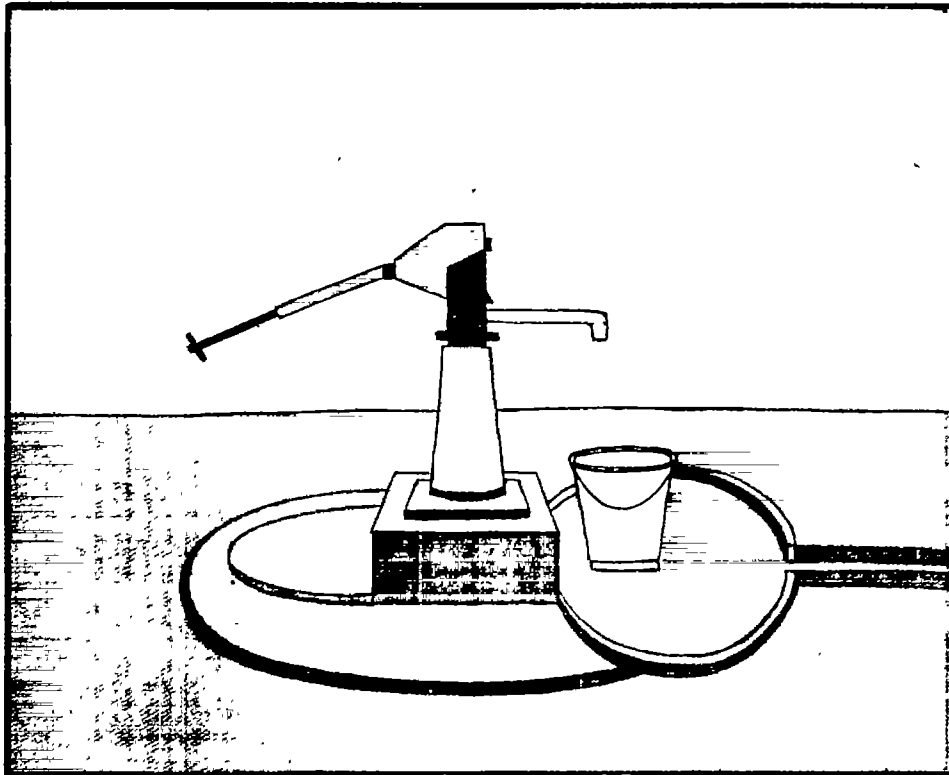
- Explain to the group that decisions as to which water system is best for the village depends on two factors: The technical feasibility of the option and the villager's judgement as to its appropriateness for their needs and their ability to pay.
- Present pictures or options one by one and discuss what they represent, starting with finding out what the people think they are and what they involve.
- Ask them to suggest what would make a technical option acceptable to them (criteria for selection).
- Ask villagers (preferable working in sub-groups) to evaluate the different options in the light of the criteria they have agreed on
- If necessary share with them the criteria and cost information developed by PHED for different technical options (See attached Pros and Cons list)<sup>27</sup>

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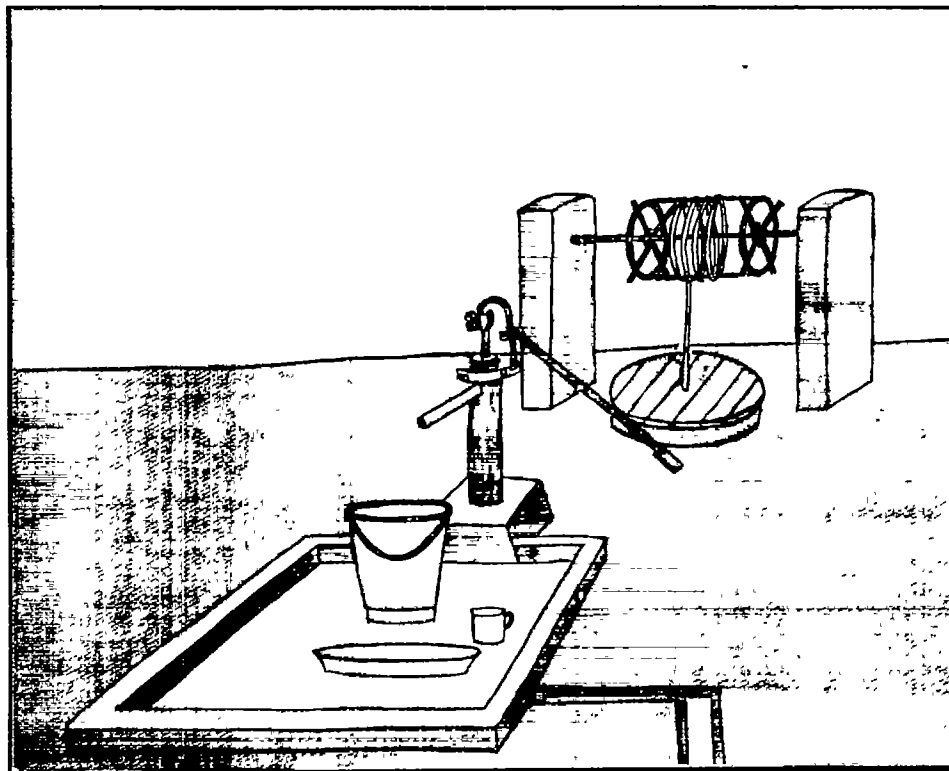
<sup>27</sup> PHED Manual · The Integrated Concept, GTZ PAK/German Promotion of PHED, NWFP, pp 131-139; Costs pp 124-127

**SAMPLES OF TECHNOLOGY OPTIONS**

Picture 1



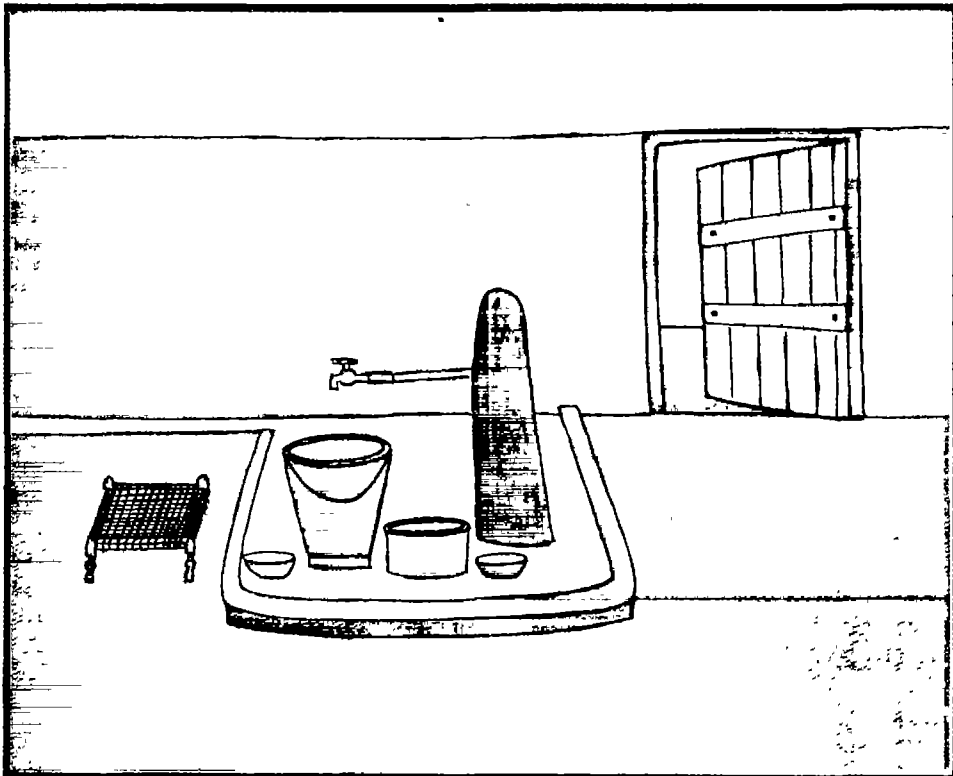
Picture 2



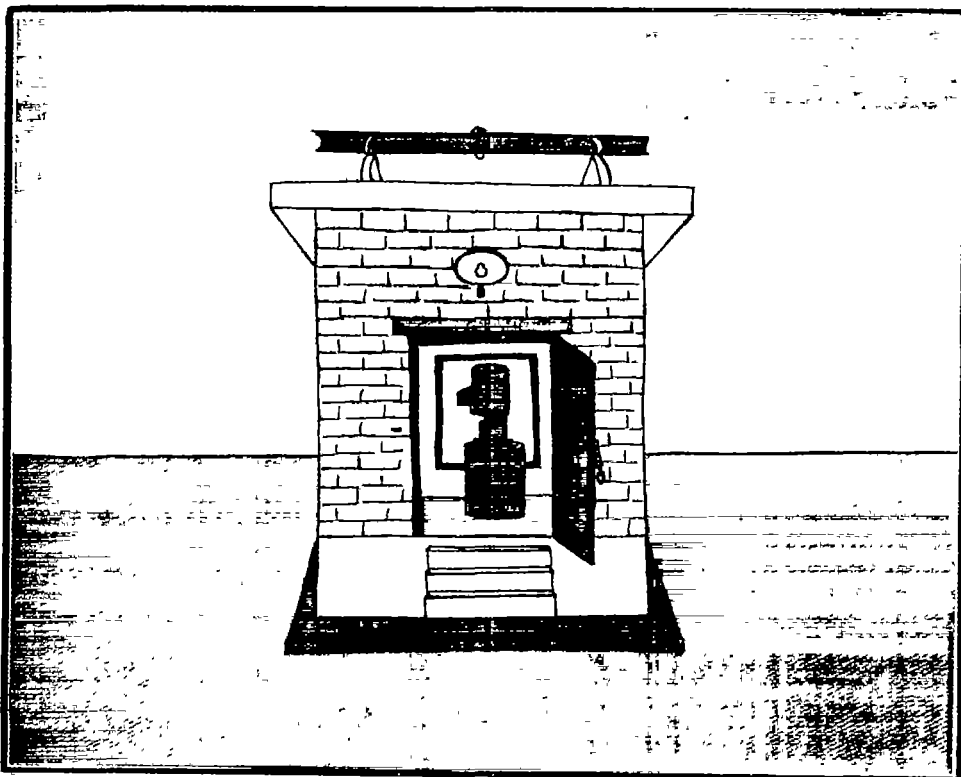
Visulas adapted from the PHED Manual; The integrated concept GTZ PAK. German promotion of PHED, NWFO, pp 93 - 107.

Artist : Nina Zubair

Picture 3



Picture 4



## **CRITERIA USED TO ASSESS THE PROS AND CONS OF EACH WATER SUPPLY SYSTEM**

1. Financial input for construction from the users (individually or collectively) and construction cost borne by PHED.
2. Labour and materials input for construction from the users.
3. Privacy/convenience especially concerning purdah, proximity of facility to user, and quantity of water available.
4. Level of service (community tank; standpost; house connection)
5. System reliability
  - Likelihood of breakdown
  - Cost of repairs
  - Time needed for repairs
  - Temporary alternate water supply
  - Duration of service (hrs per day)
  - Availability of spare parts
6. System sustainability
  - Operation cost
  - Ease of operation
  - Operation responsibility
  - Maintenance cost
  - Ease of maintenance
  - Maintenance responsibility

### **OTHERS COULD INCLUDE:**

7. Extent to which community can take responsibility of decision-making for a given system and components.
8. Siting and ownership of facilities.
9. Water quality; taste, colour, smell and health aspect
10. How quickly can the system be installed.

# **PLANNING A COMMUNITY-BASED WATER PROJECT**

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## **PURPOSE**

To help project staff visualize the sequence of steps in the development of a water project and the role that different actors can play in it.

## **MATERIALS**

- Three sets each of some 47 cards each indicative of a different “step” of the process of developing a water project. Some extra blank cards will be needed for each set (please refer to facilitator’s Guide to phases of a water project, page 123).
- Felt pens in three different colours (one colour per group)
- Masking tape newsprint
- Adhesive stickers in three different colours, e.g., red, blue and green, for each group.

## **PROCEDURE**

- Divide the participants into three groups. Give each group one set of cards, the adhesive stickers and a felt pen.
- Ask the groups to first sequence and post the cards on newsprint in the order in which they think the water project should develop.
- Having done so they should use the coloured adhesive stickers to colour-code the activities according to who should have the principal responsibility for implementing them: the outside agency, the community or specifically the women of the commu-

nity. (All three groups should agree on the colours to use in representing these categories).

NOTE. If adhesive stickers are not available, felt pens can be used instead for colour coding

- When all three groups have posted their cards, open up the discussion as to similarities and differences in their perceptions. Preferably limit the comparative analysis to two or three items on which there are glaring differences of opinion.

## **OPTIONS FOR SITE SELECTION**

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### **PURPOSE:**

To involve the community in weighing the relative advantages and disadvantages of two alternative sites for installing the pump.

### **MATERIALS:**

A mini case presenting three or more alternative sites for a handpump, e.g., one in a central location accessible to all, in a busy shopping area. Another inside the compound of a wealthy landowner. A third in a public place but surrounded by a wall for privacy. A fourth inside the compound of a large family.

A large chart with four horizontal rows of four squares each. The rows are labelled Site 1, 2, 3 and 4. Divided vertically this will make four columns each with four sections. The heading for each column should indicate one criterion which the group considers important for site selection, e.g., distance to all families; freedom of access by all users; privacy for women users; construction cost. The criteria should be determined through group discussion.

Sites	Criteria			
1				
2				
3				
4				

Felt pens to mark ratings given by the group to the sites under each criterion (Alternatively, ratings can be indicated by using leaves or other objects in different shapes or colors)

**PROCEDURE:**

- Make up a mini-case of a fictional village using details from the attached case material or from other sources
- Read or relate the mini case to the group
- Have the group identify the four alternative sites as Site 1 , Site 2, Site 3 and Site 4. (Pictures or symbols may be used instead of numbers to distinguish the sites).
- Invite suggestions as to the criteria which should be used in selecting a site for a pump that will benefit all.
- A volunteer should write (or use symbol to indicate) one criterion at the head of each column.
- Refer to the mini case again and ask the group to evaluate the first site by considering whether it satisfies each of the criteria one by one To indicate degree to which the criterion is satisfied, three different symbols should be used ( e.g., V for very well; X for acceptably; and O for hardly or not at all)
- The same process should be repeated for Sites 2,3 and 4.

NOTE If the evaluation can be done simultaneously in three different subgroups and then compared, a fuller discussion and deeper understanding of the issues involved is likely to result.

- After completing the analysis of the mini case in this way, group members can take up the real life issue of site selection in their village and apply the same or a different set of criteria to evaluate options.



## **HANDPUMP REPAIR ISSUES**

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### **PURPOSE**

To help community members analyze the factors that can influence the repair of village handpumps and to plan initial strategies to deal with pump breakdown.

### **MATERIALS**

Two pictures: a broken cart, a broken pump

### **PROCEDURE**

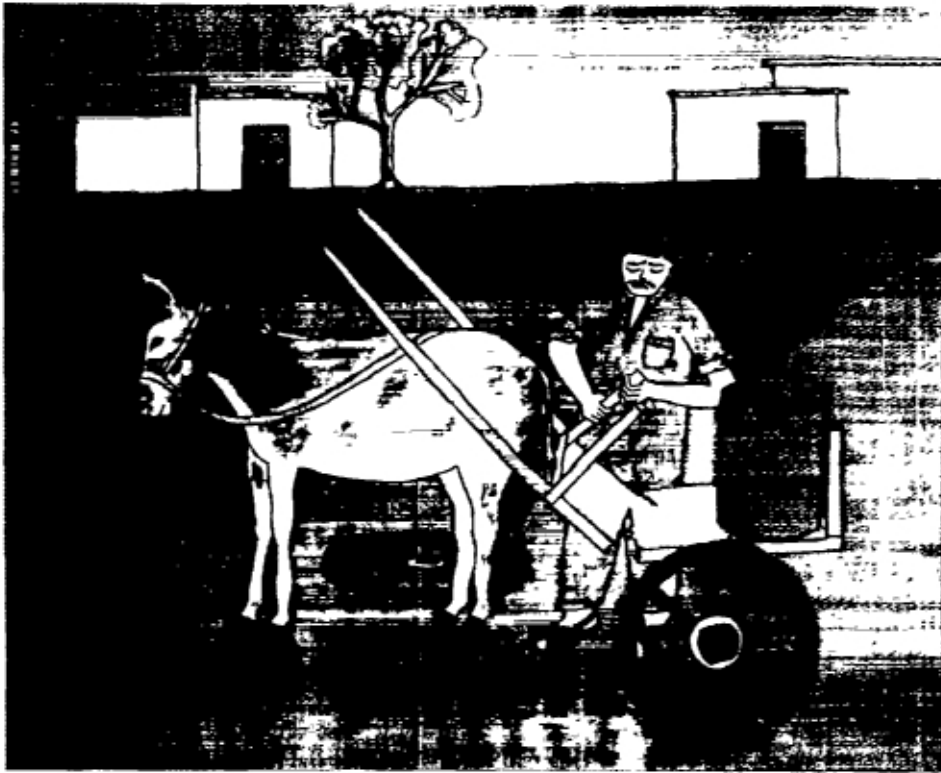
- Show participants the picture of the broken cart. Tell them it belongs to a villager named Gul Khan (or give some other name). Ask for suggestions of what Gul Khan needs to do to have his cart repaired. Ask them to focus on whose responsibility it is to repair the cart and what would be the consequences to Gul Khan and his family if the cart is not repaired quickly
- Next, show them the picture of the broken pump. Tell them it belongs to a village named “Shingar” ( or some other name). Ask them to discuss who should be responsible for repairing the broken pump, what is involved in such repair and what would be the consequences of leaving it unrepaired.

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\* Source. Shakeel Ahmed and M Siraj ul Haq. Workshop on Participatory Approaches for Community Development at District Zhob, Balochistan, August 1992.

**SAMPLE PICTURES FOR HANDPUMP REPAIR ISSUES**

A Broken Cart



A Broken Pump



*Artist : Nina Zubair*

## **EQUITY OF BENEFIT ISSUES**

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### **PURPOSE:**

To help community members reach consensus on the importance of equitable benefits of the improved water system to all families regardless of their economic or social status, land ownership or other privileged circumstances.

### **MATERIALS:**

A mini case illustrating inequities in access to water and in cost sharing. (Facilitator should make up their own cases. See attached case material)

A set of six to eight posters illustrating initial, middle and ending situations based on the mini case.

### **PROCEDURE:**

- Tell the group that you would like to know their opinions on a mini case which you will relate to them. As they listen to the case they should consider in particular the following:
  - What was the problem faced by the community?
  - How could it be solved?
  - Who should be mainly responsible for solving it?

- Relate the case using the pictures to illustrate it (Alternatively, relate the case and invite a volunteer to repeat (echo) the story by using the pictures as reminders of the sequence of events).
- Open the discussion of the case focusing on the four questions listed above.
- Invite comments on whether the issues discussed have any relevance in the participants' own setting.



**Level: All Project Staff**

## **SORTING OUT THE COMPLEXITIES OF RURAL WOMEN'S SITUATION**

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### **PURPOSE**

To involve management level decision makers, trainers and field staff in examining and reconstructing for themselves the complex factors that effect rural women's lives and the consequences thereof, both in terms of women's advancement, and the advancement of the community as a whole.

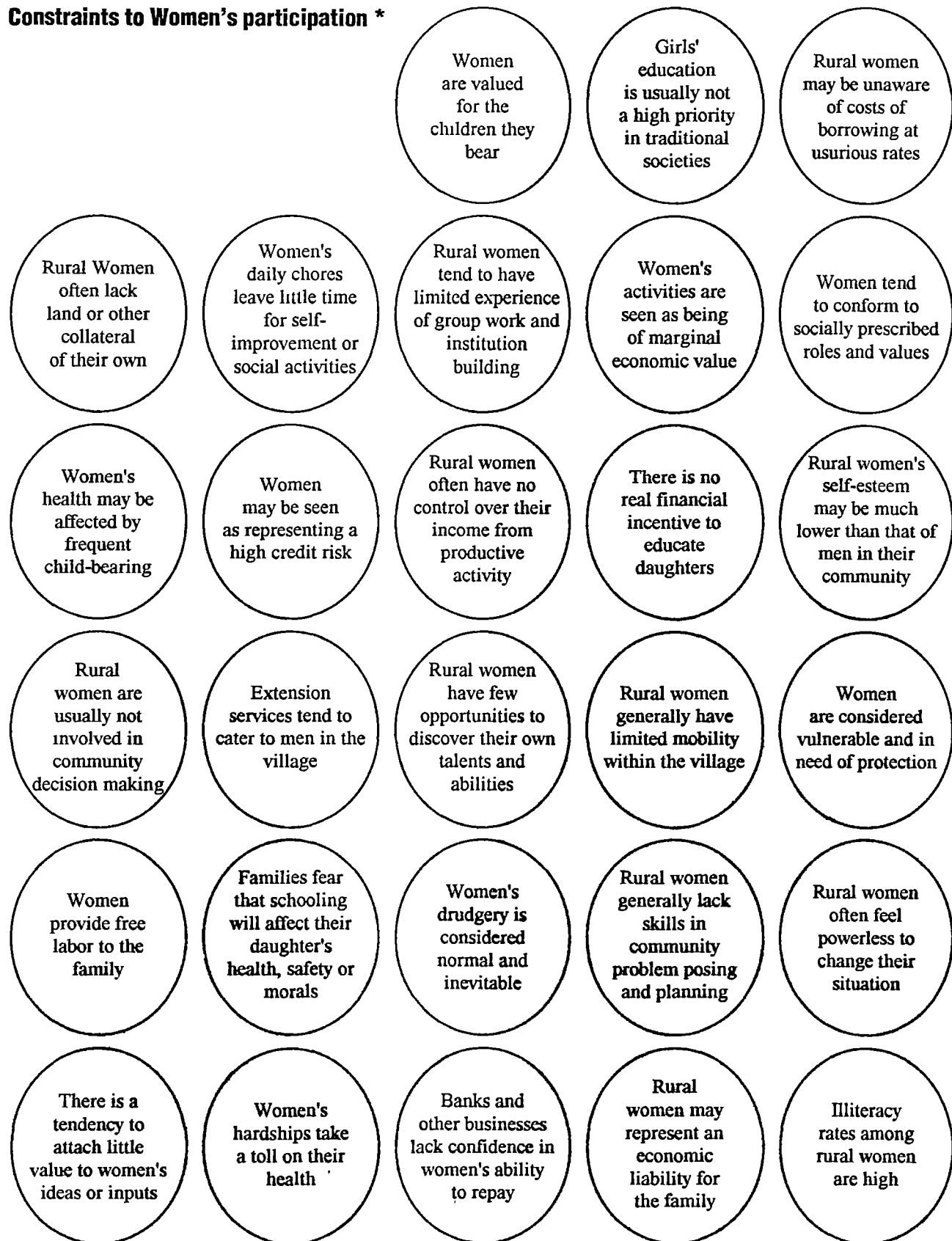
### **MATERIALS**

Three sets of cards in the shape of circles (approximately 1-1/2 inches in diameter) with the text inscribed in each. Additional blank cards for the participants to add their own ideas. Large sheets of newsprint or brown paper on which to paste the cards. Construction paper or other paper of different colour, scissors, and tape.

### **PROCEDURE**

- Invite participants to form three groups of equal or near equal size and balanced composition. (If such groups have already been formed, retain them for this activity).
- Give each group a set of the cards with text as well as many blank cards for them to write their own ideas.
- Explain the main task: Each group should examine and reflect on the statements given on its set of cards, and select any one statement that seems to them to apply to the local context.

## Constraints to Women's participation \*



\* Source . Srinivasam, Lyra, Options for educators, PACT, New York 1992

- Having chosen any one statement as the central issue, they should then establish its cause/effect linkages with the other statements in their set, so as to provide a unified and coherent picture of the problem. If the cards with text are not relevant to the local situation, they should write new text on the blank cards in their set.
- The three groups are free to codify or arrange the cards in any way they choose and they may also discard or modify any statements with which they do not agree. However, when they have completed their codification or collage or whatever end product they create using the cards, they must be prepared to explain and justify it to the other groups in a plenary session. To ensure that their valuable ideas on rural women's condition are not lost, have the groups prepare a brief list of their main points on newsprint and post these points at the time of presenting their reports.



## **ATTITUDES AND BEHAVIOURS "HOW TO" AND "HOW NOT TO"**

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### **PURPOSE**

To create awareness of attitudes and behaviors which do or do not help establish effective communications between agency field staff and a village Water and Sanitation Committee.

### **PROCEDURE**

Divide participants into four groups. Hand out the following instructions on separate slips of paper. Each group should go to a different room. Allow 20 minutes for preparation.

- **Group One**

Develop a 5 minute role-play illustrating attitudes and behaviors which do not help effective communication between agency field staff and Water Sanitation Committee. The characters are: 2 agency field staff (e.g., Union Council Secretary, Sub- Engineer) and 3 members of a village Water and Sanitation Committee (one of whom could include an elderly woman). During this visit the agency team are discussing the Village Agreement Form with the WSC, in particular, the roles and responsibilities of each party.

- **Group Two**

Develop a 5 minute role-play illustrating attitudes and behaviors which help effective communication between agency field staff and a Water and Sanitation Committee. The characters are: 2 agency field staff (e.g., Union Council Secretary, Sub- Engineer) and 3 members of a village water and Sanitation Community (one of whom

could include an elderly woman). During this visit the agency teams are discussing the Village Agreement Form with the WSC, in particular, the roles and responsibilities of each party.

- **Group Three**

Develop a checklist of attitudes and behaviors which do not help communication between agency field staff and Village Water and Sanitation Committees. The group should select a member to present the checklist at the end of the session, using a large flip chart.

- **Group Four**

Develop a checklist of attitudes and behaviours which help communication between agency field staff and Village Water and sanitation Committees. The group should select a member to present the checklist at the end of the session, using a large flip chart.

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\* Source UNICEF Six Day Workshop for WES Master Trainers, UNICEF-assisted LG & RDD Water and Environmental Sanitation Programme, Feb. 1992.





# **Case Study Examples**



## **WATER SUPPLY IN KALINGER VILLAGE :AN ISSUE OF OWNERSHIP?**

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**NOTE:** These three cases have been included in the manual primarily to provide raw material for use in the other exercises where case examples are needed. Trainers should use their discretion in condensing or adapting them for different levels (e.g. at the community level they could be told as an open-ended story with the help of flexi flans). A focal question suggested at the end is entirely optional.

Water supply in the Kalinger village is highly erratic. In parts of the main village, water supply schemes appear to be working to a certain extent. In other neighborhoods they do not seem to have been maintained. Still other parts do not have any water supply schemes or have very rudimentary ones.

In a few neighborhoods, people are using spring water directly for all domestic purposes. In other neighborhoods, they have water supply schemes installed through the Union Council. Some of the wealthier homes have piped connections but water is not piped to every household, only to certain points in the village. Women are responsible for bringing water to the home and it is carried in earthen or aluminum pitchers or plastic utensils such as jerry-cans. Younger girls may be given a variety of smaller utensils (e.g., old ghee cans) to collect water. Where water needs to be carried from a distant source, occasionally donkeys may be used to transport the water.

Some households obtain water through private wells, which they use both for irrigation and domestic purposes. Various Persian wheels drawing water from ancient wells are still in use and have been one of the main sources in areas where no immediate surface source is present. In some cases these have been mechanized using motorized pumps.

Public wells constructed in the past were often surrounded by a wall to give women greater privacy when collecting water. One such well, equipped with a pump, used to supply

water to tanks in other parts. The system was installed by the Local Government but had fallen into disrepair. Eventually the pump was sold and the money (Rs 5000) used to repair the local mosque. The pipes were disassembled and re-used for a new system.

The river is also used as a source of drinking water. In the dry season this often involves excavating small "hollows" in the river bed to create pools from which to get water. Springs have also been capped and pipes laid to channel the water to storage tanks. These pipes usually lead to specific households, as private money has been used.

There is a water supply scheme installed by the Union Council and District Council which is utilized as a main spring source, but this has not been successful, reputedly due to non-cooperation by villagers. Villagers, on the other hand attribute its failure to:

- lack of water
- no underground pipes and external pipes are easily damaged
- size of pipes too small
- small tank
- incorrect planning at the time of installation
- lack of management
- main supply/spring being too far
- over expansion to individual houses

In one neighborhood, a UNICEF-installed handpump is not functioning. The pump was installed on a UNICEF/Local Government self-help basis. The villagers provided the labour and UNICEF provided the technical know-how and hardware. The villagers, however, identify the pump more with UNICEF than with the local government since the government, though informed of the damage, has not taken steps to repair the pump. The villagers themselves have not been over anxious to take action since other spring water sources have developed.

**Focal Question:** What kinds of changes do you feel would be needed in this village in order for an improved water supply system to be effectively used and maintained?

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*This case material has been condensed from a 1992 study carried out in the Lower Tanawal Rural Development Area by Richard Edwards, Mehreen Husain, Nasruallah Jan Malik, Humera Malik, Mohammed Zaheer Lokasher and Mohammed Taj, ACTION AID Pakistan.*



## CASE 2

# THE CASE OF VILLAGE QASMAI

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The village Qasmai is situated on a hillock which is composed of fine and compact clay soil. It consists of a total of 550 houses (population = 3850) with a high population density.

The village is organized into four palaws (tribes) under elders or managers of the four mosques in the village, thus providing a good base for community participation.

There are three existing water sources in the village: Open wells, a spring and a stream. Most of the people depend on the open wells which tend to be deeper in uphill houses and become more shallow in lower parts as the water table varies from approximately 40-70 feet. Water is raised by womenfolk in a traditional way by using a bucket and rope. In dry weather and summer the open well's yield is reduced, compelling people to use polluted water from the stream and the spring, for drinking purposes.

The spring is believed by villagers to be a true spring, but the Assistant Engineer PHED doubts it because it is situated in the bed of the stream with gas bubbling out. A hydrogeological investigation is needed to determine its status and origin. Also, polluted water seeps into the spring from an uphill refuse dump.

The third source of water, the stream, flows in the lower parts of the village. The stream also receives pollutants from the uphill residential areas.

Most houses have traditional latrines from which excreta is collected manually and disposed off-site. A few houses have constructed latrines above the drains, thus disposing of excreta directly into the drains

The open wells at household level are vulnerable to contamination due to the following reasons:

- i Surface water washed straight down the hole
- ii People standing on the head wall for drawing water which may splash against their feet and fall back into the well
- iii Seepage water may enter from the surface through the top few meters of the well lining
- iv The vessel used for drawing water can cause some pollution of the well
- v Rubbish may be thrown down the well by children

## **WATER AND SANITATION ALTERNATIVES**

The various alternatives for water supply include.

- 1 Tube well based on direct pumping, community tanks covered with handpumps or overhead reservoir with house connections and public stand posts
2. Spring tapping.
3. Installation of community or local handpumps on the wells.
- 4 Pour flush and VIP latrines

Before presenting the feasible alternative to the villagers for selection of an affordable one, the following factors are to be considered:

- The spring, as stated earlier, requires hydrogeological investigations in order to determine whether the water really is coming out of the ground and is not a stream that has gone underground for a short distance.
- The stream water would require comprehensive treatment before it is supplied to the consumers for drinking; the capital outlay on such a system will be the highest among other choices besides its inherent O&M problems
- Due to variation in the water table, just one type of handpump (local or indus) cannot be recommended. Both will be needed.
- Deeply drilled tube well would give good quality water but will require pumping and water storage reservoirs, thus raising capital costs. Also in the case of a tube well, an hydrogeological study will be needed for the assessment of water potential and ground conditions.

The dry and wet systems for latrines and excreta disposal should be studied in detail, keeping in view the rural community and, in particular, the topography of the area.

**Focal Question:** Taking any one of these optional sources at a time, consider what O&M responsibilities would be involved for the community. Also review the costs and benefits of any one option in detail



## O&M: WHOSE JOB IS IT?

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A handpump should be easily accessible to each and every villager. Accordingly, all should be accountable for its operation and maintenance. That is the ideal; the reality is often different

For example in five districts of Balochistan where handpumps have been installed by LG&RD with UNICEF assistance, out of 88 pumps 66% are owned by one villager, 35% by communities, 7% by absentee owners of the land and 2% by the Government. Three of the handpumps are not accessible to villagers at all: in one case the handle is stored away, making it impossible for outsiders to use the pump; in a second case, a chain has been attached from the handle to the cover to prevent its being used by the public; a third pump has been installed in the compound of an MPA. The gates to the compound are closed for 8 to 12 hours, which discourages people from entering to collect water.

Out of the 88 pumps, 12(13%) are technically of good quality but eight of them did not give any water. In Loralai, four of the pumps visited were not functioning: One was allegedly damaged by refugees while the village people had migrated to Sindh for the winter months; another was damaged by children who filled it with stones; the third was unfit for unknown reasons, and the fourth due to neglect

In Zhob, five pumps were unfit. The following causes were given:

- 1 The foot valve was broken and repaired in an amateurish way instead of being replaced.
- 2 The screw threads of the nuts, which keep the upper part of the pump fixed to the pedestal, were stripped and now water leaks while the pump is in operation

3. The suction pipes are not located deep enough below the water-table.
4. The discharge pipe is in bad shape.
5. The pipes are leaking

In Kharan (SD), four pumps were technically unfit, none of them giving water. One due to excessive pipe leakage, another because of a total collapse of the well, the third due to neglect and the fourth was allegedly damaged by members of a rival group in the village who did not agree on the location of the pump. In this last case, the pump hardly functioned for one week.

In Chagai (N), two pumps were out of order, both not giving water. One, in disrepair since two months, had broken rods. The other, along the highway, had completely disappeared due to heavy rains or melting snow (or both).

**Focal Question:** List the actions which can be taken (a) by the community (b) by the project and (c) jointly by the community and project, to ensure sustainability of improved water systems.



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## **BACKGROUND**

During the 1990s, one of the major tasks that needs to be addressed in the water and sanitation sector, is that of capacity building, that is, assisting communities in the design and development of sustainable water supply and sanitation schemes. Even though, effort has been made to increase water supply and sanitation coverage, more than 50 million people still do not have access to safe water in Pakistan. In fact, new water supply facilities have had a negligible impact on health and productivity. A majority of the installations are non-functional due to lack of proper management.

There is a need for enabling communities to take on new roles and responsibilities, so that the benefits accruing from water supply and sanitation schemes are sustainable and equitably distributed. Capacity building, will be the key to the success of future water and sanitation programmes and will involve the active participation of communities at all stages of projects, that is, from the planning and design to the overall management of the schemes.

The search for options has only just begun, and this manual is a first step towards the understanding of sustained behavioural change and its link to long term development, within the context of Pakistan. It is hoped, that users of this manual will find it a practical guide for selecting and evolving appropriate tools for the promotion of community participation. It is also hoped, that the manual will catalyse wider involvement of communities in the WSS sector.

The manual is designed for use by both trainers and extension staff and includes activities to be used at three levels, that is, at the community level, for the training of extension staff and for the training of trainers. Two types of tools are included, that is, the more generic SARAR tools that can be applied multi-sectorally and the more specific water supply and sanitation activities.

The application of these tools is an experiential process and will require constant refinement, updating and modification.

We hope the manual will serve as an inspirational guideline for practitioners