

Consultancy Report: Steps to Community Empowerment and Participatory Information System

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*Prepared for Rural Water Supply and Environmental Programme
by D'Arcy Davis-Case*

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TABLE OF CONTENTS

Preface	iv
Acknowledgements	iv
Abbreviations	v

SECTION ONE: CONSULTANCY REPORT

CHAPTER ONE: INTRODUCTION

1.1 Background to Consultancy	1
1.2 Methodology	3
1.3 Limitations to the Consultancy	7
1.4 Summary of "Steps Toward Community Empowerment"	8
1.5 Summary of "Participatory Information Systems"	9

SECTION TWO: STEPS TOWARD COMMUNITY EMPOWERMENT

CHAPTER TWO: EMPOWERMENT AND PARTICIPATION

2.1 Ethiopia, Region Three and Participatory Approaches	15
2.1.1 National and Regional Policies	14
2.1.2 RWSEP and Participation	15
2.1.3 The Community Empowerment Programme	16
2.1.4 The Local Level Participatory Planning Approach	17
2.2 The Limitation of Participatory Development	20
Analysis of the Situation	21
	2.3

CHAPTER THREE: PARTNERSHIP PARTICIPATION

3.1 The Benefits of Partnership Participation	23
3.2 The Principles of Partnership Participation	24
3.3 The Tools	27
3.4 Training and Extension	30
3.5 Programme Phases	31
3.6 Defining the Community	31

CHAPTER FOUR: PROPOSED STRATEGY FOR RWSEP

4.1 Principles of the Strategy	37
4.2 Basic Tenants of the Strategy	41
4.3 Steps to Community Empowerment-Action Plan	44
4.4 Sequencing of the Action Plan	44

SECTION THREE: PARTICIPATORY INFORMATION SYSTEM ON RWSEP

CHAPTER FIVE: MONITORING AND EVALUATION

5.1 Monitoring/Evaluation and Reporting Systems	
Currently in Place	55
5.1.1 Finnida and FINNCONSULT	55
5.1.2 National Level	56
5.1.3 Regional Level	57
5.1.4 Programmes within Sectors	59
5.1.5 Zonal Level	61
5.1.6 Woreda Level	62
5.1.7 Community Level	62

CHAPTER SIX: INFORMATION SYSTEMS DEFINED

6.1 Defining an Information System.	63
6.2 Information Systems and Participatory Integrated Rural Development.	64
6.3 The Elements of a Participatory Information System.	65
6.4 The Components of a Participatory Information System	73
6.5 Using Indicators in the Participatory Information System	73
6.6 Qualitative and Quantitative Information	75
6.7 The Benefits of a Participatory Information System	75
6.8 Goal Free Evaluation	75

CHAPTER SEVEN: COMPREHENSIVE DESCRIPTION OF THE PARTICIPATORY INFORMATION SYSTEM FOR RWSEP

7.1 The Components and Linkages of the PI System on RWSEP	76
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CHAPTER EIGHT: THE COMMUNITY LEVEL

8.1 Defining the Community Level	79
8.2 Peripheral Support at the Community Level	80
8.3 Community Level Participatory Information System	81
8.4 Monitoring Potential Activities with Key Indicators	83
8.5 The Quarterly Analysis/Evaluation Events	84
8.6 Keeping Community-Based Records	86
8.7 Action Plan at the Community Level	86

CHAPTER NINE: THE WOREDA AND ZONAL LEVELS

9.1 Defining the Woreda/Zonal Levels	88
9.2 The Role and Responsibilities of the Woreda and Zonal Levels	88
9.3 The Quarterly Analysis/Evaluation Events	89
9.4 Keeping Records and Reporting	90

CHAPTER TEN: THE REGIONAL LEVEL

10.1 Defining the Zonal/Regional Levels	91
10.2 The Roles and Responsibilities of the Zonal and Regional Levels	91
10.3 The Quarterly Analysis/Evaluation Events	92
10.4 The Newsletter	93

Annex A: Terms of Reference

Annex B: Report from Bureau of Health (Mulugeta Asefa)

Annex C: Report from Bureau of NRDEP (Alenegne Dagneu)

Annex D: References Used

PREFACE

These reports on Participatory Approaches to Development and Information Systems (monitoring and evaluation) have been designed specifically for the Rural Water Supply and Environmental Programme (RWSEP). The RWSEP is jointly implemented by Finnconsult and the Bureau of Natural Resources Development and Environmental Programme in Region Three of Ethiopia; and jointly financed by Finnida and the Transitional Government of Ethiopia. RWSEP is following a participatory, integrated approach to rural development, with water and the environmental protection as their particular entry points.

The audience of these reports are programme managers, specifically those associated with RWSEP: the Bureau of Health, the Bureau of Women's Affairs, the Bureau of

ABBREVIATIONS

BoA	Bureau of Agriculture
BoE	Bureau of Education
BoH	Bureau of Health
BoNRDEP	Bureau of Natural Resources Development Environmental Protection
BPED	Bureau of Planning and Economic Development
BWA	Bureau of Woman's Affairs
CEP	Community Empowerment Programme, Region Three
CHW	Community Health Worker (or CHA for agent)
CST	Communication Support Team
DA	Development Agent
FAO	Food and Agriculture Organization
FINNIDA	Finnish International Development Agency
IEC	Information, Education, Communication
NGO	Non Governmental Organization
PA	Peasant's Association (also known as Kibele)
PA/PRA	Participatory Assessment/Participatory Rural Appraisal
PI System	Participatory Information System
PP	Participatory Planning
PM&E	Participatory Monitoring and Evaluation
RDC	Rural Development Committee
RDT	Rural Development Team
RTA	Region Three Administration
RWSEP	Rural Water Supply and Environmental Programme
SAERAR	Sustainable Agriculture and Envir. Rehabilitation in Amhara Region
SIDA	Swedish International Development Agency
TBA	Traditional Birth Attendant
T&V	Training and Visit Extension System
TGE	Transitional Government of Ethiopia
ToT	Training of Trainers
WFP	World Food Programme
WRDC	Woreda Rural Development Committee
WRDT	Woreda Rural Development Team
ZRDC	Zonal Rural Development Committee

Education, the Bureau of Natural Resource Development and Environmental Protection, and the Office of Regional government, the Bureau of Planning and the Bureau of Agriculture. They have also been designed to give some guidance to those involved in training in participatory development and information systems. While the reports address the specific needs of RWSEP, the activities pertaining to water supply, environment and sanitation, and the objectives of RWSEP, it also has significance for the other related sectors, should Integrated Rural Development be the development option chosen by the Bureaux sectors.

ACKNOWLEDGEMENTS

This has been a very unusual consultancy from the beginning. A few weeks after supposedly finalizing the contract, the RWSEP focal persons held a meeting, and informed me that my services were contingent on fulfilling the following request: "Ethiopians requested the following committment from You:

1. The consultant shall commit to her work fully
2. The consultant shall sacrifice herself whole time for the work
3. The consultant shall be ready to accept and work in hard living conditions
4. The consultant shall be ready to work 7 days a week if necessary.

Ethiopians are really hard-working people and fully committed to their work. Therefore they require same from consultants". (RWSEP 11.04.95)

My reply was that this was my usual way of working, and I was looking forward to sharing the same kind of committment from people in the country. The team put together by the focal persons have shown committment, and I would like to acknowledge their contribution to the overall strategy and the report. I would especially like to thank Ato Mulugeta Asafa (BoH) and Ato Alehegne Dagneu (BoNRDEP): such people give me great hope for Region Three and for Ethiopia. Ameseginalehu!

However, the consultant takes the entire responsibility for any mistakes, omissions and/or the particular viewpoints expressed.

ONE: INTRODUCTION

1.1 BACKGROUND TO THE CONSULTANCY

The Rural Water Supply and Environmental Programme (RWSEP) in Region Three is supported by the technical and financial inputs from the Finnish International Development Agency. The implementation of the programme is the responsibility of the Natural Resources and Environmental Protection Bureau of Region Three, which is now known as the Amhara National Regional government.

The overall objective of RWSEP is to "achieve sustainable human development for the communities to take responsibility of their own development."

The purpose of RWSEP, as stated in the Programme document is to:

- increase the availability of safe drinking water;
- improve the health status of the population;
- improve land conservation practice;
- increase institutional capacity; and
- increase self-finance of development efforts at the local level.

The RWSEP objectives, also as stated in the Programme document, are:

- to increase water supply and sanitation service levels;
- to develop small scale irrigation facilities;
- to support environmental protection;
- to strengthen research, education and public information functions; and
- to increase the capacity of communities to address their priority problems.

Implementation of the Programme will be in five phases. In 1995, three Woredas will be part of the pilot phase, and by 1996-97, RWSEP will be working in twelve Woredas in South Gondar and East Gojjam Zones. The phases of RWSEP are:

Phase One: Preparatory Phase (4 months). This phase was completed in late 1994, and consisted of acquiring offices, hiring personnel and setting up the programme.

Phase Two: Formulation of Implementation Policies, Strategies and Procedures (6 months). In this phase, which will end in mid-1995, a series of consultancies were commissioned to assist in the strategy and methodology development. Developed on the basis of needs identified in the pre-programme and preparatory phase, these

studies are shown in Table 1.

Phase Three: Information Gathering, Capacity Building and Testing of Implementation of Mechanisms. This phase began in mid-1995 and will last for approximately one year. Activities (training and field activities) will take place in three Woredas. The Woreda and Regional level planning for this phase has already been completed.

Phase Four: Implementation; and

Phase Five: Implementation and Preparation for Programme Continuation.

Table 1: Studies Done in Phase Two of Programme

Activity	Name	Consultant	Started	Completed
Study	Socio-Economic Baseline	Ms.Ulla Mustanoja	02.94	7.95
Study	Information, Education Communication Package	Mr.Alan Vigoda	02.95	04.95
" "	Gender Analysis Package	Ms.Tuula Ripatti	02.95	04.95
" "	PRA	Ato Constantinos Berthe-Tesfu	11.94	03.95
" "	Women's Credit	Ms.Ulla Mustanoja	02.95	06.95
" "	Training Needs Assessment	Ato Ayaleneh Yeshaw	05.95	
" "	Joint Training Package	Ato Kassahun Mammo	05.95	07.95
" "	Monitoring & Evaluation	Ms.D'Arcy Davis-Case	05.95	07.95
" "	Technical Feasibility for Rural Centre Water Supply	Mr.Elis Karsten	03.95	Draft 07.95
" "	Empowerment Package	Ms.D'Arcy Davis-Case	05.95	07.95

This report covers two consultancies: the participatory approach to development, and the monitoring and evaluation.

This report includes the field study methodology, field findings, and the rationale for development of the particular strategies taken. Section Two of the report is entitled, "Steps to Community Empowerment" while Section Three is entitled, "Participatory Information System on RWSEP". They have been amalgamated in one report for ease of distribution, and to avoid redundancy.

The Terms of Reference for the two consultancies are given in Annex A.

The Empowerment and Monitoring/Evaluation consultancy (Davis-Case) began on the 16th of May, and went through until the 24th of July, 1995 (10 weeks). A Joint Training consultancy (Ato Kassahun Mammo) began on 24th of May, and was completed on the 20th of July, 1995 (9 weeks). The joint training consultancy and the empowerment/M&E consultancy were to be coordinated as much as possible, and shared the (Participatory Approach Development Monitoring Evaluation or PADME) Team. Both consultants had been selected by the focal persons (RCC) and the RWSEP.

A team of experts were put together by the five Bureau Heads and the focal persons. This team of experts represented the Bureaus of Natural Resources, Agriculture, Health, and Education. The Bureaus of Women's Affairs and Planning, while invited to second an expert to the Team, were unable to do so. The Team, the four experts, the national consultant and the international consultant, worked together in the field, and then separately in Bahir Dar. Briefly, the mandate of the team was to:

- assess the present participatory methodology adopted in Region Three by Bureau sectors, and also by other donors and NGOs;
- develop an empowerment strategy at the community level and identify training needs for this strategy;
- assess the present M/E Systems in Region Three;
- develop comprehensive M/E System for RWSEP;
- assess existing training materials and training needs;
- develop a training strategy and curriculum.

1.2 METHODOLOGY

For the international consultant, the first week (May 16-24) of the assignment was spent in informal interviews with associated personnel in the offices of Finnida and Finnconsult (Helsinki) to review the overall programme concepts and ascertain the information needs and decisions made at these levels. This same informal interviews were carried out in

Addis Ababa with some members of the National Steering Committee of RWSEP.

By the second week, the 6 person team had been assembled. A profile of the team is given in Table 2 in this section. Also within this week workplans were decided upon, an outline of the expected output produced, field visits planned, and field methodology decided upon. A short methodology for Semi-Structured Interviews was produced for the Team.

Bureau	Name	Education	Years of Experience
Health	Mulugeta Asefa	B.Public Health	15
Agriculture	Ayenew Admasu	BA Econ.	7
Education	Bezu Beyene	B.Ed	8
NRDEP	Alehegne Dagnew	Bsc Animal Science	7
Consultant	Kassahun Mammo	Msc Ag. Extension	17
Consultant	D'Arcy Davis Case	MSc Forestry	13

Table 2: Team Profile

Field study was carried out over a period of ten days, in the three Woredas that will form the basis of the pilot area for Phase Three. The Team travelled by RWSEP vehicle, and by public transport.

The methodology of the field study was semi-structured interviews. This methodology was chosen because:

- there had already been two extensive and lengthy questionnaires; a socio-economic study and a training needs assessment; while questionnaires quantify what is already known, the team was attempting to understand what they did not already know;
- understanding, rather than quantitative, statistically reliable data was required by the team.

As common in semi-structured interviews, the Team were to maintain consistency by limiting themselves to four areas of focus, as shown in Table 3.

Interviews were held at each level: National, Regional, Training Centre, Zonal, Woreda,

PA (Kibele), Extensionist and Community Members. The Team tried, albeit unsuccessfully, as shown in comparisons of Tables 4 and 5, to maintain a stratified representative sample within each level (supervisor, task implementer, school principal, teacher, students). In all instances, a male/female balance was considered, and information disaggregated by gender. In the three Woredas, interviews were conducted, as shown in Table 4..

<p>What do informants think of as participation, what are the advantages and disadvantages of each type of participation. (three pictures)</p>	<p>How have the informants acted out participatory development? Is there any difference between what they desire, and what they are able to achieve?</p>
<p>Training: What kind of organizational structure (build a rough organogram) do those being interviewed work under? What numbers are there (roughly) at each level to carry out the tasks? What pre-service and in-service training have informants had? What have been the strengths and weaknesses of these training opportunities?</p>	<p>Monitoring and Evaluation: How does information move in the organizational structure? (refer to organogram) What kind of reporting (written, verbal, workshop, field visits)? Is there any feedback? What are the evaluation mechanisms (external and/or internal)?</p>

Table 3: Semi-Structured Interview Focus Matrix

Level/Sector	Group #			Individuals	Women	Men	Total
Zonal							
▶ NRDEP	4	4	-	1 (PRA)	1	7	32
▶ Agriculture	3	4	-				
▶ Health	3	3	-				
▶ Education	3	3	-				
▶ Training Centre (Wereta)	2	-	-				
▶ Training Centre (Merto Lemariam)	2	2	-				
Woreda							
▶ NRDEP	3	3	3		0	9	35
▶ Agriculture	2	2	2		1	5	
▶ Health	2	2	2		0	6	
▶ Education	2	3	3		0	8	
▶ Community Skills Training Centre	2	2	2		0	6	
PA (Kibele)	0	0	0				
Community	11	0	0		1	10	11
Extension							
▶ DAs	1	1	0	2		2	2
▶ CHWs/TBAs	0	0	0				
▶ Teachers	0	0	0				
TOTAL	37	28	12	3	2	78	80

Table 4: Persons Interviewed by Team (07-24 June, 1995)

Level/Sector	Total Interviews Group or Individual			Total Interviews Group or Individual
Zonal/Woreda (Tech/Admin)	3	3	3	9
SMS (Zonal/Woreda)	4	4	4	12
Extensionist (work with communities)	6	6	6	18
Community Members (stratified by wealthy, medium, less well off)	3	3	3	9
Training Centres (head and teachers)	3	3		6

Table 5: Stratification of Interviews Proposed in Workplan (May 27)

It should be noted that the original stratification of those to be interviewed was much different, as shown in Table 3. The original stratification was done considering that the "targets" of the consultancies were (a) communities and (b) field extensionists, or those working directly with communities. The reasons given for the disparity were that it was difficult to get permission from the PA to visit farmers, or there was just not enough time, or the DA's were too busy, or that it was dangerous. This was unfortunate, given that the focus of the community empowerment is the community, which translates into the grass-roots development workers and community members.

The team worked in two sub-teams for the field work, and came together most evenings for de-briefings (team talks) for approximately 2-3 hours. At these de-briefings, each interview was to be shared and methodology discussed and modified. The purpose of the de-briefings was to validate information (3 sources, 3 tools, 3 levels before it was declared reliable information) and begin to document ideas and issues.

The methodology, worked fairly well, but the rigour was very much lacking. In retrospect there should have been more emphasis put on training the Team in the methodology for at least one day before going to the field. Facilitation was not shared, and the interviews became increasingly "semi" and decreasingly "structured" each day.

The Woreda Programme Planning Workshops (WPPW) were attended by the national and the international consultants, the latter for only openings, as the workshops were held in Amaharic. But the national consultant attended for two days in Ambesame, and gave presentations at all three WPPWs.

Following field study the Team engaged in two days of brain-storming sessions and worked within their own Bureaus to gather information and report on their sectors or topics. When the reports "Steps to Community Empowerment" and "Participatory Information System on RWSEP" were drafted, the Team received copies for comment.

Following incorporation of comments from the Team, and the Programme Coordinator, a final draft was completed on July 19th, 1995.

1.3 LIMITATIONS TO THE CONSULTANCY

The only limitation which can be addressed in this report, and is of concern to the integrity of the consultancy was the fact that there was not a good representation of community members and development agents in the interviews. Although some secondary data was referenced, and the Socio-economic survey reviewed, this would have been critical information to understand the capacities of the development agents and the communities.

1.4 SUMMARY OF STEPS TOWARD COMMUNITY EMPOWERMENT

It is with great deliberation that the "package" for empowerment has been titled "*Steps Toward Community Empowerment*". Many of the pieces are in place for partnership participation, but there is a real hesitancy on the part of development professionals to actually take that first, professionally risky and courageous step.

The "empowerment package" has thus been designed to include strategies which, step by step, will break the circle of "rhetoric without action", and place development practitioners comfortably in partnership participation (#3 in the spectrum Table 6).

These strategies, in themselves have conceptual and a practical aspects, and these are as follows:

- **The strategy is community based:** placing most of the human development and financial efforts at the community level.

Action: training efforts to Community Rural Development Team; re-orientation of middle management levels to support community.

- **The strategy is participatory:** meaning that all interaction and communication throughout the development delivery system is built on partnership participatory principles.

Action: training at all levels is built on principles as well as action. A definition of partnership (empowering) participation is an objective in itself.

- **The strategy is realistic and productive:** participation is not an end in itself, but a means to organize activities which are sustainable, and do promote self-reliance. The focus is on successful completion of a number of activities.

Action: workplans at the community level have time-frames and internal/external resources planned. They are action based.

- **The strategy is action-reflection-action oriented:** providing analysis and feedback frequently during activities.

Action: A Participatory Information System with analysis built into the community level, and feedback between communities.

- **The strategy is principled:** building on the principles of partnership participation (reliability, empowerment and participation).

Action: training is done by principles, and the tools are flexible.

- The strategy is holistic: taking into account all phases of the programme or project, not just the assessment and planning phases.

Action: the training reinforces phases. The Action Plan is built on phases.

- The strategy is encouraging of appropriate technologies: blending farmer's knowledge and outsider knowledge.

Action: training reinforces appropriate technology. PI System indicators and Newsletter section encourage development of blended technologies.

- **The strategy compliments existing approaches and methodologies** such as LLPPA; T&V with community participation; SAERAP; health & education.

Action: many of the successful and participatory elements of the currently used approaches are incorporated in the RWSEP empowerment strategy. Training looks at the successful elements in past and current approaches.

The RWSEP strategy for community empowerment, under these basic tenants, then evolves into a logical framework of:

- The Preparatory Stage
- The Participatory Assessment/Rural Appraisal Stage
- The Participatory Planning Stage
- The Implementation and Participatory Monitoring Stage
- The Participatory Evaluations Stage
- The Hand-over or Transfer to Communities Stage.

This framework is then set into a Strategic Action Plan, which describes the activities to take place within these stages, the person's responsible and the timeframe. To assist with the RWSEP programme planning, a sequencing of the Action Plan is presented separately.

1.5 SUMMARY OF REPORT "PARTICIPATORY INFORMATION SYSTEM ON RWSEP"

Taking into account the principles of participation, and the essential elements in the design of an effective information system, the following is proposed on RWSEP. In making

choices about design, the elements most strongly in mind have been:

- ① That it be **simple** in design, easy to operate;
- ② That it be **responsive** to the needs of a number of different levels of decision makers;
- ③ That it be **timely**, getting the information to where it is needed, when it is needed; its operation;
- ④ That it encourage **analysis** at each level of information user;
- ⑤ That it provide **reliable** information and;
- ⑥ That it be **congruent** with the participatory approach.

One of the major factors in design of the system was that it be complimentary with the particular strategy of participatory approach determined in "*Steps toward Community Empowerment*", even though this has not been a strategy as yet accepted by Region Three.

It has been termed a Participatory Information System because it is holistic, stretching from the first community meeting to organize the Participatory Assessment/PRA, to Phase-over of activities to the community.

It focuses on and at the community level, and this is its strong base. In doing this the principles of the participatory approach are enhanced, capacity to use information to make better decisions is improved, and sustainability is encouraged.

Following the participatory approach to development, participatory assessment/PRA and planning will form the information base on which communities make decisions. In these exercises, community long and short-term needs are identified. This information is kept in Community Files which will be established in each community. These can be kept by the DA or CRDTe, but it is understood that they belong to the community.

During the planning exercise, the community choose their own indicators and monitor these throughout the activities. They collate monitored information, analyze and evaluate throughout the implementation phase.

Self-evaluation is done quarterly by the community (user groups) and the Community Rural Development Team (CRDT). Their analyzed information is taken by two of their members to the Woreda Rural Development Team, which is held in the following quarter. Here the information from many communities (CRDTs) is shared and analyzed. Representatives from the Zonal level attend these quarterly Woreda Rural Development

Team meetings.

Again quarterly, but in the succeeding month, two representatives from each Woreda Rural Development Team and one representative from each Zonal Level meet with the Regional Coordination Committee and the RWSEP. Information is again discussed and analyzed and from this a NEWSLETTER is produced, which (when translated into Amharic and English) is distributed to the backward and forward linkages in the information system.

The kinds of information that comes from the communities is not predetermined by higher levels. The most important thing is that it be reliable, and the simple feedback mechanism of the newsletter may assure that. Once the system is operating, suggestions or requests can be made for more information needs to be fulfilled, but at the beginning, until everybody knows their new role, it is important not to overload the system.

It is also important in the beginning stages also to acknowledge the contributions from the field, so that people see themselves in the feedback. The NEWSLETTER is to be a "heartbeat" of the programme rather than an "arm".

Section Two: STEPS TOWARD COMMUNITY EMPOWERMENT

CHAPTER TWO: RATIONALE FOR THE STRATEGY

Empowerment is a word which has crept into development language in the past five years. Although its meaning may often appear obscure, its appearance on the development scene at this particular point in time serves many purposes. One of the purposes is that the appearance of a new word forces development practitioners to find the theoretical concepts behind the word or phrase. As a Finnish Water Engineer on RWSEP stated: "it seems we make up the words first, and then try to find out what they mean".

Another purpose that a new word serves is to define more fully that which has become muted in definition by overuse. Another descriptive word is needed to more fully define the concept. The introduction of "empowerment" into the development verbage has served both purposes. Its interpretation appears to encompass not only the methods of participation, but, indeed, the ultimate aim of a partnership participatory approach. This distinguishes "participation with the aim of empowerment" as different than the forms of participation which are seen as "conventional or top-down" and "consultative", and whose overall aims may be to maintain the status quo.

In development, empowerment is seen as a goal because it decreases the dependency which has so often been a negative feature of development. In adopting empowerment as a development goal, programmes such as RWSEP are likely to: "achieve sustainable human development for the communities to take responsibility of their own development."

Some of the ways that the term "empowerment" has been used in Region Three to date have been:

"real participation is self-empowerment which comes about as an exercise of collective will on the part of people themselves- a praxis based on critical consciousness" (Berthe p.82).

"empowerment provides an opportunity for people in a Kire to think about ways of solving their own problems and to regain the initiative for their own development, thereby building a foundation for sustainable development in the long-term future". (CEP in South Wollo.p.17 FPPP)

It is assumed that "empowerment" is a descriptor, such as "full, active, genuine, and real" or what is termed in Table 1 as "partnership participation". Therefore, the strategy proposed for RWSEP and RWSEP partners will encompass only the philosophy, methodologies, principles and tools at the extreme right of the spectrum of participation. "Partnership Participation" is shown in the shaded areas of Table 1. For clarification, the term "insider" refers to community members, and the term "outsider" to development practitioners, be they grass-roots or more peripheral

practitioners. Also, for clarification, there is another column to the right of partnership participation which is sometimes called "empowered" participation, or popular participation. This is when insiders initiate development activities themselves, as they did with the electric power and schools in Hamusit (see Feasibility Study).

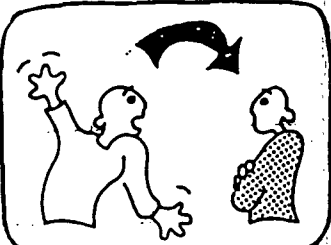
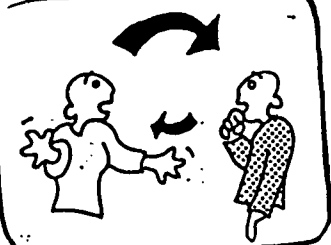
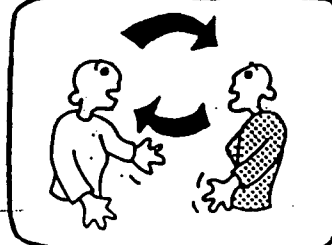
<p>Conventional Participation</p> 	<p>Consultative Participation</p> 	<p>Partnership Participation</p> 
<p>Agenda set by Outsiders (top down)</p> <ul style="list-style-type: none"> *terms of participation *selection and planning of activities * monitoring indicators and evaluation criteria 	<p>Agenda set by Outsiders after consultation with Insiders</p> <ul style="list-style-type: none"> * terms of participation * selection and planning of activities *monitoring indicators and evaluation criteria 	<p>Agenda set by Insiders and Outsiders together (bottom-up)</p> <ul style="list-style-type: none"> *terms of participation *selection and planning of activities *monitoring indicators and evaluation criteria
<p>one-way communication</p>	<p>consultation, generally through forced choice questionnaires</p>	<p>two-way communication</p>
<p>participation judged by work being done.</p> <p>Outsiders set terms of measurement and monitor and evaluate the activities</p>	<p>participation judged by number of interventions accepted by Insiders</p> <p>Outsiders set terms of measurement and Insiders collect the information for them.</p>	<p>participation judged by both Insiders and Outsiders together</p> <p>Insiders set their own terms of measurement. Outsiders information needs may or may not fit them.</p>
<p>Basically, it is a top-down approach, and participation is seen as people just being there, having been paid or given incentives to participate.</p>	<p>Basically, the Outsiders decide which activities will happen, when and where, and then proceed to convince Insiders that they need what Outsiders have determined they need.</p>	<p>Basically, the Insiders and Outsiders work out the technologies together, they decide who can do what, and then set their activities, plans and organizational resources needed by other Outsiders.</p>

Table 6: Spectrum of Participation

People cannot empower others, no matter how much they may wish to... it is something that people and groups have to do for themselves. But outsiders can go a long way in encouraging and supporting political structures and policies which remove the constraints to people having a voice in their own development.

People empower themselves by participating fully in development decisions, and having those decisions honoured, whatever they may be. It is to be noted that if individuals or groups are told they have specific decision-making powers, and those powers are not respected, this is likely to become a disempowering experience, and there are generally negative consequences.

A partnership participatory approach has the most likelihood of achieving the objectives of community empowerment.

2.1 PARTNERSHIP PARTICIPATION AND REGION THREE

Participation, in some form or another, has been around in Region Three for many years. This section describes the past and current policies of the government vis a vis participation, and discusses this in light of the field study findings. It is by no means an exhaustive discussion, and not all agencies were surveyed. It does cover the four related sectors, RWSEP partners (Health, Education, Agriculture and Natural Resources). It also discusses the role of the other RWSEP partners (the Bureau of Women's Affairs, the Bureau of Planning and the Office of Regional government) in promoting the "participatory approach".

2.1.1 National and Regional Policies

Ethiopia, is unusual in that it has taken as the beginning point a national government policy of a participatory approach to development. In a policy paper issued in January of 1994, "The System of Regional Administration in Ethiopia" by the Regional Affairs Sector of the Prime Minister's Office of the Transitional Government of Ethiopia (TGE), it is stated that: "although regional development per se has been entertained in Ethiopia by planners for over 30 years, its implementation had been ineffective if not non-existent. The weakness of the policies adopted for local and regional development could be attributed to the following:

- policies have always been initiated from the top;
- approaches to development problems have never been seriously examined and addressed;
- policies have been influenced by grand ideas of expatriate experts whose knowledge of regional problems has been inadequate;
- one of the glaring problems in policy analysis has been the tendency on the part of the economic planners to base their assessments on regions with better

resources;

- unrealistic set of objectives were followed that resulted in lack of genuine participation at the grass-root level.

Unlike in the past, TGE's responsibility today constitute mapping out strategies and policies of national growth and development through continuous and dynamic contacts which have to be established at the grass-root level to tackle real-life problems." (p.4-5).

In the sectors within Region Three that were surveyed, there was a strong committment to a participatory approach to development. Some of the advantages of it were given as:

"We are now at the level between conventional and consultative participation, but we need, and want to achieve the partnership participation". (LLPPA expert commenting on the three drawings taken from Table 6: Spectrum of Participation).

"When people make the decisions about which development they want, and put their own efforts into it, they are more likely to look after it." (MoA Subject Matter Specialist)

"We seem to have all the theory, but still we don't go to the community. Why?" (Woreda Expert)

All of those interviewed, when given the three pictures (Table 6) and asked to describe them, and where their sector was located, chose either #1 or #2, but stated that they would like to be at #3, but either did not knowhow to get there, or stated that it would take time to get there.

Some ministries have quickly responded to the participatory approach to development. The Bureau of Agriculture has adapted their Training and Visit System (T&V) to be "T&V with Community Participation". The Bureau of Natural Resources Development and Environmental Protection has adopted a "Local Level Participatory Planning Approach" to land use, forestry and soil conservation. Many Zonal and Woreda experts have had training in Participatory Rural Appraisal (PRA) training. One such person stated: "I really learned that rural farmers were wise about a great many things. I didn't really understand this before!".

Many of the development practitioners interviewed had been trained in some of the methods of the participatory approach. Unfortunately, training appeared to be in only one method, such as PRA or Participatory Planning rather than in the whole range of methods which together make the "partnership participatory" approach holistic and consistent over time.

2.1.2 RWSEP and Participation

With the programme document and participatory programme planning workshops,

RWSEP has embarked on a partnership participatory approach. Already, steps have been taken to have "participation" through the development delivery system. An extremely strong point on the RWSEP is the focal person committee or Regional Coordinating Committee. They have been "empowered" to make decisions, rather than to rubber-stamp and advise on decisions already made. This is a strong message from the programme that the partnership participatory approach will be respected at all levels.

Another strong point on RWSEP has been the Woreda Programme Planning Workshops (WPPW) and the Regional Programme Planning Workshops (RPPW). Although these could be faulted because they are still "top-down" planning and likely to pre-define targets for the communities, they are a step in the direction of empowerment of the different government levels, even the fact that the planning exercise began at the Woreda Level, and the region responded to their plans, rather than vice-versa.

There may also be external imposed limitations to achieving partnership participatory development. Often donors, while they want to achieve sustainability and decrease dependency, are nevertheless still tied to "targets" and "timeframes" which can inhibit partnership participation and take steps back to "top-down" participation.

2.1.3 The Community Empowerment Programme

There are a number of agencies operating in Region Three who have adopted the partnership participatory approach to development. The Community Empowerment Programme (CEP) of the Swedish International Development Agency (SIDA) is the more high-profile of these. The CEP was initiated in 1993, based on local community participation where communities are encouraged to plan and initiate development projects based on their own identified needs and using their own resources. The results of the CEP approach have been very encouraging to date. A large number of small income generating and infrastructural improvement efforts have been implemented by communities and newly formed groups of households within the Kires.¹

The CEP is currently entertaining two new strategies.

¹ The Kire is a uniquely Ethiopian phenomena, found in both urban and rural locations in the country. Every Ethiopian belongs to a Kire. They are neither political nor religious; Muslim and Christian alike belong to a common Kire in a specific area. As traditional organizations, they are governed by custom and are essentially patriarchal. The primary purpose of a Kire is to provide an organizational means whereby neighbors can, and are socially obligated to, assist each other during culturally important events such as weddings and funerals. They are self-help organizations for the most basic type of communal support (Bergdall 1995).

1. To integrate the CEP facilitation approach with existing extension staff and Line Departments. They have found that "there is considerable interest, but limited capacity within the administration to apply participatory approaches in development work. Lack of coordination between departments and other development agencies is a serious constraint to multi-sectoral and community-based development approaches". (Hedlund & Bergdall 1995)
2. To provide limited external resources to Kires or groups in order to expand or sustain their development activities.

The strength of CEP is that it attempts to break the dependency circle and builds up dignity and self-reliance in small but important ways before it introduces any external resources.

The "outputs", even without external resources have been impressive. In one Kire alone (Soye) the Kire accomplished the cleaning of three springs, completion of a health post started 6 years ago, repair of a building for a service cooperative, and collection of money for seed funds, procurement of supplies for the health post, appointment of shop manager for service cooperative, construction of a fence around the local church, planting of 35,000 seedlings (mainly on "private" lands), construction of terraces on 10 farms, and rebuilding of three homes burned in fires.

The lack of external incentives or resources at the beginning may be the greatest lesson that is gleaned from CEP. The assumption that dependency is the flip side of "community empowerment" would mean that any action which is likely to create dependency is best avoided.

2.1.4 The Local Level Participatory Planning Approach

In 1991, the Ministry of Natural Resources Development and Environmental Protection, with the assistance of FAO and SIDA, adopted the Local Level Participatory Planning Approach (LLPPA). It is discussed here in some detail, because this is the approach used by the lead RWSEP partner, and they have similar mandates vis a vis water supplies and the environment.

Before LLPPA was introduced, Forest and Soil Conservation based development plans were made without active or conscious participation of the community and for the past few years it was impossible to build public confidence and improve the public's understanding of sustainable forest and soil conservation-based development objectives. These plans were considered as impositions and opposed by farmers giving rise to poor maintenance and deliberate destruction of trees planted and structures built.

The Bureau of Natural Resources Development and Environmental Protection has learned from past experience and has been adapting a methodology "Local Level Participatory Planning Approach" or LLPPA to meet development objectives and aspirations through participatory approaches to reflect in realistic terms people's needs and problems and possibilities to solve or alleviate them.

It is generally thought that planning must start from the bottom in Region Three, and that there is a need to involve farmers in planning forest and soil conservation activities. There is also a belief that the farmer's appreciate the activities they themselves assist in planning and voluntarily participate in building.

In the LLPPA planning procedures, the selection of soil conservation development measures are based on the technical aspects (based on analysis of land resources) and on people's immediate needs (from analysis of farmers problems and needs) in order to be successfully implemented.

The NRDEP Bureau has planned to incorporate LLPPA in many parts of the Region, approximately 400 LLPPA sites, considering sub-watershed as planning units. The planning process involves participation and integration embracing the complex elements that make up the farming system. The elements included in the planning process are soil conservation, crop and livestock production, water facilities and other infrastructures representing the major sector in agricultural development.

Information regarding how many of the plans are being implemented and how they are succeeding and how many are still in the planning stage is not yet known. This may imply that monitoring and evaluation in the LLPPAs have been given little attention.

In the planning process, representatives of the communities in the watershe are to participate in the identification of problems, setting priorities and solving the problems. Individual farmers are consulted for problems regarding their farms, and to suggest possible solutions. The Development Agents at each site contact farmers and explain to these farmers the objectives of the exercise, discuss problems and agree on feasible solutions. The Development Agent and the farmers (minimum 5 to 10 members of the community) are supposed to prepare the plan. However in some areas the Development Agents were not given the training and the Woreda experts participated in preparing the plan. Very often the Woreda experts consolidate and verify or adjust if necessary the plan prepared by the Development Agent based on consultation with the DA and farmers.

Although the methodology suggests that experts of other organizations relevant to

soil conservation based development, such as MoH, MoE, and MoA should participate in consolidation of the plan, there is no close link among experts of these organizations. To some extent, cooperation and integration is only done with MoA Development Agents on a personal agreement basis.

Those interviewed who had experience of the LLPPA put it in the #2 level (consultative participation) on the spectrum, but said that it would inevitably have to move towards #3 level (partnership participation)..

There are a number of problems that are said to hamper the effective implementation of the LLPPAs. These are stated to be:

- There is no effective extension programme or progress at LLPPA sites. Both the Zonal and Woreda experts are hampered by transportation constraints, and financial limitations, and are unable to make frequent extension visits to the site.
- Inadequate training at all levels, but particularly evident for the Development Agents and the community members who are not sufficiently supported to handle the planning process independently.
- Little or no attention is given to coordination and cooperation among BoA, BoH, BoNRDEP and BoE to consolidate the plan.
- The LLPPA site communities are food-for-work oriented. This may have negative impacts on practical application of the plan. FFW provision should slowly phase out, continuing in small quantity in order to sustain motivation until the community acquires sufficient knowledge of participatory planning. In fact, in those 20 Woredas affected by drought for 15 years continuously, food-for-work, based on agreements reached between World Food Programme and Rehabilitation and Relief Committee is endorsed to continue over the long term.
- Lack of equipment for conservation measures (compass, clinometer, altimeter, and line levels are items said to be badly needed). Teaching aid materials are also identified as lacking.
- the training loses quality at each level
- targets are set from the top for the various activities, and those targets constitute a real threat to the whole participatory approach. This paves the way for pressure, a top-down approach, and reluctance from the community, as has been previous experience.
- the DA is commonly unable to cope with the level of expertise of the LLPPA. This raises the question of the ability of community members to cope, and realistically plan.

☞ Note: It is possible, through participatory methods to design more appropriate technologies for LLPPA, such as simple A-frames for contour lines.

From the one community that was reached in the field study, a number of reasons were cited for destroying the soil conservation bunds previously built: that the stone bunds attracted rodents which ate crops, and reduced productivity; that it was because people had been ordered to build soil conservation measures in a top-down manner and they didn't appreciate being told what to do; or that they tore them down so they could get more food for work.

Training in LLPPA is done over 7 days by WFP/FAO or by SIDA in conjunction with the Community Forestry and Soil Conservation Department. It is the same content at all levels. The process of training is that the Headquarters people come to give training of trainers (To T) to Zonal Level, who give ToT to Woreda Level, who give to To T to the DAS, who eventually train the local communities in the watersheds.

Training has, however, been supported by a prepared guideline that is in the possession of each DA. Approximately 1,500 people have been trained in the LLPPA method in the period from 1992-94.

☞ Note: These four steps in the "training chain" constitute a known risk that the training loses in quantity and quality, and the messages undergo a known degree of distortion (20%) at each level.

The LLPPA is an excellent step in the direction of participatory development. The strengths of it are in the flexibility (it has been modified three times already). The main weaknesses can be easily reduced with a slight re-orientation to be more: holistic, integrated, blended technologies, and appropriate tools.

2.2 THE LIMITATIONS OF PARTICIPATORY DEVELOPMENT IN REGION THREE

There were a number of limitations to participatory development divulged during the field study. The main one seemed to be "attitude". While the rhetoric was well in place, and many people had already been trained in the methods and tools, there was still limitation of "attitude" which stopped partnership participation from happening.

"we have a strong cultural heirarchy, or top-down approach in our country which has been here for a long time. It is not going to change overnight, no matter how much we want it to change." (Zonal Sector Head)

"some of the limitations I believe are there are: lack of knowledge of participation; lack of time to do participation; poverty, because people are too poor to participate in more than identifying their needs; lack of a clear definition of what participation really is; lack of high level support, and lack of belief in the grass-roots extension agent to make good plans." (team member)

There may also be external limitations to participatory development. Often donors, while they want to achieve sustainability and decrease dependency, are nevertheless still tied to "targets" and "timeframes" which can inhibit partnership participation and take steps back to "top-down" participation.

There is another limitation, and that is the feeling that participatory development is the panacea for all development, and a good in itself. There is a feeling that if it is not participatory development, it is not good development. The reality is that for many development programmes and activities, participation is not always desirable or effective. For example, application of pesticides or fertilizers is not always something that there is a choice about. There may be a choice in appropriate technology for the applicator, but the amounts, mixtures and times to apply are generally well specified. Sometimes it is forgotten that methods and tools can be chosen especially to meet the demand.

Another limitation is that participatory development requires management support. This can often mean that supervisors "empowering" staff to make their own decisions. Until this happens, decisions will continue to be "top-down". To successfully move to the furthest end of the spectrum, to partnership participation, support for participation must permeate the entire development system.

2.3 ANALYSIS OF THE SITUATION

While there were many opinions and analysis of participation as it has been, and is being practiced in Region Three, the main findings were that in Region Three, it can safely be said that there are:

- years of experience in participatory methods;
- a number of development practitioners trained in some participatory methods, and concentrated at the middle management levels;
- strong commitments by all sectors and all levels to the goals of participation;
- strong commitments to moving participation from the rhetoric or theory, to the practice.

Given the strong commitments of Region Three, what is mainly required is the support needed to take participatory development to the next level, so long as there are "productive" outputs at the community level

Given that most training has been at the mid-management levels (Regional and Zonal, and the Woredas), all efforts can now be concentrated on the community

for maximum effect.

Given that most training has been in one method (PRA), it is now time to broaden skills, to be more holistic. The partnership participatory approach is much much more than PRA exercises. The training of development practitioners must be put in its broader context.

Given the training development practitioners have had in the LLPPA, and the fact that it is the "approach of choice" with the lead partner of RWSEP, it would seem pragmatic and most effective to complement and enhance this approach, making it more "participatory" by (a) increased training concentrated at community level (b) covering all the phases and sectors of "development" (holistic) rather than just planning and (c) improve the feedback mechanism.

Given that the rhetoric and the commitment are available in Region Three, introducing the rigour and principles that accompany it are now necessary. It must be made abundantly clear what is flexible (the tools, personal approaches) and what is not (principles).

Given the dependency created by past development practices in the Region, it would be advisable to take a long look at incentives and participation, and to have a predetermined strategy to reduce dependency as much as possible throughout the entire development delivery system. An up-front cost-sharing arrangement, such as is proposed by RWSEP is a good beginning.

CHAPTER THREE: PARTNERSHIP PARTICIPATORY

The particular "type" of participation proposed for RWSEP and the RWSEP partners is "partnership participation". This is distinguished from other forms of participation such as "consultative" and "conventional".

This Chapter describes and discusses some of benefits, elements, methods, tools, and experiences that have been gleaned over the years by those practicing or headed in the direction of a "partnership participation".

For such a vast topic, it is covered here quite briefly. For more detailed descriptions and discussions, a reference list is given in Annex A. Those especially recommended as "how-to" manuals are marked with an asterix (*).

3.1 THE BENEFITS OF PARTNERSHIP PARTICIPATION

Among the benefits of partnership participation are, that it:

- Empowers the community - people are encouraged and supported to take control of decisions that affect their environment, building the courage and commitment to take part in other decisions. They also develop important contacts with those outside their community so that they can seek advice on their own. Sustainability is more likely to be achieved because insiders develop the skills, contacts and confidence that are necessary to continue after the programme support is withdrawn.
- Provides checks and balances for development - communities take the greatest risks, not only because they give their time and labour, but more importantly, because they have the most to gain and/or lose. A partnership participation gives communities the opportunity to explore the risks, the costs and the benefits. In this way, they are better prepared to decide whether the activities provide them with the development they want.
- Provides timely information - because information gathering and analysis is done at the community level and information is available to the community when decisions are made. When information is timely, potential problems can be identified and remedies can be sought early.
- better decisions are made - because there is shared information, and development decisions are made jointly by communities and development practitioners, more realistic and effective development activities take place.
- Identifies community research needs - when the community decides which information is important to them, their immediate and most important research need can be identified. These needs can be addressed by community research

in conjunction with external research organizations. Field staff can play an important role, presenting community identified research questions to higher research institutions and bringing needed research results back to the community.

- Provides a new way to look at old problems - partnership participation can provide communities with new analytical skills, which open up new approaches to old problems, shedding light on new solutions.
- Ownership of the activity by the community is likely - when ownership is acknowledged by the community, there is more chance that the intervention or facility will be maintained over the long term and the community will seek to replicate the intervention or facility themselves, using their own resources.
- Action-reflection (feedback) is built into partnership participation - because partnership participation includes participatory monitoring and evaluation and analysis of information, the users of the interventions, activities or facilities learn to modify to suit their changing conditions.

3.2 THE PRINCIPLES OF PARTNERSHIP PARTICIPATORY

There are only three principles, the lack of which means that partnership participation has not been achieved, these are:

1. Participation;
2. Reliability; and
3. Empowerment.

Principles must be maintained or they cease to be principles. Therefore, these principles of partnership participation are not flexible.

3.2.1 Participation

The first question to ask in partnership participation is "participation of whom?" If a representation of all categories of community members are not considered in the identification, (PRA/Assessment), the planning and the monitoring and evaluation, then it is not partnership participation.

This does not mean that everybody in the community has to be involved or informed, but it does mean that those who are making decisions have to be aware of the effects their decisions might have on different categories of members in the community. Therefore, the different opinions of community members must be solicited. Some of the categories within a community might be:

- men, women, youth, children;
- economically well off, middle, less well off;
- powerful, powerless;
- old timers, new community members, nomads;
- different religious affiliations;
- old, middle-aged and young;
- those living in the centre, those on the periphery;

Partnership Participation also means that whenever there is an interaction, the communication pattern is "partnership participatory". This means that meetings, workshops, training, management is a shared information exchange experience. Those at workshops identify their own needs, set their own rules and make up their own agenda. Facilitators are trained to "handle" this new way of doing things.

Partnership Participation means that community members set the terms of participation, and are not "convinced" or "bribed with incentives" to take on the terms of participation set by outsiders.

Partnership Participation means that both parties have a role and a responsibility. It is not a case of "the communities themselves decide everything". Development practitioners have a role to play in passing on their technical knowledge as well as identifying and/or supplying external resources if they are needed. But development practitioners no longer take the "lead" role.

3.2.2 Reliability

Much of partnership participation is about communication, and transferring information back and forth. Reliability of information is a very important feature of partnership participation. Development practitioners are not only helping communities to use information to make (better) informed decisions, and deepening their own understanding, but they are also learning themselves about different kinds of information and its usefulness.

Reliability of information can be ensured in partnership participation without compromising the other two principles of participation and empowerment. Some of the ways to ensure reliability are:

- **Triangulation:** Using the rule of three different tools, three different sources and three different groups who have similar information, one can reasonably trust the information.
- **De-briefing or Team Talks :** After each day of information gathering, the teams meet to discuss what they learned and compare information. If there is any contradictory information this is looked into on the next day.
- **Community members on the team:** Often "outsiders" have a difficult time

understanding something that is very obvious to the "insider". Having insiders attend the training and be essential members on the initial assessment (PA/PRA) teams prevents the outsiders from continuing on with a misunderstanding.

- Feedback to the community - to ensure that the information is correct, in its raw state, and in analysis, having a meeting with the "community at large" to present "findings" of any information gathered (assessments, planning and evaluation) will validate the reliability of the information.

3.2.3 Empowerment

Last, but not least, a partnership participation is grounded on the principle of empowerment. This means that in each interaction and communication between the development practitioner and the community, the question is asked "is this action empowering or disempowering?". Empowerment can be maintained through the following mechanisms:

- Tools that are empowering: The focus is on the tool rather than the "Outsider asks the question. Insider answers the questions". Tools help to build a common understanding. This takes some skill, and the facilitator is constantly learning new ways to more effectively interact, once the principle is understood.
- Well designed tools are a framework. They restrict a wandering into areas that are interesting, but not vital.
- Balance of the learner and teacher roles. Reversing the roles and having the insider teach the outsider, having the insider asking questions of the outsider. All these changes help insiders and outsiders learn from each other.
- In many situations, especially with low literacy populations, taking notes is a sign of "expertness". When taking notes the development practitioner is not available for listening. Sometimes insiders will even stop talking until outsiders have finished the notes. There may be resistance to this "if you don't take notes you won't remember what we say, and take out concerns to others." Experts hide behind many symbols of their expertness, and being able to write things down is one of them.
- Passing the pencil, card, pen, stick. A teaching implement often signifies position and power. Difficult thought it is, passing the implements to insiders to assist in teaching outsiders sends a very strong and powerful message. Once this "symbol" is passed, the person who has been given it is responsible for deciding when the teaching is over and the "symbol" is handed back.

Having community members in the same training as development practitioners sends an early signal that these two are going to be considered as equal partners.

This is empowering to the community in itself, and well worth the effort.

- Leave information with community: It belongs to them, and outsiders have to request it if they need it. This is especially important as it is often the case that outsiders take the information away with them, and put it in such a form that it is not available to community members. The maps, transects, historical trend lines that the team creates can be copied for reports, but the source materials stay in the community.
- Asking for, and even insisting, that both a man and woman join the training and the assessment/PRA and planning team signals to all women in the community that their contribution has value, and their concerns will be addressed. If women are not speaking up during large meetings, the meeting can be split into men and women, and the women's concerns taken back to the larger group.

3.3 THE TOOLS OF PARTNERSHIP PARTICIPATION

The tools of partnership participation are the instruments that are used to communicate, gather, analyze and synthesize information. The tools are to be approached with an open mind; they may have to be adapted and re-thought for each situation. Thinking of them as "ideas" rather than strict step-by-step instructions to be carried out to the letter is a way to promote flexibility in the tools. They can be experimented with to see what will work in the given situation, they can be combined in different ways. For example, using the ranking, rating and sorting tools to make surveys more interesting, as can combining a case study with popular drama.

Many of the tools function individually to gather and analyze information, while at the same time, helping to develop two-way communication skills. All tools, because they are developed often with and always for, the community, serve also as two-way extension and learning mechanisms.

Choosing the best tool for the situation is a creative and unique process. To assist in narrowing down the choices of appropriate tools from the wide range of possibilities, it is suggested that consultant(s)/facilitator(s) and those who will be using the tools look them over, discuss what has been used before, and what may and may not be appropriate in the Ethiopian rural context. Drama, as suggested in the IEC package, "Demand Driven IEC" has been used with some success already in parts of Ethiopia. The publication "The Community's Toolbox" is recommended, as it has 23 tools described.

3.3.1 Guidelines for Choice of Appropriate Tools

- Watch and Listen: become aware of how community members think and communicate information. This will give clues as to what tools might work best. For example, ask a number of people directions to the next Kibele, and observe the ways they relay this information. They may draw a map on the ground, or they may tell you a long story about how to get there.

- **Observe:** Do people have books in their homes? Do they have pictures decorating their walls? Do they use symbols to decorate their implements? Is it a strongly visual culture or an oral culture?
- **Ask:** How is information relayed around the community? Is it exclusively by word of mouth? Are there posters? Newspapers?
- **Reflect:** Think about past experiences, what has worked, and what has not worked. Be prepared to try new techniques and tools, even if unfamiliar with them. After reflection and trials, modify the tools and try them again.

The following list (Table 7) shows the main characteristics of tools (visual, oral and written). Each (✓) is the value of the tool within each characteristic. For example, meetings have value to all characteristics, but mainly in the oral category.

It is noted that the tools are entirely flexible, unlike the principles which are not. Depending on what the community wishes to know, a tool can be designed that will let them find out easily, reliably and in a way which is empowering for all those involved.

All tools have to be field tested, and most can be created with locally available materials. In some areas, mapping in the sand with found objects has been found less intimidating than mapping with large pieces of paper and wide nib pens.

Table 7: An Overview of Tools by Categories

Tool	Visual	Oral	Written
1. Group Meetings	✓	✓✓✓	✓
2. Drawing/Discussion	✓	✓✓	✓
3. Murals/Posters	✓✓✓✓✓	✓	
4. Flannel Boards	✓✓✓✓	✓	✓
5. Open-Ended Stories		✓✓✓✓✓	✓
6. Unserialized Posters	✓✓✓✓	✓✓	
7. Community Case Study		✓✓✓✓	✓✓
8. Historical Mapping	✓✓✓	✓✓	✓
9. Semi-Structured Interview		✓✓✓✓	✓✓
10. Ranking, Rating, Sorting	✓✓✓✓	✓✓	
11. Community Environment Assessment	✓✓	✓✓	✓✓
12. Wealth Ranking	✓✓	✓✓✓✓	
13. Participatory Action Research	✓✓	✓✓	✓✓
14. Maps and Mapping	✓✓✓✓	✓	✓
15. Farmer's Own Records	✓✓✓		✓✓✓
16. Activity Record Books	✓✓✓		✓✓✓
18. Transects/Transect Walks	✓✓	✓✓	✓✓
19. Popular Theatre	✓✓✓	✓✓✓	
20. Community Directed Media/Extension	✓✓✓✓	✓✓	
21. Seasonal Calendars	✓✓	✓✓	✓✓
22. Household Income Flows	✓✓✓	✓✓	✓
23. Venn Diagramming	✓✓✓	✓✓	✓

Note:

A programme had an income generating component for women's groups, and was having difficulty determining which economic activities would be viable for women. A tool was designed by a team of both insiders and outsiders during a PA/PRA training event. They made two sets of six (each set) picture cards of what they thought were viable economic activities and asked a stratified sample of women to (1) put them in order of which they thought were the most likely to make money and then (2) explain why they had put them in this order. What was their previous experience? Which activities had been tried and failed and why? How much did they know about markets? From this tool, a great deal of information was gained about which activities, according to the women, were economically viable, and which were not, and most importantly, WHY?

3.4 TRAINING AND EXTENSION IN THE PARTICIPATORY APPROACH

In the conventional or "banking" model of teaching, the learner is, by definition, a dependent personality. The teaching model assigns the teacher full responsibility for making all decisions about what should be learned, how and when it should be learned, and whether or not it has been learned. The only role for the learner is to repeat the teacher's directives.

In this model, the learner enters into the educational activity with little experience that is of value. It is the experience of the teacher, the textbook writer and the audiovisual aids that count. The method of transfer of knowledge is one-way, with lectures, assigned readings and audiovisual presentations. Learners are told what they have to learn in order to advance a grade, and readiness is signaled by the teacher. The format and curriculum of this model is content oriented, with the expert deciding what will be taught and organizing it into manageable units. Placing adult learners, or "in-service" trainees in the old model of teaching has been found to be an ineffective way of learning and teaching.

In the new (participatory) model of teaching, learners are self-directed, and are perceived by others and treated by others as capable of taking responsibility for themselves. This is especially the case with adult learners, who are often entirely self-directed in every other aspect of their lives.

The thinking behind the new model is that adult learners and those "in-service", actively dealing with the day to day trials of doing a job, have a great volume and a quality of experience which means that they are the richest resource for one another. The learning methods thus include group discussions, problem-solving exercises, simulation

experiences and analysis of field experience. The learner signals that they are ready to advance when they experience a need to know, or to do something in order to perform more effectively. This model is process oriented, and involves creating a learning environment that has mutual respect, collaboration, trust and support, and where learners diagnose their own learning needs.

In the teaching or "training" in partnership participation, the new model of learning and teaching is critical. It mirrors the re-orientation that the development practitioner is undergoing. It provides the development practitioner with a model of interaction.

Teaching or "training" in a top-down manner reinforces the top-down model of development, and is in the end counterproductive. This keeps us locked in the circle of rhetoric and little change.

3.5 PROGRAMME PHASES

There are logical phases to programmes, and these have to be followed for the programme to be effective. But there is some flexibility in the time and the activities that are undertaken within each phase. These phases assume that a programme has been designed, and a bi-lateral agreement has been reached. The logical phases are:

- preparatory phase
- participatory assessment (PRA)
- participatory planning
- implementation and monitoring
- participatory evaluation
- hand-over

Partnership participation does not mean that things happen by chance, or in an order which is any different than most other programmes. But it may mean that there is more flexibility, or more time taken in the preparatory phase, but less in the planning phase.

3.6 Defining the Community

Community is a word used rather loosely by development practitioners. And it is often poorly defined. When the programme, especially a programme being managed by process is in the preparatory phase, it become increasingly necessary to put a definition to community.

One broad definition is "a community is a group of people who live in the same area, and often share common goals, common social rules and/or family ties." Another definition is "people who identify themselves as from a certain community". Of course, definitions can get even broader if necessary, for example, the "African Community".

There are a number of options open to RWSEP and RWSEP partners, and these will be discussed in this section because there are implications for "partnership participation". It really depends on their commitment to the overall aim of the programme. They may choose to work

within a certain "community" (ie: a watershed) while their partners work in another complimentary "community" (ie: Kire).

1. Watershed as "Community"

A watershed, such as used by the LLPPA programme has proven to be effective in some respects (physical economy), but found to be difficult to operate in a watershed which may have two or three Kibele's involved. The other problem is that if watersheds are large, ecologies may vary sufficiently that blanket prescriptions are not warranted. While this definition of community would compliment the LLPPA, which shares soil conservation activities with RWESP and RWESP partners, it may be too large a planning area for a "participatory integrated approach", especially in the larger watersheds. There are sub-teams within each Kibele in a catchment area, who are involved in the LLPPA. They are attached to the Rural Development Committees.

2. Kibele (PA) as "Community"

Taking the Kibele or PA as "community" has some obvious logistical constraints. Some Kibele's are large (1,200 households), and this does not encourage the "hands-on" attention of a participated integrated approach. The Kibele is also a political structure, and has, in the past been used for centralized political ends. However, it must be noted that the Kibele must be recognized as the legitimate local structure for development initiatives, even though it may not be the choice of RWSEP and RWSEP partners to work through this channel. Failure to recognize the legitimate channel may have negative impacts over the long term.

3. User Groups as "Community"

One common form of defining "community", which has been successful in many countries is by "User Groups". This pre-supposes, and is especially relevant in an integrated programme, that there will be many different activities, and each will involve a different group in the larger "community". A "User Group" is the community of people who happens to need and use the development services. For example, user groups may form under the auspices of: Soil Conservation; Water Supply; Income Generation; Forests; Road and Pathways; Education; AIDS support; and/or Child Care.

One of the often overlooked, and very important aspects of operating with "groups" is that frequently the larger community is overlooked, even though the group's activities may have consequences (either positive, negative or neutral) for the whole community. A good example of this is a "forestry user group" taking over common grazing land for thier own tree growing operation, with the negative consequence of increasing the pressure on other grazing lands.

4. Traditional Organization as "Community"

The socio-economic survey done by RWSEP did not indicate the presence of any likely traditional or indigenous organizations which could be of use in implementing a participatory integrated approach to development. However, the Kires, used by the CEP in South Wollo are said to operate throughout Ethiopia.

Kires might be considered, although there is the inherent danger in using indigenous

organizations who are organized along a "self-help" philosophical base. When external "incentives" are used to motivate, it may destroy the very integrity of the indigenous organization, and render it inoperative. Kires as an "entry organization" may have been very effective in South Wollo because the commitment of CEP was also to "self-help".

5. Community determined "Community".

Given that there are advantages and disadvantages in whichever way community is defined, the "best bet" for RWSEP and RWSEP partners might be to: to enter at the Kibele level, since RWSEP works within the government structure and must respect the structure BUT let a focus of the PA/PRA and Participatory Planning be to determine the structure they wish to work within. While this may be confusing at the beginning, with the PI System in place, a "model" may begin to emerge. As this is a pilot phase in the first three Woredas, developing a model for implementation that works may be an extremely worthwhile contribution.

As it has not yet been decided which level the RWSEP or Bureaux will choose to centre their efforts, the Empowerment Strategy and the PI System for the RWSEP has taken the Kibele (formerly called the Peasant's Association) level as the "community". While doing this, it is fully realized that "community" may in the future mean the Gott (village) level, or even smaller "user groups" of the various activities, such as a nursery group, water group, or sanitation group.

There is already in place in each Kibele, a community level development strategy, which serves a number of sectors, and a number of programmes. This is called "Rural Development Committee" or RDC. This committee is chaired by the head of the Kibele. The Kibele is comprised of a head and an executive council, all of whom are elected to these positions. Kibele's are the last official link between the government and the populace. Within the larger Kibeles, there are often 2-5 Gotts, or villages. These are frequently, although not always linked to a church in the area. The Gotts, like Kibele's, are physically defined by set boundaries.

Please refer to Figure 1 for Organizational Structure of Kibele Rural Development Committee.

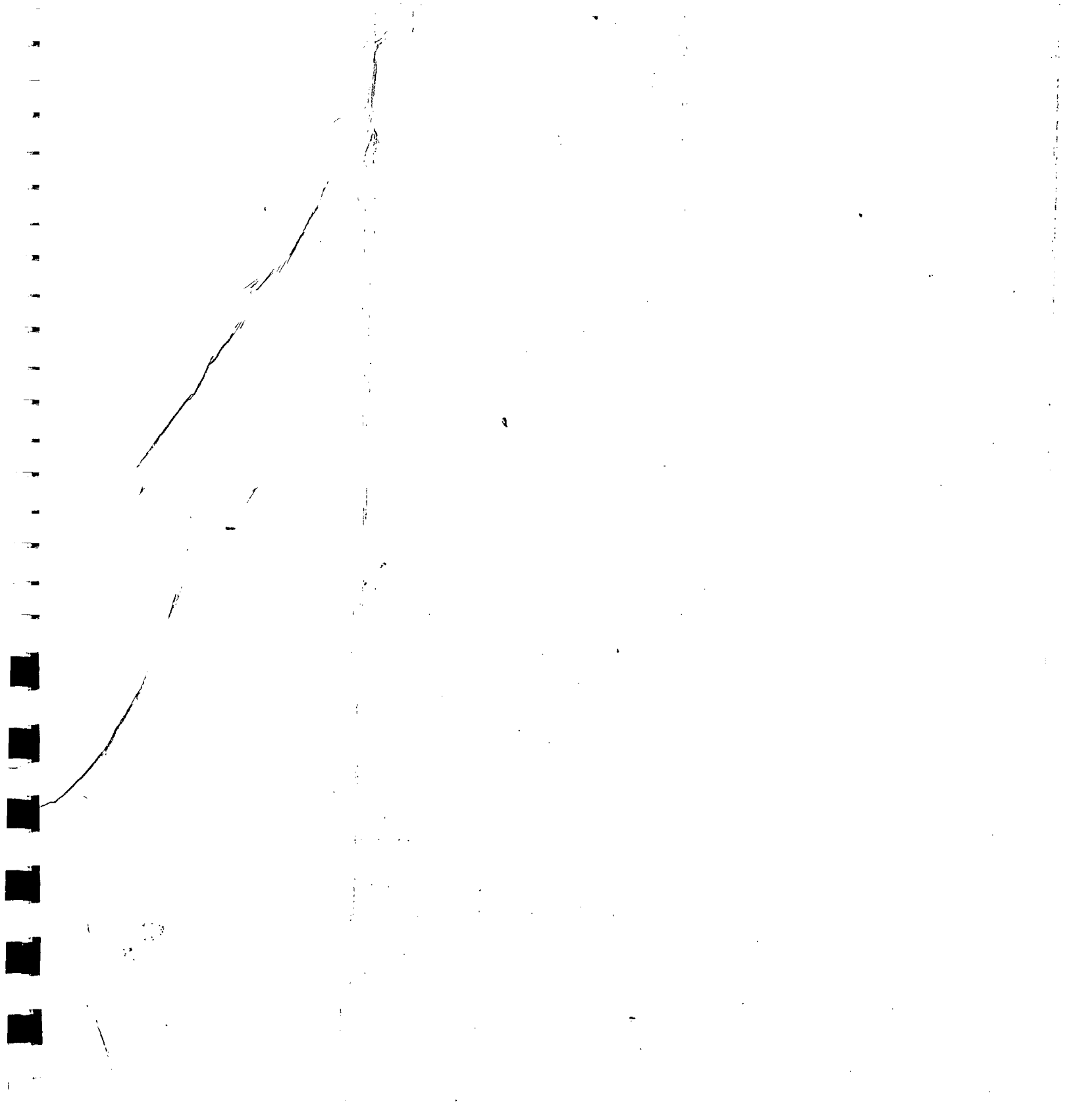
The Kebele has official as well as unofficial duties. Some of the duties of the Kibele, defined in the socio-economic survey (Mustanoja 1995) were:

- | | |
|----------------------------------|---------------------------------------|
| • justice | • all kinds of development activities |
| • controlling justice committee | • farming |
| • peace keeping | • <u>animal</u> husbandry |
| • catching thieves | • mobilizing farmers to farming and |
| • maintaining security | • <u>animal</u> husbandry |
| • execute orders by government | • vegetable plantation |
| • problem solving | • soil conservation |
| • reconcile conflicts | • protect against deforestation |
| • tax collection | • protect/control grazing lands |
| • fund raising | • road construction |
| • if epidemics happen, to inform | • cleaning watersprings |
| • health centres | • water harvest |
| | • cleaning surroundings |

While it is recognized that the official and unofficial duties of the Kibele leadership are many, this report deals only with those duties pertaining to development, and especially those development

areas undertaken by the Kibele Rural Development Committee.

Figure 1: Kibele Rural Development Committee Organizational Structure



CHAPTER FOUR: PROPOSED STRATEGY FOR RWSEP

The purpose of a strategy for community empowerment is to support RWSEP and RWSEP partners with the development of a partnership participatory approach to their work, with the overall aim of breaking the dependency cycle and having communities "take responsibility for their own development".

In summary, the proposed strategy is based upon a number of principles, on the experiences in the past by others, and on the field findings. The principles are basically that the strategy be:

- community based
- participatory
- realistic and productive
- action-reflection-action oriented
- principled
- holistic
- encouraging of appropriate technologies
- compliment existing approaches and methodologies

The strategy will follow the logical "phases" or stages of a programme or project:

- preparatory stage
- participatory assessment/PRA stage
- participatory planning stage
- implementation and participatory monitoring stage
- participatory evaluation and feedback stage
- hand-over or transfer to community stage

It is suggested that the proposed strategy be implemented by four "rural development teams" who are associated with the "development committees" at each level. It is suggested that the team approach be used for a number of reasons. A basic definition of "team" is:

"a small number of people with complementary skills, who are committed to a common purpose, performance goals and approach for which they hold themselves mutually accountable". Teams are suggested for the following reasons:

- Behavioural change occurs in team contexts because of the collective commitment, teams are not threatened by change as are individuals left to fend for themselves.
- Teams provide flexibility in the short term, unlike large organizational groupings. They can quickly be assembled, deployed, refocused and disbanded, usually in ways that enhance rather than disrupt the more permanent structures and processes.

- Teams bring together complimentary skills, unique individual talents, insights and experiences to serve its goals.
- Teams are more responsive to new information, adjusting their point of view and approach with greater speed and accuracy than individuals caught in the web of a larger organizational connections.
- Teams learn communication skills first hand, in developing their own clear goals and approaches.

It is to be cautioned that putting a small group of people together and calling them a team does not make a team. Six elements, triggered by these questions are necessary to build an effective team:

- Is the team small in number?
- Are there adequate levels of complimentary skills?
- Does the team have a truly meaningful purpose?
- Does the team have specific performance goals?
- Does the team have a clear working approach?
- Does the team have a sense of mutual accountability?

Making sure that the team have goals that they can reach, and supporting them to reach them is all that management have to do to build team.

The four teams suggested to implement the RWSEP are:

- Regional Team (RegRDC) (comprised of the Regional Coordinating Committee and RWSEP personnel)
- Zonal Team (ZRDT) (comprised of focal persons who are also SMS), and associated with the Zonal Development Committee
- Woreda Team (WRDT) (comprising focal persons who are SMS and experts) and associated with the Woreda Development Committee.
- Community Team (CRDT)(comprised of development agents, TBAs, CHWs, extension agents, representatives of user groups (sub-teams). and associated with the Kibele Development Committee

4.1 PRINCIPLES OF THE RWSEP STRATEGY FOR COMMUNITY EMPOWERMENT

This section elaborates on the principles of the strategy, which guide its integrity. The principles are a blend of experiences from other programmes, and an analysis of the particular needs of RWSEP and RWSEP partners in actualizing partnership participation in Region Three.

4.1.1 The Strategy is Community Based

Often, and especially in bureaucracies, there is great difficulty in reaching the community level. This has many reasons: lack of transportation; lack of extension materials; lack of initiative; lack of incentives (either directly financial or promotional) for "experts" to go to the community level; and lack of anything worthwhile to offer the community.

What generally happens is that high level and mid-level bureaucrats attend workshops on "participation". At some point, a critical mass is reached, and the bureaucracy is, at least conceptually, transformed. They belittle "top-down", and favour "bottom-up". The rhetoric becomes well established, but little changes until this euphoric stage of superficial change is permeated.

It is absolutely necessary that the bureaucracy go through this change process. It is not possible (except in the case of an NGO and then it is not extensive or sustainable in the long term) to go directly to the community and begin the change process and then try and permeate the supporting bureaucracy.

Region Three, RWSEP and the RWSEP partners are ready for the next step to the community level. They have well educated and highly committed personnel in all sectors, they have a strong and stated desire to move to "practice", and they have some discretionary resources with RWSEP to assist them.

Moving to the community level means placing most of the efforts, both financial and human resource development (training) at the community level. It means a re-orientation of sectors to perceive the community as the key factor in development success.

4.1.2 The Strategy is Partnership Participation

If the aims of the RWSEP and the RWSEP partners, and Region Three are to decrease dependency and increase self-reliance in the rural communities, then the strategy of partnership participation is necessary.

Partnership participation, when fully practiced, will empower the rural communities, provide checks and balances for development, provide reliable, timely information, assist partners to make better development decisions regarding interventions, activities and modifications. It will encourage a sense of "ownership" of development activities.

4.1.3 The Strategy is Realistic and Productive

The strategy proposed can be seen as both a means and an end in itself. This is not paradoxical. It can very logically be both. But when poverty is severe, and resources are limited, the main focus has to be participatory development as a means. Until the rural communities most basic needs are met, the more political agendas are less urgent than basic survival.

RWSEP has very definite development purposes focused directly at the community level. These purposes are: to improve the availability of safe drinking water, the health status of the population, increase self-control and financing and improve conservation of land and water resources.

The strategy will support a pragmatic and productive approach, while concomitantly recognizing that the participatory development process takes its own course and takes its own time.

4.1.4 The Strategy is Action-Reflection-Action Oriented

Analysis and Feedback is essential to an effective partnership participatory approach. One of the reasons for this is that there will (hopefully) be many new and creative activities, and it may not be known how the blended (appropriate technologies) will work. It is therefore necessary to "try a row and see how it goes". Working with "best bets" rather than "proven" technologies, feedback is constantly required to see if the interventions are working or not.

The action-reflection-action is also necessary to build critical analysis in the community, so that they are more able to critique activities in the future, and change them if they are not working.

4.1.5 The Strategy is Principled

One of the recently discovered and widely discussed issues with the participatory methods is that they are used in an "ad hoc" manner. An example, all too common is a very superficial mapping exercise, with outsiders doing all the work and insiders watching. This is sometimes termed by "outsiders" as "active participation".

A strategy that is based on principles lessens the chance of this happening, as this type of strategy introduces rigour and discipline to the approach, which is often sadly lacking.

4.1.6 The Strategy is Holistic

All too often, as previously mentioned, development practitioners use only one or two tools and feel they have done participation on a programme. But the whole programme has to be participatory. This means it permeates all the phases of the programme. This means it permeates all the levels associated with the programme. This means that it even creeps into the way teaching in the participatory methods is done.

4.1.7 The Strategy is Encouraging of Appropriate Technologies

A blend of indigenous local knowledge and outsider knowledge is encouraged, and in fact expected on activities that have been formulated and designed using the participatory approach. Outsiders begin to see that the farmer is a researcher who has tried many things. Especially when RWSEP is in the arena of soil conservation, you have to work with farmers to get a technology that they can live with, and that still delivers "environmental sustainability" over the long-run. The entire development system therefore has to reorient, not to force their "tried and tested" technologies on rural communities, but to blend both kinds of knowledge as a result it can be expected that a great many different technologies will emerge.

4.1.8 The Strategy Compliments Existing Approaches and Methodologies

RWSEP works with partners at the Community, Regional, Zonal, and Woreda levels. It works with inter-sectoral partners who each have their own programmes and approaches.

The strategy will compliment the existing approaches, building on the strengths of each, and hopefully enhancing their effectiveness over the long run.

Each approach and programme in Region Three has elements that work, and elements that do not work. Finding and continuing with the elements which do work well in the context is important, and the strategy tries to do this. For example, the "workshop training of contact farmers and DA has, in some ways worked because people still go in to the trainings, even though there may be no new information. Taking what has worked in this element (that people actually do get to the workshops every month) and making the workshops function in a more didactic manner makes sense. It is the same with LLPPA, it has a name and a strategy, although in many ways it operates in "consultative" or even "top-down" participation. Keeping the elements which work, and increasing participation would seem to be the most pragmatic of strategies.

Note: the Action Plan can change, or the strategy can be modified at the activity level, but not without changing the above principles, on which the strategy has been built. For example, if a particular hand-pump were to be promoted, this would interfere with the principles of "appropriate (blended) technology" and local decision-making. The principle would have to change from one of being demand driven to being supply driven.

4.2 BASIC STEPS IN THE STRATEGY

The strategy will follow logical steps, and this section describes each step or phase, and the activities which will take place within each phase.

4.2.1 Preparatory Phase

- Focal persons (RCC), regional steering committee and RWSEP project coordinator, extension experts and water experts agree with the proposed strategy for community empowerment.
- Sites are chosen. Kibele's (or whichever level is decided) in which to conduct pilot activities are agreed upon. Partners are the Woreda Rural Development Team.
- Potential activities in all sectors, which can be done with internal and which with external resources are long-listed.
- Consultant(s) hired to train at all levels in partnership participation, as per strategy (either as it is or modified). TORs are written.
- IEC strategy incorporated to produce materials for training, all levels, but concentrated on the community level and water/environment.
- Venue for training, materials, draft agenda (subject to change by early needs assessments of community development teams. Time of training for participatory development.

Note: It is suggested that the minimum time for training in Participatory development is three weeks. This is very practical training, and can produce the valuable output of a Participatory Assessment (PRA) and a Participatory Planning Exercise on one or two communities. Maximum of people is 25. Follow-up of one week after a year is suggested.

- Woreda, Zonal and Regional management support to the community process.

4.2.1 Participatory Assessment/Participatory Rural Appraisal

○ Training of Community Rural Development Team. This will involve approximately 6 persons from each community chosen: the DA or extensionist (Bureau of Agriculture or Natural Resources); the TBA or CHW (Bureau of Health); a person who went through CSTC or the teacher (Bureau of Education); person from the team or sub-team on soil conservation; and two assigned members of the community (a man and a woman). The training will not continue (suggested rule) unless two of the six community members are women. Two persons from the Woreda Rural Development Team may also take part in the training.

○ One or two communities will be done during the training, and the others will be done by those trained, immediately after the training event, and with the support of each other.

○ Protocol (draft) in communities might be:

- * community information meeting (1-2 hours)
- * participatory assessment/PRA exercise (3 days minimum)
- * community feedback meeting (1-2 hours)

○ It is to be noted that the principles of partnership participation are to be followed in the participatory assessment/PRA exercises.

- *Participation
- *Reliability
- *Empowerment

○ Needs assessments and problem-solution exercises can also be conducted in this phase, but it is highlighted that these are tentative, and not concrete until seen in the light of the information from the PA/PRA, so that informed needs assessments can be made, rather than "wish lists".

4.2.3 Participatory Planning

○ At least one week after the PRA exercise, using the information from the Participatory Assessment/PRA the Community Rural Development Team draft a plan for the community, given what they learned during the PRA. At this point other "user groups" can be added to the team, if they have been identified during the PA/PRA exercise.

○ From the Participatory Planning Exercise, a workplan is produced, with a

4.2.5 Participatory Evaluation and Feedback

- Each quarter (January/April/July/Oct) a Community Rural Development Team meeting will be held with to analyze information gathered in monitoring, check their workplan and see if they are on schedule or need to make adjustments, get feedback from people as to what is and is not working. This is more fully described in "*Participatory Information System on RWSEP*".
- Each quarter (February/May/August/November) two members of the Rural Development Team will travel to the Woreda Level to meet with the Woreda Rural Development Team, and representatives from other Community Rural Development Teams in the Woreda to analyze, evaluate, collate the monitored information, share experiences and decide which experiences are worthy of sharing with everyone in the quarterly newsletter. A Zonal representative will also attend the quarterly Woreda Rural Development Team evaluation meetings.
- Each quarter (March/June/September/December) after the Regional Rural Development Team meets, a newsletter will be produced and distributed back to the Community Development Teams. A Zonal representative will also attend this Regional Team Evaluation meeting, and assist with the newsletter.
- Reporting will be qualitative and quantitative. It will focus in part on the unexpected side effects or impacts of the programme in the area.

4.3.6 Hand-Over to Community

- Hand-over is planned from the moment a programme enters a community. Hand-over can include leaving a skeleton paid staff behind, or a volunteer group who can manage and maintain the activity, facility, and/or intervention. The community is given "back-stop support" after hand-over.

4.4 STEPS TO COMMUNITY EMPOWERMENT: AN ACTION PLAN

Community empowerment principles and the strategy have not been agreed upon by RWSEP, it may seem illogical under these circumstances to provide a detailed Action Plan. The Action Plan can be altered, but it is necessary to go back to the principles and alter them, and then alter the Action Plan.

The purpose of an Action Plan is to provide the framework for coordinating RWSEP and RWSEP partner interventions at the community level, with the express aim of "community empowerment". This will not only meet the overall objectives of RWSEP, but also support the continuing development of the partnership participatory approach in Region Three.

timeframe and responsible persons. Planning can take into account short and long-term, what can be done with external resources, and with internal resources.

- From the Participatory Planning Exercise, indicators of "success" are produced by the community team, and agreed on in a large community group, and by the specific user group (if that is the modality RWESP choses to implement)
- In this phase, when the Community Rural Development Team has completed the DRAFT plan, they hold a meeting of the community at large, for feedback, modification and approval.
- It should be noted that the LLPPA plans and the plans of other sectors can be incorporated into the community's overall plans for development.

Note: Some interesting ideas were raised during field study. The concept of a "minimal school" where children are taught basic literacy by persons in the community who have had some schooling. This will not meet the requirements of the Bureau of Education, but it will improve literacy in the community. School terms can be established when children are not needed as farm labour, school fees can be paid in kind, and "schools" can be in where ever there are teachers and learners.

- Planning is also for resources, and other levels(Woreda/Zonal/Regional) may have to be alerted to the needs of the community. In other words, if labour is available on a certain set of days (between farm chores) then the three bags of cement have to be on site at this time.
- The major role of the Woreda, Zonal and Regional levels is to support community.

4.2.4 Implementation and Participatory Monitoring

- Implementation can go on for many years, as the Programme with RWESP and RWESP partners is intersectoral, and different activities will be going on at different times. There could conceivably be 10-12 activities and "user groups" operating at any one time in a community. Activities will be phasing in, and others phasing out. This is very different than "development" seen as waiting for the next donor or government programme. It is pro-active development, which seems to be the overall objective of the RWSEP programme.
- Monitoring of activities is ongoing over implementation. Very simple and easy to manage monitoring techniques are suggested for the first year or two, and if they work, then more elaborate techniques can be introduced.

The Action Plan for Community Empowerment for RWSEP and RWSEP partners is built on the needs as assessed in the field study, the stated aims of RWSEP, and the Regional Strategy of a participatory approach to development.

The Action plan development was carried out by the Team after the field study had been completed. First, the Team brainstormed what the logical phases would be, from the communities point of view. Then we backtracked to the preparatory phase, and developed it further. The consultant has organized and presented the material. The Action Plan is presented in the following Tables 7.

4.6 SEQUENCING OF THE ACTION PLAN

The sequencing of the RWSEP Community Empowerment activities follow the communities. However, as the communities come "on-stream" at different times, and it is not known how many communities there will be, or to whom the training will be given, sequencing is frequently classified as "on-going".

It is suggested that when RWSEP and RWSEP partners make the decisions about the number of communities and what defines a "community", the sequencing be modified to fit their decision. Sequencing of the Action Plan is given in Table 8.

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

Table 7: Action Plan for Community Empowerment

<i>Phase</i>	<i>Activity</i>	<i>Output</i>	<i>Responsible Persons</i>	<i>Time</i>
1. Preparatory Phase:	1.1 Focal persons and RWSEP staff meet to discuss the proposed strategy for community empowerment.	(a) Agreement or modification of proposal	RCC RWSEP	Y2 Q3
1. Preparatory Phase	1.2 RWSEP and Woreda meet to choose sites for first pilot communities in 3 Woredas.	(a) Criteria are established. (b) Sites are chosen and checked	RWSEP, Woreda RDC, Community RDC	Y2 Q3
1. Preparatory Phase	1.3 Generate long-list of potential activities	(a) List of potential activities generated for use in training, and reference of RWESP & partners	RWSEP RCC	Y2 Q3
1. Preparatory Phase	1.4 Discuss long-list with WRDC and RCC/RWESP.	(a) agreement on long-list and external resources available (b) removal of some activities on long list	RWSEP WRDC RCC ZRDC	Y2 Q3
1. Preparatory Phase	1.5 Contract consultant(s) and/or facilitator(s) for training in participatory development	(a) Consultants and facilitator(s) short-listed (b) TORs prepared	RWSEP RCC	Y2 Q3
1. Preparatory Phase	1.6 Prepare training materials prepared using IEC demand driven strategy	(a) Materials prepared using IEC strategy	RWSEP IEC Team	Y2 Q3 ongoing

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

1. Preparatory Phase	<p>1.7 Plan training event considering:</p> <ul style="list-style-type: none"> *venue *draft agenda *time *facilitator(s) *budgeting <ul style="list-style-type: none"> *materials *participants *duration *invitations 	(a) Training event planned and ready to implement	RWSEP ZDC WDC	Y2 Q3
1. Preparatory Phase	<p>1.8 Plan Woreda support training, considering:</p> <ul style="list-style-type: none"> *venue *draft agenda *time *facilitator(s) *budgeting <ul style="list-style-type: none"> *materials *participants *duration *invitations 	(a) Woreda support training planned and agreed upon by WDC and ZDC	RWSEP ZDC WDC	Y2 Q3
1. Preparatory Phase	<p>1.9 Plan Zonal-Regional support training considering:</p> <ul style="list-style-type: none"> *venue *draft agenda *time *facilitator(s) *budgeting <ul style="list-style-type: none"> *materials *participants *duration *invitations 	(a) Zonal-Regional support training planned and agreed upon by ZDC and RCC/RSC.	RWSEP ZDC	Y2 Q3
1. Preparatory Phase	<p>1.10 Plan National support training, considering:</p> <ul style="list-style-type: none"> *venue *draft agenda *time *facilitator(s) *budgeting <ul style="list-style-type: none"> *materials *participants *duration *invitations 	(a) National support training planned and ready to implement.	RWSEP NSC	Y2 Q3

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

1. Preparatory Phase (TRAINING)	1.11 Plan and conduct sensitization meeting in community as part of training, considering: *date, time, venue, site *check with community *materials *rehearsals	(a) Community sensitization meeting planned and conducted, and RDC teams trained in how to plan, prepare and conduct. (b) Community aware of the partnership participation approach, decide if they want to be involved, and begin to identify priority needs.	Consultant Facilitator RDC teams	Y2 Q3
1. Preparatory Phase (TRAINING)	1.12 Plan and conduct PA/PRA in community as part of training, considering: *exercises/tools *focus of PA/PRA *stratifying community reps *feedback to community	(a) Information gathered and ready for participatory planning in the "training" community	Consultant Facilitator RDC teams	Y2 Q3
1. Preparatory Phase (TRAINING)	1-13 Conduct Woreda Support Training (3 Woredas)	(a) Woreda experts cognizant of support necessary for RDC	Consultant Facilitator	Y2 Q4
1. Preparatory Phase (TRAINING)	1.14 Conduct Zonal Support Training (2 Zones and Training Centre teachers)	(a) Zonal experts cognizant of support necessary for WDC and RDC	Consultant Facilitator	Y2 Q4
	1.15 National Support Training	(a) National experts aware of support necessary	Consultant Facilitator	Y3 Q1

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

2. Participatory Assessment or PRA Phase	2.1 Plan and conduct all other sensitization meetings (3 Woredas) considering: *date, time, venue, site *check with community *materials *assistance/support of near-by RDC team.	(a) Community sensitization meeting planned and conducted, and RDC teams supporting each other. (b) Community aware of the partnership participation approach, decide if they want to be involved, and begin to identify priority needs.	RDC teams	Y3 Q1
2. Participatory Assessment or PRA Phase	2.2 Plan PA/PRA exercise (3 Woredas) considering: * tools/exercises * community stratification * foci (areas of concentration)	(a) PA/PRA exercise planned	RDC teams Community Reps	Y2 Q4
2. Participatory Assessment or PRA Phase	2.3 Conduct all other PA/PRA exercises in Kibele's in the 3 Woredas * gather data * analyze data * present data *modify and store data	(a) Information gathered for planning and baseline. Both general and focused information. (b) Needs further clarified	RDC teams Community Reps RDC team from another Kibele Community	Y3 Q1
2. Participatory Assessment or PRA Phase	2.4 Evaluation and Feedback on PA/PRA Exercise as part of the Evaluation Meetings and Newsletter	(a) Analysis of the PA/PRA exercises in 3 Woredas (b) Article on PA/PRA for Newsletter	RDC team	Y2 Q4 onwards
3. Participatory Planning Phase	3.1 Plan for meeting considering: *date, time, place, venue *participants informed *materials on hand	(a) Participatory Planning meeting ready to go ahead	RDC team Community Reps	Y2 Q4

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

3. Participatory Planning Phase	3.2 Conduct the Planning Meeting * draft workplan *get information (PA/PRA) together * draft priority needs *present draft plan to community * incorporate feedback *modify plan if necessary * develop indicators for activities	(a) Workplan developed and agreed to by the community at large, and with representative sample of population making decisions	RDC team Community Reps Community	Y2 Q4
3. Participatory Planning Phase	3.3 Negotiate and sign-off on partnership agreement between Community and RWSEP/Woreda/Zonal/Region for external and internal resources for each activity AND agreement that technical interventions are in fact "best bet", albeit experimental.	(a) Agreements developed which fits workplan and give when and where resources needed from each partner. (b) Technical standards acceptable	RDC team WRDC team ZRDC team RWSEP/RCC	Y2 Q4
3. Participatory Planning Phase	3.4 Evaluation and Feedback (may be done at same meeting as the PA/PRA evaluation)	(a) Evaluation of participatory planning and experiences from each community to synthesize for the Newsletter	RDC WRDC ZRDC RWSEP	Y2 Q4 onwards
Implementation Phase and Participatory Monitoring Phase	4.1 Management of activities and interventions by community (user groups, sub-teams, etc.)	(a) Activities and interventions being carried out on day-to-day basis	RCC Reps from community (?)	Y3 Q1 onwards
4. Implementation and Participatory Monitoring Phase	4.2 Monitoring of activities by indicators chosen by community AND at Woreda level AND at Zonal level AND at RWSEP/RCC Level	(a) Monitoring done by representative in the community (user group, sub-team, etc.) (b) Information stored safely	RDC Reps from community (?)	Y3 Q1 onwards
4. Implementation and Participatory Monitoring Phase	4.3 Hold quarterly evaluation meetings	(a) Analysis of how activities/interventions are going (b) Sharing information and experiences with other communities through Newsletter	RDC WRDC ZRDC RWSEP	Y2 Q4 onwards

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

5. Participatory Evaluation Phase	5.1 Evaluation Event in 3 Woredas *impact *achievements versus plans *experience *gender sensitivity *appropriate technologies *participation	(a) Information for feedback into planning for further 9 Woredas (b) Modify approach if necessary (c) Strengths, Weaknesses, Opportunities for improvement at ALL levels	RDC team WRDC rep ZRDC rep RWSEP rep	Y3 Q2
5. Participatory Evaluation Phase	5.2 Evaluation Event in 9 Woredas *impact *achievements versus plans *experience *gender sensitivity *appropriate technologies *participation *	(a) Information for feedback into planning future activities (b) Modify approach if necessary (c) Strengths, Weaknesses, Opportunities for improvement at ALL levels	RDC team WRDC rep ZRDC rep RWSEP rep	Y4 Q2
6. Phase Over of Activities	6.1 Devolve responsibility for each activity/intervention from RDC to User Group, Sub-team, etc.	(a) Responsibility slowly passes from RDC to User Group, sub-team to maintain and manage the facilities, activities, interventions (b) A strategy for devolution of responsibility is clear from beginning	RDC WRDC ZRDC RWSEP Community Rep	Y3 Q4 onwards

*Steps Toward Community Empowerment
Rural Water Supply and Environmental Programme*

Table 8: Sequencing of Steps to Community Empowerment

Activities	1994				1995				1996				1997				1998			
	Year I				Year II				Year III				Year IV				Year V			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1.1 Focal Persons and RWSEP staff meet to discuss strategy							x													
1.2 RWSEP and Woreda meet to choose sites							x													
1.3 Generate long-list of potential activities							x													
1.4 Discuss long-list of potential activities with relevant bodies							x													
1.5 Contract Consultant(s) and Facilitator(s) for training							x													
1.6 Prepare training materials as per IEC strategy							x	x												
1.7 Plan training event considering all contingencies							x													
1.8 Plan Woreda support training considering all contingencies							x													
1.9 Plan Zonal/Regional support training with all contingencies							x													

Section Three: PARTICIPATORY INFORMATION SYSTEM ON RWSEP

CHAPTER FIVE: MONITORING AND EVALUATION

This Chapter describes the types of monitoring, evaluation and reporting systems currently in place within the related sectors, RWSEP and associated agencies. It also describes the information needs of the various stakeholders. Chapter Six describes briefly some of the elements, issues and component stages of an information system, and how it is different than a "monitoring and evaluation" system. Chapter Seven describes the system, the components and how they are linked, while Chapters Eight, Nine and Ten give more detailed roles and responsibilities at the various levels.

**5.1 MONITORING, EVALUATION AND REPORTING SYSTEMS
CURRENTLY IN PLACE**

Each sector and agency already has a functioning M&E system in place. The proposed PI System will not replace systems already in place, but has been designed to compliment them, hopefully giving them an enhanced data base which is field oriented, and can be used for management of the participatory approach.

A list of the stated information needs of the various users was collected by the consultant over the period of this contract, and as the PI System developed, this list was referred to, ensuring as much as possible that the information needs of all stakeholders could, in part, be met. However, the needs were often in contradiction, and tough choices had to be made.

5.1.1 FINNCONSULT and Finnish International Development Agency

As the implementing organization (FINNCONSULT) and funding agency (Finnida), there are very specific information needs above regular financial and administrative accountability. But there are also equally important information needs in terms of whether the efforts in a particular approach are achieving the desired effect or impact.

The international consultant met with five persons from Finnida and three persons from FINNCONSULT in Helsinki, Finland, over the period May 17-19, 1995. The major focus of discussions was their information needs, and how these could be met. The information needs identified at this time were:

- indicators of participation and empowerment
- indicators of gender equity

- indicators for maintenance of facilities
- indicators of programme impacts
- cost effectiveness of the approach; cost sharing potential
- environmental indicators
- workplans carried out in timely manner
- indicators of access to facilities

It was requested that the information system operate as a management tool at the Programme level, and for them, they would like to know that the resources being put into the approach were having an effect, and what the possible effects were. It is to be noted that there are already well established and effective procedures of reporting and accounting within FINNCONSULT and Finnida.

Analysis: Within Finnida, and FINNCONSULT, dealing with the participatory approach in rural water supplies is a fairly recent phenomena. The "process" management being attempted on this type of programme is also quite new. Without hampering the effective managing of the Programme, they would like to be reassured with some reliable (objectively verifiable indicators or hard quantitative) information which assures them that the resources going to these purposes are well channelled. They also need documentation of success of the participatory development, process management and water facilities mixture.

5.1.2 National Level

Ministry of Natural Resources Development and Environmental Protection (MNRDEP) has a broad mandate and a wide range of responsibilities which include formulating policies and strategies regarding the country's natural resources development and environmental protection and following up and supervising their implementation. It is responsible for preparing and submitting draft laws within their mandate, delineating the boundaries of the country's valleys on the basis of watersheds, surveying the quantity and distribution of natural resources in the valleys and the collection and recording of data, undertaking studies, issuing and supervising the implementation of directives to control the depletion of natural resources on the environment and preventing water, soil and air pollution, and establishing and directing research and training centres that may assist the enhancement of the development of natural resources and environmental protection. The ministry is divided into two main branches: Natural Resource Development and Conservation and Water Resource Development.

The MNRDEP participates in the project at the policy level, through the Steering Committee which meets bi-annually. Those taking part are representatives from the Ministry of External Economic Affairs, Ministry of Natural Resources Development and Environmental Protection FINNIDA, Embassy of Finland, the Bureau of Natural Resource Development and Environmental Protection Region Three, WSSA, and representative from the Rural Water Supply and Environmental Programme. The roles and responsibilities of the steering committee are: to approve the annual budgets of the Governments of Ethiopia and Finland, give directives at the policy level; ensure financial sustainability; approve the Programme Document

submitted by the Region Three; monitor the progress of RWESP through monthly, quarterly and annual reports submitted by Region Three and RWESP.

The international consultant met with three members of the National Steering Committee in Addis Ababa (May 21-23), basically asking them questions concerning: how they felt the project was going, what decisions they made on the steering committee, and what information they needed to make these decisions.. A number of information needs were identified at this level:

- There was a request that reports should contain financial information associated with activities, and reported monthly;
- There were two requests for information on sustainability. It was suggested that this could be measured by whether or not people looked after the facility by themselves..so if there were few requests to the government or RWSEP for assistance, then sustainability had been achieved. Another suggestion was that sustainability could be measured by people feeling they really owned the facility. Many examples of the negative experience in the past were cited, when the government "owned" water facilities, and this created a dependency to which government was not able to respond.
- There were requests for "numbers" from this programme, and a feeling expressed that they were getting more qualitative than quantitative information.

At the National Level, two peripheral problems were identified: the monthly reports of the Programme Coordinator don't get through and the recommendations made by the steering committee are not carried out by the Region.

Analysis: Basically, the National Steering committee can be seen as providing the high level support for the participatory integrated rural development approach of Region Three and RWSEP. Therefore they need to have reliable information on: (a) how the participatory integrated rural development approach is working so they have grounds to support it; and (b) what support they need to give. There is also a need for steady quantitative data, once the programme is field based.

5.1.3 RWSEP and Regional Information System

Financial accountability and fiscal responsibility is said to be a strong point on the RWSEP. Financial accounting is computerized, and operates effectively within defined budget lines.

The monthly reports have been highly praised by all those who receive them. They are written on the "triple A" format: Assessment, Analysis and Action, and this short but informative style is appreciated. The activities within each reporting period are covered under the "indicators" of:

- institutional and financial sustainability
- social sustainability
- technical and operational sustainability
- environmental sustainability and
- coordination.

There were some problems noted in these monthly reports clearing National levels and being distributed to members of the National Steering Committee, but this is said to be an infrequent occurrence.

All the equipment is in place (computers, files, copy machines, etc.) in the RWSEP Bahir Dar offices to facilitate an easy flow of information.

A number of consultancies fielded by RWSEP, as well as the programme document, have called for participatory M&E. For example:

"the formats of such reports will have to be assessed and modified to conform to the principles of participatory monitoring and evaluation"

"at the community level, a participatory m&E mechanism will be established where the communities assess the progress of RWSEP specifically and the development efforts of their community internally. This M&E mechanism will provide qualitative data and provide the basis for further interventions."

The organizational structure of the RWSEP within the Regional government is as follows:

Regional Steering Committee: This committee is part of the regional administrative system. It is chaired by the vice President of the region. Originally it was established to coordinate the activities of NGOs only, but recently, it has started coordinating also the bilaterals and multilaterals. The roles and responsibilities of the RSC are: to approve the final programme document for submission to the national steering committee and approve the annual work plans for submission to the National Steering Committee.

Regional Coordinating Committee: This committee is comprised of heads of the six bureaus and the Regional Administration (expert). The member bureaus of the RCC have assigned an expert level person as a focal person to the RWSEP to participate in the management decisions.

The focal persons from the seven sectors are also a strong part of the "information system" of RWSEP. Informal meetings are held periodically, as the need arises, and the focal persons meet regularly each month.

A strength of the programme is that while day to day management decisions are made by the expatriate Programme Coordinator, many of the important decisions are made at the focal persons level. Informal, but important monitoring and evaluation of the workplan is also done at this level, and adds greatly to the

effective implementation of the programme. The focal persons keep their respective Bureaux informed of the programmes activities, and this mechanism informally handles information flow at the regional level.

Analysis: The information system within RWSEP (financial and administrative) is said to be operating well, albeit with some local payment delays. A person has been hired to handle the finances of the Programme, and will be trained by a short-term consultant in August 1995. The monthly reporting of activities is highly appreciated, and moves through the system easily. There will be a need, once field activities are implemented, to have reliable quantitative information to incorporate into the current reporting system. Because RWSEP works within the government system, an information system which compliments and enhances the already existing systems, and does not cause extra work on the part of the government staff is required.

5.1.4 Programmes Within Sectors

Local Level Participatory Planning Approach Information System

There are set procedures for LLPPA, which take into account the information needs at certain stages of the plan. As many of the plans are not yet implemented, the monitoring and evaluation procedures have not yet been fully introduced. The proposed monitoring procedures on LLPPA include:

- reporting format from the key sites
- daily development agent's visits
- monthly reports by the DA with a filled in checklist
- monthly Woreda expert's visits when possible or necessary
- quarterly Zonal expert's visits

Reports, with checklists are to be submitted monthly, and the purpose of the set reporting format is to assess how well the plan is being implemented, how well it is succeeding, and the bottlenecks (some of which are pre-identified). The LLPPA plan would monitor:

- effective area treated
- vegetation cover
- crop yield
- livestock feed
- spring development and simple river diversions.

The reasons given for the lack of an information system on the LLPPAs which have been implemented have been:

- lack of transportation
- severe financial limitation at all levels restrict monitoring of the plan to

written reports and checklists. Development agents and Woreda and Zonal experts do not supervise the sites because there is no means of transportation.

Analysis: The "participation approach" of LLPPA does not extend to the information system, which is driven mainly by pre-set targets and reasons for not reaching them. The lack of interaction, even in theory, in monitoring and evaluation between the experts and the community is quite pronounced. Allowing that the LLPPA information system will continue and improve, the PI System proposed will encourage the community to monitor and evaluate. This may in turn build capacity for the next round of planning exercises, so that community members are more fully involved in the planning.

All other related sectors (BoH,BoA,BoNRDEP) have a very conventional information system. The information is collected at the lower levels and sent upwards, where it is collated and sent upwards. There is said to be little feedback or analysis build into each level of the system, although it is frequently cited as a necessity. Reporting is said to be generally sluggish and does not always relate to the real field issues.

The T&V System of the Bureau of Agriculture has, as well as the normal reporting, a series of monthly workshops which conceptually could be used for monitoring, evaluation and feedback as well as for training purposes. But when the whole system is top-down, initiative at this level has been squashed. The workshops are now said to be of little value, as there is said to be "nothing new" to train.

The Bureau of Education has an information system which is qualitative in reporting, but is enhanced by "supervisory visits" to schools. The supervisors frequently travel on public transportation, but the schools are often close to the road services. The feedback is not always regular, and although there may be problems and solutions shared, follow-up is scarce.

Health has an efficient information system. The monitoring and evaluation mechanisms are:

- the Regional Health Bureau do monitoring where ever it is needed; the Zonal Health do supervisory visits 4/year with checklists and technical and administrative teams; and the Woreda Health make supervisory visits 2-4 times per year to the Health Units.
- the Regional Health Bureau make a written report to the zone every quarter; the Zonal Health do feedback review meetings to each Woreda 4/year, and the Woreda do feedback to Health Units as necessary.
- problems observed are that the reporting and feedback is not always consistent, and there is a lack of community participation in the information system.

Analysis: Each sectors information systems appear to be operating quite conventionally, and with a definite lack of participation from local communities,

except to answer questions and/or to provide the data by their actions. Each sector also expressed a need for better information systems, giving the reasons for the problems as (mainly) transportation and community participation.

A PI System which does not rely so heavily on transportation, which increases the participation of the community, and which compliments or enriches information in the regular information system would seem to be called for.

5.1.5 The Zonal Level

The RWSEP currently works in two Zones (three Woredas) in Region 3. The Zonal level is the technical arm of the Regional Administrators that will be the highest responsible body for implementing programmes. At the Zonal level, responsibilities will include planning for the programme where expertise and material backstopping will be a necessary condition for their successful implementation. At the Zonal level, a Zonal Programme Implementation Group (ZPIG) has been established, comprised of representatives of the Zonal sectoral bureaux. The Zonal Programme Focal Point (ZPFP) will be the Head of the NRDEPB.

At the Zonal level, there are sector specialists. Regarding the monitoring, evaluation and reporting systems, the Zonal level receives information from the Woreda, synthesizes it and passes it to the Regional level.

Analysis: Although the Zonal level is extremely important in the chain of expertise stretching from the national to the community levels, it is the one least related to "hands-on" management. Their position and value might be mainly as advisors, as a depository of expertise and materials.

5.1.6 Woreda Level

There is an intersectoral Woreda Development Committee which mirrors that at the Zonal, Regional and Community Levels. It is made up of heads of the four sectors (Health, Education, Natural Resources and Agriculture). There are experts at this level, often diploma holders, while the SMS at this level are also diploma holders.

Woreda level receive information from the monthly field reports, and collate and relay this information to the Zonal level. This is done monthly. In terms of RWSEP, the Woreda level is considering mirroring the successful focal persons model of the RWSEP, but this has not as yet been determined. It was at this level that the RWSEP workplans for 1995-96 were begun.

Analysis: The Woreda is an important hands on management level for community activities, but their information is more frequently collected and sent to the Zone than it is analyzed.

5.1.7 Community Level

At the community level, under the Kibele (community) there is a Rural Development Committee (RDC). The head of the Kibele or PA is the chairperson of the RDC. Members of the RDC are the development agents, the teams and sub-teams for the LLPPA, contact and follower farmers, and Traditional Birth Attendants (TBAs) and Community Health Workers (CHWs), and perhaps skilled farmers who have completed the Community Skills Training. The committee meet to guide the activities, mainly those initiated by external resources. The RDC are not all government staff, some are community members who have special skills and volunteer their time.

The extension agents under government service seem to send written reports monthly. This is followed up in some instances by "workshop" reporting, although it is not known of what value this is as an information system. The sample at this level of the field study for this consultancy was small, although it had been identified as the key area for the consultancy, both in "community empowerment" and "participatory monitoring and evaluation".

Analysis: The community level is the basis of a participatory information system, and should start here. There has to be feedback on information sent up through the system. Care must be taken that the information system serves the community first, and not the outsiders information needs.

CHAPTER SIX: INFORMATION SYSTEMS DEFINED

A great deal of effort, in terms of time, human and financial resources are expended on the belief that the participatory approach has inevitable and predictable advantages. However, seldom is the time taken to set up information systems to provide the necessary feedback from the efforts. This feedback can provide valuable information that can provide guidance to make decisions. These decisions can be about: whether or not the participatory approach is being followed in more than rhetoric; whether or not the desired effect, generally self-reliance and empowerment, is being or has the potential of being realized; or whether or not adjustments in the approach are necessary. At the same time, objectives set by communities, the planning, implementation schedule and achievements can be known.

This section describes some of the basics of information systems, and some of the essential elements of a participatory information system. It also defines for the reader different kinds of information, indicators and evaluations that were thought to have relevance to RWSEP and RWSEP partners.

6.1 DEFINING AN INFORMATION SYSTEM

Facilitators who conduct training in information systems, have developed a number of exercises to help with the discussions on "what is an information system".. One of the most-effective exercises developed is something which has become known as "Oranges and Memos" (see Exercise 6(a) in this section. This exercise explains the basics of an information system, and how it functions. But it also helps development practitioners to build their own definition of an "information system", as well as characteristics and rules. A common definition of information systems has been:

"an information system is a pre-defined data set, organized in a pre-defined way to communicate information to all who need it."

Exercise 6 (a) : Oranges and Memos

Briefly, people are given easily read tags or tapes with numbers or alphabets letters on them. The facilitator asks them to arrange themselves in a circle. The exercise is explained to them: this circle is a government organization, and each orange is a "memo". The purpose of the exercise is to toss the memo sequentially around the circle, until it is in the hands of the last person. The facilitator introduces the "memos" very slowly and evenly at first, and then sporatically, and more quickly. What always happens is that very few "memos" get through, especially as they come into the circle more quickly and sporatically. Often, the exercise is stopped if too many oranges are falling, and people asked if they would like to make any "rules" for passing the "memos". Some of the more frequently made rules are: "if a "memo" drops, forget about it, or you miss the next memo"; and "people shouldn't throw the "memos" so hard, because many of us are not good catchers". After trying a couple of times with the "rules", the exercise is discussed. The overall purpose is easily realized by people. The oranges are pieces of information. The way they are organize, by numbers or letters, is a "system", and sometimes "rules" are needed to make the system work most effectively. People also get a number of other messages from this exercise, such as: it is important to have some sensitivity about who catches and passes quickly, and who needs more gentle tossing (compensate for the good of the system); the system has to practice a bit before it works well (start slowly and build slowly); and that, if given the chance, those involved in the system can expediate resolution of the problems, as they understand the system as no outsider can.

During a short training meeting in Bahir Dar, this exercise was successfully tried, and one of the modifications was to mix up the circle after they were used to who they were going to throw. This we called "redeployment", and the implications for effective information systems were obvious.

from: Abdullah & Davis-Case 1993

6.2 INFORMATION SYSTEMS AND PARTICIPATORY INTEGRATED RURAL DEVELOPMENT

There are some characteristics of a participatory integrated rural development programme which dictates that the information system on these programmes be somewhat different than on conventional development programmes. The main characteristics which affect the information system are:

- information is generated at the local (bottom) level and sent up rather than on the centralized level (top) and sent down.
- programme management structures are generally set up as process

management, or planning for the short term within a long-term overall objective framework

- information users are situated at many levels and information must be tailored to fit the capacities of the users;
- information is to be empowering in the way it is generated, and the way it is transferred.

A participatory information system is thus required to effectively and congruently respond to a participatory integrated rural development programme. This information system would take into account the information needed by the Community; the Rural Development Agents, and all management and support levels involved in the system.

It would involve all phases of the activities, participatory assessment (or appraisal), planning, implementation as well as monitoring and evaluation. It is a complete information system for an entire programme or agency or ministry. Because information is needed throughout all the phases of discrete programmes or for the institutional memory of an organization, it is best to think of it as a whole system rather than its component parts, such as monitoring and evaluation.

Exercise 6 (b): A Bicycle is a System



The facilitator makes paper cut-outs of bicycle parts: wheels, handle bars, chain, brakes, light, bell, etc.) These are put on the table (or flannel board if there is one) for participants to "build" a bicycle. One of the important parts may be held back. The purpose of the exercise is to show that each part or component makes up the bicycle, and each part or component, by itself, is not a bicycle!

6.3 THE ELEMENTS OF AN INFORMATION SYSTEM

A PI System has six essential elements or characteristics. Some of these elements are common only to a PI System, and to the development context, while others are characteristics of all effective information systems.

- ① It is **simple** in its sophistication;
- ② It is **responsive** to the needs of a number of different levels of decision makers;
- ③ It is **timely**, getting the information to where it is needed, when it is needed;
- ④ It is **analytical** at each level of information user;
- ⑤ It is **reliable** information and;
- ⑥ It is **congruent** with the participatory approach.

It is useful to explore each of these elements in a little more depth. There is a saying that "simple is sophisticated" when the design is exactly right, and minimal to get the job done most effectively. Coming down to the bare essentials in design is more difficult than designing something which has many "extra features" but somehow does not quite get the job done.

Exercise 6 (c) Designing an All-Terrain Vehicle

The facilitator asks the group to design a vehicle which would be best suited for their work in the field. On a flipchart, first the essentials of performance. Then prioritize these essentials. Then do a tradeoff, either by assigning a monetary value to each feature, and a base price on the vehicle, or "if you could only have this or this, which would you take"?

In this exercise, the group often find that an effective design will focus on the strength and endurance of the vehicle, or the undercarriage and low gear power. Rough terrain vehicles such as this are extremely expensive, because they are well designed. In vehicles which are less expensive, the design features are often the "extra features" such as air conditioning, radio/tape deck, and comfort of the seats.

When PI Systems are well designed, they look simple. And this sophisticated simplicity is essential in rural development programmes for a number of reasons. First, there is generally a limited capacity to "service" a programme with a monitoring and evaluation unit, computer analysts and programmers, or data entry personnel. Second, the programmes are often relatively small pilots, situated in isolation within a larger organizational structure, and working in a "hands-on" manner with their client communities. They need information, but they cannot afford to entertain a complex or "top-heavy" information system. More than anything else, rural development programmes have a real need to distinguish what is "nice to know" from what is "essential to know". The common term for this, coined by Robert Chambers is "optimal ignorance", or what is the least you have to know to be able to make a reasonably informed decision. Another element in a sophisticated information system is that of "appropriate imprecision", or how precisely do you have to know about something in order to make a reasonably informed decision.

Not surprisingly, restraint plays a large part in designing a simple and sophisticated information system. It is all too easy to generate many forms and questions, to be answered by overworked development agents, and never get around to analyzing or using the information.

The second element, that an PI System be responsive, is also critical to its

effectiveness. A programme has to be understood well enough at each level, so that critical information needs are met to the degree that informed decisions can be made. Responsiveness also means that the PI System function as a management tool for all managers: the programme managers, the local line managers, and the community managers. The information needed may be a blend of the logical framework or input/output model, as well as related qualitative information. The PI System must also be responsive to the needs of other decision makers at the funding, policy and research levels, so they are easily made aware of the grass-roots achievements and impacts. Responsive also means that the information, when it gets to the people who need it is relevant information. Relevant to the decisions they have to make, and helpful to them in making their decisions.

It is also important that a PI System be timely. That the relevant information arrives at the place it is needed in time to assist with decision-making. Often, especially when an information system is over-loaded, or has collected too much information, the analysis is not done in time to assist with decisions.

Building analysis into a PI System satisfies, in part, the objectives of participation in the system, and also ensures that the system is sustainable. In other words, it builds, at each level, an increased capacity to use information effectively. Information is not gathered merely for others to analyze. In this, the decisions that are made at each level must be determined beforehand so that the information to make these decisions is in the right place at the right time.

Reliability of information is also important. While the maxims of "appropriate imprecision" and "optimal ignorance" can be used as guidelines, this does not mean that rigour is dismissed. Those who use information must know it has been gathered and analyzed with methodological rigour. If information becomes tainted with the reputation of "unreliability", the whole system will suffer.

Reliability is established in a number of ways, such as stratifying a sample during a participatory assessment (PRA) information gathering exercise to be representative of the community population such as: women/men/children; all ages; all religions represented; all socio-economic stratas; new-comers and old-timers; and elites and those who have no political power.

Finally, the PI System has to be congruent with the participatory approach being practiced. It would, for example, be incongruent to have a (full, active, partnership) participatory approach in planning and implementation, and then have community members serve as free labour in gathering information that fulfills programme information needs but not their own. In partnership participation, the community, with help from their development worker, decide which information to collect, how to collect it and they analyze and use it. It is, not surprisingly, often the same kind of information that is needed by the programme and other information users in the system.

These six important elements in a PI System are encouraged throughout the system, for each component part of the system.

6.4 THE COMPONENTS OF A PARTICIPATORY INFORMATION SYSTEM

A PI System is made up of a number of components which follow the logical phases of activities, with feedback into future action. The components are described more fully in this section. The bicycle exercise 6(c) defines components and parts, and how they go together to operate as a system.

Note: RWSEP is managed by both a process and a fairly conventional "logical framework" approach which includes the intervention logic of: overall objective, project purpose, results and activities); with objectively verifiable indicators, sources of verification, costs and sources of financing, and assumptions. Hopefully, the PI System will complement this "log-frame" system.

6.4.1 Pre-Programme Formulation and Design Phase (preparatory)

Activities in this phase are carried out by "outsiders", either national or expatriot experts who decide where the activities will generally be located (for example, Amaharic Region of Ethiopia); the greatest need and the donor tagged finances (for example, safe water supplies); the development approach (integrated, working within government structures, and participatory); and the financial and human resources required..

A number of information gathering methods can be used in this phase. Often, if the specific coverage is known, a socio-economic questionnaire survey will be done before the formulation team begins their work. Sometimes, an Rapid Rural Appraisal (RRA) is done by the formulation team. An RRA is done by an interdisciplinary team of outsiders (either national or expatriots) with systematic procedures such as triangulation, semi-structured interviews, and transect walks. Sometimes, studies are commissioned by experts to give the formulation and design team more information. This latter was the case with RWSEP, where three studies were commissioned to assist in the formulation phase (Water Supply and Sanitation Technology Development; Water and Environmental Sanitation Sector; and Environmental Issues.

The involvement of others, those who are likely to be potential partners in management and implementation, can also be done in this formulation and design stage. This was the case with the RWSEP, who completed formulation of the Programme Document after hosting a Participatory Planning Workshop in the

Region they had chosen to work.

6.4.2 Detailed Programme Planning (Preparatory)

This stage of the programme consists of programme coordinators or leaders deciding how to best direct the programme, given the country context. This may have been partially decided in the design/formulation phase, but may need to be more specifically known before the next steps (implementation) are taken. It is at this phase that consultants are called in to lend expertise in certain areas. Often, a pilot may be a feature of this phase. Deciding more specifically what to do. Getting people trained, deciding what training they need. Sometimes, a socio-economic study will be done in this phase, for detailed information about the area in general.

This was the case in RWSEP, where a number of studies have been commissioned to assist programme managers with information to make decisions before the "next step" which is entering the communities. Planning with the various management levels is also a part of this component and this phase. Site selection, at least for the pilot areas, is generally done during this time, with criteria decided upon by the programme managers. Table 1 (page 2) showed the studies that have been done by RWSEP in this phase, and the various planning exercises. There have also been Woreda and Regional Programme Planning Workshops that have generated information.

It is to be noted that at this stage, the client communities have not been solicited, it is still the preparatory phase, although there may be some early entries into pilot communities.

However, the information from this preparatory phase becomes part of the PI System, as the information is generally useful for baseline (to measure future change) and to promote a richer understanding about the clients and the approach. Although the information from this phase, in the form it generally takes, is not of much use to community information needs, it can be "digested" and used for community extension and information purposes.

6.4.3 Participatory Assessment or Participatory Rural Appraisal

Participatory Assessment (PA) methods travel under various names and take different forms (Participatory Rural Appraisal; Farmer-Centred People Centred Problem Solving (FCPCPS); etc) Many of these methods give local people an opportunity to make maps and models of their surroundings, emphasizing the details that matter to them. These maps, of communities, farms, community resources and relations- then becomes a basis for further analysis to show the flow of essential resources such as water and food into and out of communities. While constructing their diagrams, community members identify key problems and new ways to tackle them. The process emphasizes environmental care and sustainable living.

Note: From New Scientist October 1993 "Designs on Life" officials and government agencies in developing countries are quick to appreciate the benefits of participatory methods once they see it in action as it takes less time, is usually more accurate and makes fewer costly mistakes than standardized planning routines such as questionnaires or aerial surveys. Programmes for soil and water management in India now cost 30-40% less than those they replaced, and yet are more effective".

Participatory assessment is done after it has been decided to work in a certain defined physical area or within a certain organization. In other words, the site selection has been made, either as self-selection by communities or by the criteria determined by outsiders. Now those who are the clients of the "development" enter the equation.

A participatory assessment is the early information gathering component in the community. It is preparatory to the participatory planning component, when the information is used to plan. A participatory assessment is generally a broad sweep: a chance for people to describe their community from many perspectives, and from the past, present and future.

It is important that the participatory assessment and participatory planning components have a "breathing space" between them of at least a week, but not longer than two weeks.

A participatory assessment can be done with an outsider PA or PRA team, but this is not as effective as a team that is as local as possible, as this is the first job they do in "partnership" and it helps to build trust and mutual understanding. It is vital to have an "outsider" acknowledge that the community level development team is capable of making decisions, rather than simply following orders as they have done in the past. With the RWSEP, it is recommended that the Community Rural Development Team (CRDT) receive the training and assist the community to do the participatory assessment or PRA. This does not preclude that others would be involved, such as the engineers or artisans or LLPPA subject matter specialists. But it is important that the CRDT take the lead in the participatory assessment.

Note: With a Participation Approach the question that has to be asked is "participation of whom?" Are those who participate in the decisions those who will be affected directly or indirectly by the decisions? Does it mean the participation of women, men and children; of rich and poor, of those who have local "power" and those who do not; of those with long term residency, and those who are newcomers; of those representing all ages, religions?

While much of the information from the participatory assessment is retained in the community, the basics and general outcomes can be recorded in a "Community File"

which is kept in the community with either the CRDT or a delegated member of the community user group.

A general idea of what the problems are, and what can be tackled in the long and short term, and a rough list is generated, but development practitioners must resist planning until a "breathing period" has been allowed. It may be that more information is needed before a decision on activities can be made, and this is the time to gather this extra information in anticipation of its being needed by the planning team. One of the purposes of a PA/PRA is to build capacity to make informed decisions and identify needs based on reliable information.

The highlights of a participatory assessment are presented to the community, either as a whole, or a community user group. In integrated rural development, it has to be an open community meeting, since it covers all sectors. In Ethiopia, it is suggested that in open meetings, women are given an opportunity to discuss amongst themselves and take their concerns back to the larger group.

The information from participatory assessment is the community's baseline, from which they measure, as well as their "information gathering" phase to design and plan their own activities.

6.4.4 Participatory Planning

This phase follows shortly after the information gathering phase (Participatory Assessment/PRA). It can deal with issues such as:

- the extent of the plan (1-10 years);
- which activities will be implemented first;
- the resources needed internally and externally;
- who will implement;
- the limitations, constraints, problems that one might want to anticipate;
- the indicators for the activities; and
- the partnership arrangement with the external agency if applicable.

The CRDT would help with the planning, and they would have a good sense of what is possible and what is not possible, and go for assistance to the Woreda or Zonal Level SMS or experts if needed. While the CRDT may need some assistance with the first rounds of planning it is often best if practical training is done in the first community, as an example, and then handed over to the CRDT with minimal support from the trainer/facilitator.

It is in this phase that indicators are chosen by the CRDT or the community user group, depending on the activity. Planning should be flexible, giving direction but not denying that it is often more effective to take advantage of unexpected or unplanned opportunities.

6.4.5 Participatory Implementation and Monitoring

The monitoring done throughout implementation is kept as simple as possible. This does not in anyway deny its effectiveness. Communities should only be cautioned to gather only the essential information. It is generally a surprise to development practitioners at all levels to discover how well communities can assess interventions.

Information from monitoring may be done consistently, depending on the intervention or activity. It is generally compiled periodically for on-going quarterly evaluations. Throughout implementation, ongoing evaluation is advisable, as the direct line management and support linkages would benefit from knowing the field experiences in the event that modifications to the programme are necessary.

6.4.6 Participatory Evaluation Events

These are formal, and may be internal (Evaluation meetings) or formal (External evaluations from outsiders). Hopefully, the programme will decide on a blend of both for this unique programme. But while participatory evaluations have many benefits, there are also some limitations: mainly that they may reveal some deficiencies in the management side which are not appreciated. It is important to realize that there are not mistakes in the participatory approach to development, only lessons to be learned.

Exercise 6 (d) The Participatory Information System Journey

Explaining a participatory information system by allegory can be done using a trip from one place to another. You prepare for the journey, you plan where you are going and what you will need for the journey. The mileage signs are indicators of how far you have gone and how far you have yet to travel. Your objective is to arrive at your planned destination. Stopping overnight, or for tea along the roadside and figuring out how far you have come is a form of "monitoring". Taking the time to discuss whether or not you are likely to arrive at your destination on time, or need to make adjustments in the plan is an "evaluation".

Using this simple graphic, one can build on the story of "if the bus breaks down" or "what if another bus comes along which goes by a quicker route" or "what about shortcuts?". It is fun, and you can relate something which is fairly complicated (a participatory information system) with something which is common to all.

6.4.7 Hand-Over

A frequently forgotten stage of a programme is hand over to the community of activities. The strategies for hand over should be entertained before beginning in a community, and the community be made aware of these strategies.

Often, the hand over can take the form of a formal "hand-over" to the community, with relevant dignitaries present and speeches made.

6.5 USING INDICATORS IN THE PARTICIPATORY INFORMATION SYSTEM

While indicators, in their most simple forms, are merely pieces of information, there are many different types of indicators, and they each serve different purposes. Table 9 shows the different types of indicators, their characteristics and an example related to "a safe drinking water supply".

Remembering that an important and essential element of a PI System is that it be simple, restraint must be used when choosing indicators. The problem of collecting too much information and not being able to deal with it are always there.

Some of the best indicators are those which give effective "windows" into many other pieces of information, and yet only the one piece of information has to be collected to know about the other data. One good example is found in forestry. Monitoring the survival rate of out-planted stock 3 months or so after planting gives a "window" into other information. One survival % figure can show whether there are problems with: quality of stock from the nursery; stock handling from the nursery to the site; correct planting procedures; adequate rainfall or irrigation; correct site/species selection; and animal (browse) measures. If the figure is what has been defined as "adequate" for the area, there is no need to worry about that particular site. If the figure is below, then the exact reasons for the low survival must be found and corrected. Survival rate is a "key indirect indicator" in monitoring forestry planting programmes.

Another example is found in monitoring child health, by using the height/weight ratio, and monitoring this consistently in an under five population. If it is generally going below accepted levels, then warning bells should go off, and the reasons for this more fully determined.

To choose indicators for activities, or for a programme, brainstorming all the possible pieces of information that can possibly be monitored, and then sorting it out until what is left are a few essential pieces of information which give a general idea of how things are working. This is better than having too much information.

Type of Indicator	Characteristics	Objective: safe water supply
Direct Indicators	what you can observe or measure directly.	▶ the facility is working and delivers clean looking water
Indirect Indicators	what you cannot observe, but tells you something about what you cannot see.	▶ samples taken from water sources are cultured for bacteria
Key Indicators -	a piece of information that, when measured or observed, lets you know about many other pieces of information that you don't have to measure or observe	▶ there is a reduction in the number of water-borne diseases
Qualitative Indicators	- descriptive information; how things "look".	▶ the persons using the water source are pleased with the clarity and taste of water, and find the supply available in all seasons.
Quantitative Indicators	numerical information; generally exact and specific	▶ bacteria content of water supply 0.087ppm and recharging capacity 79%

Table 9: Types of Indicators with Examples

6.6 QUALITATIVE AND QUANTITATIVE INFORMATION

Qualitative information is generally descriptive (in words), while quantitative information is generally numerical (in numbers). A good information system will contain a balance of both kinds of information, using them to support each other.

6.7 THE BENEFITS OF EFFECTIVE PARTICIPATORY INFORMATION SYSTEMS

Some of the benefits of effective information systems are:

- a better information system means better decisions can be made at all levels;
- problems can be easily signaled and attended to immediately;
- a systematic plan provides constantly available, reliable information;
- it makes reporting easier; and
- sharing and analyzing information often gives programmes a life force.

6.8 GOAL FREE EVALUATION

An option taken by many participatory programmes is to evaluate the programmes on the impacts alone rather than on the predefined goals. This is because there may be unexpected effects that would be missed if the goals were the focus. For example, if a goal of a literacy programme were to educate middle-aged women it may be evaluated on the marks obtained, the drop-out rate, and the employment opportunities opened up by the educational experience. But an unexpected effect might be smaller family size and increased school enrollment of the children of these mothers. This might be a "better" goal that would have been missed if only the "objective" were focused upon.

Does this have relevance for RWSEP? It may be that although rural water systems are the objective of the programme, a side effect, and perhaps even more worthy objective may be the increased capacity of the regional governments to creatively address the implementation of a truly participatory integrated rural development approach. If the project were evaluated on intended results alone, important achievements may be overlooked.

CHAPTER SEVEN: COMPREHENSIVE DESCRIPTION OF PI SYSTEM ON RWSEP

The PI System operates in conjunction with the participatory approach, and tries as much as possible to contain the design elements previously decided upon, that it be: simple, timely, responsive, analytical, reliable and congruent.

7.1 THE COMPONENTS AND LINKAGES OF THE PI SYSTEM ON RWSEP

The components parts are the three direct management levels: the community (CRDT/CRDC); the Woreda (WRDT/WRDC) and the Region (RegRDT). From these three levels other interested stakeholders receive information, and in some instances also provide management advice and back-up support.

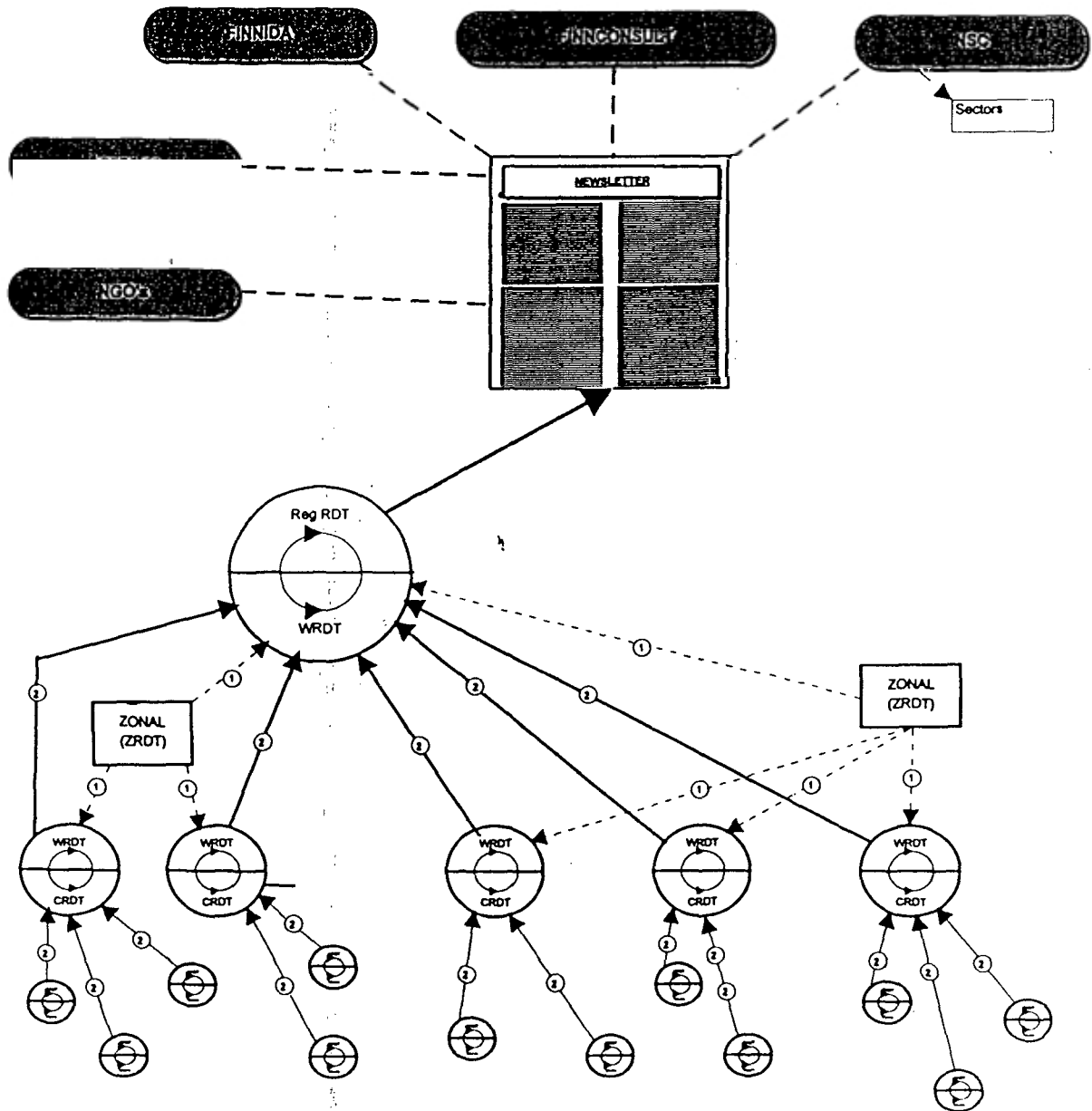
The formal linkages of the PI System are with: National Steering Committee and Sectors at the National Level; the other agencies and NGOs involved in a participatory approach to development; Finnida and FINNCONSULT; Regional Sectoral Bureaux; Zonal Sectoral Bureaux; Zonal Rural Development Committees and (if deemed necessary) Zonal Regional Development Teams.

The PI system has been designed in this way to reduce as much as possible the bureaucratic levels which impede a timely flow of information, but still keep the relevant persons in the bureaucracy well informed.

A graphic representation of the PI System is shown in Figure 2. The circles represent the direct line management, while the boxes represent the formal linkages that are not in the direct line management, but still an integral part of the system. The dotted lines represent the formal linkages, while the full lines represent direct line management.

It is to be noted that this is a representation, and not the real situation, as it is not known how the programme will organizationally emerge at the community level. It is assumed throughout this report that the Kibele is the "community" until otherwise determined by the Programme, in which case the PI System will be adjusted.

Figure 2: Graphic Representation of the PI System



CHAPTER EIGHT: THE COMMUNITY LEVEL

The most important stakeholders in participatory rural development are the community members. It is they who provide their planning, their dreams for the future, often their labour and land, and often their financial resources. In the end, it is they who have the most to lose if development fails.

This Chapter deals with the participatory information system at the community level. The basis of the entire system is information that comes from the community. If training takes place for Regional or Woreda level staff, the importance of the training is that it eventually makes an important contribution at the community level.

In this Chapter, some of the potential activities in a community are identified, assuming that the integrated nature of the Bureaux approach to development will continue, but activities do focus more specifically on the the RWSEP initiated and funded activities. Activities identified are those from the WPPW and RPPW planning exercises, as well as some of the activities identified in the programme document, and those activities which are potential interfaces between the different sector Bureaux and RWSEP. Note that "community " is taken as the Kibele Level, until a decision is made by RWSEP.

8.1 PERIPHERAL SUPPORT AT THE COMMUNITY LEVEL

Kibele's are supported by a number of organizations, outside the government direct line structure, but government supported, which may serve two or three Kibele's. One of these is the Service Cooperatives (SC). There is generally one Service Cooperative for every 2-3 Kibele's. The assistance to the communities offered by the SC includes distribution of fertilizer and improved seed, selling salt, sugar, farm tools, and tin. The SC might purchase farm outputs, and frequently provides grinding mill and fence making services. They may also guarantee loans made to individual farmer for fertilizers or pesticides.

The Community Skills Training Centres are also a support service for the communities. Managed within the mandate of the Bureau of Education, they train people within the community in skills which they can take back to the community. There are generally people within the community who have benefited from this skills training, and can be used as resources by other members of the community.

And of course, there are all the line Subject Matter Specialists and Experts who also serve the communities, and provide the back up support necessary for the Community Development Agents, (with speciality in either agriculture or natural resources) the Traditional Birth Attendants, Community Health Workers, and the teachers.

8.2 COMMUNITY LEVEL PARTICIPATORY INFORMATION SYSTEM

The PI System at the community level has been designed to compliment and enhance the normal reporting, monitoring and evaluation channels for each sector. It is slightly different in its approach, in that the information is physically based in the community, rather than being kept in more central offices of the various sectors. This does not, of course, preclude that a sector who wishes to use the information from the community would not be able to ask for it, and be able to copy it for their own use.

The PI System begins with the training suggested in "Steps to Community Empowerment" and is more fully detailed in the "Joint Training Package". The training is practically based, and has important "outputs". During training, the Community Rural Development Team (CRDT) will collect information through: (a) an information meeting; (b) a participatory assessment; and (c) a participatory planning exercise. The information from these exercises will form the beginnings of the PI System for the community.¹

During implementation, community files will be set up to store collected information from monitoring of day to day outputs and key indicators as chosen by the community. Quarterly, the CRDC will hold "Evaluation Meetings" to evaluate and analyze the development in the community, and in the next quarter, they will send two people to Woreda (WRDT) "Evaluation Meeting" to deliver represent their views.

8.2.1 Information Meeting

There may not be much information collected at the community meeting, which is only for information purposes, to let the community as a whole know what will be happening. But there may be crucial questions which are important to record and put in a safe place to go into the community file when it is in place. It may also be the first run "needs assessments" by the community, and valuable for comparison at a later date.

8.2.2 Participatory Assessment

It is critical to keep this information in the community and in a safe place. Those who wish to use the information can ask the community if the information can be copied for specific purposes. This information may take the form of:

¹It may be that not all "communities" that are part of the programme will be part of the practical exercises of the training. All trainees may do one community, and then other trainees do their own communities themselves, or with support from their training colleagues after the training has been completed.

- maps produced by the community
- transect walks through the community with vegetation, topography, etc.
- seasonality charts;
- economic base of community (household income flow charts);
- income generation opportunities (ranking exercise);
- historical time and trend lines;
- purpose of trees in landscape and species selection (ranking/sorting)

The participatory assessment has a built-in "feedback to the community" which may also produce some information (queries and questions) which can be recorded and kept in the community files.

8.2.3 Participatory Planning

Shortly after the Participatory Assessment exercise, the participatory planning takes place. The reason for the time difference is that people may need time to think about the information they have gathered in the PA exercise. The information from planning will be more specific, drawing on information from the PA exercise, and putting it into a general timeframe and workplan. Again, there is a built-in feedback to the community which may solicit important information and is therefore important to record and save.

Note: The two most used pieces of information at the community level are the map and the workplan. Therefore it is wise to think ahead and put them on heavy paper, and to have a couple of spare copies around in case the main ones are lost.

8.3 MONITORING POTENTIAL ACTIVITIES WITH KEY INDICATORS

Because many of the activities for the communities have been determined at the Woreda Programme Planning Workshops (WPPW) and the Regional Programme Planning Workshops (RPPW) of June 1995, the proposed PI System has taken these activities as a beginning point. Although the first planning steps have taken place outside the community, this has been for very pragmatic reasons, and can be seen as a preparatory and training phase for the RWSEP.

At this point in the programme, the activities of the community have been predetermined, and it is not clear which decisions they will be making. However, it is recognized that if the aim of the RWSEP is "to achieve sustainable human development for the communities to take responsibility for their own

development", then most of the decisions pertaining to identification of activities, planning, implementation, monitoring and evaluation will be made by the community, albeit they may have already been planned for at a higher level.

Note: The activities and indicators given here are given only as examples. At this stage in the programme, it is not known what the activities will be, and/or how they will be determined. When this decision is made, then indicators can be chosen, and these lists can be reviewed as examples, and used if necessary. They are not meant to be used without very critical review in light of future experience on the Programme.

The community indicators can be chosen by the community at the planning stage, and the methods to do this are described fully in the RWSEP report *"Steps to Community Empowerment"*.

The RWSEP does not have development agents of their own in the communities. There are plans to have "artisans" or "contractors" who will be trained and hired to do the work on rehabilitating springs and water facilities. There are plans to train the "contractors" in participatory methods, but it is not clear whether they will be part of the Kibele Level CRDT.

For RWSEP, water, sanitation, and environment as it pertains to water harvesting are the entry points. The water component may consist of rehabilitating existing wells and natural springs in rural communities, and upgrading water supplies in rural centres. The sanitation may consist of building demonstration latrines at health centres and schools, and some health/water/sanitation extension at the health centres and schools. The focus on soil conservation and tree-growing has its basis in the long-term effects of increasing the recharging rate of the wells and springs, by decreasing the velocity of the rainfall so it is more readily absorbed by the soil.

While RWSEP is jointly implemented with the Bureau of Natural Resources, they are also closely aligned with the other seven sectors in an integrated approach to rural development. While a list of activities is given in the following page, it is again pointed out that these activities have not yet been chosen at the community level. Thus the activities and indicators listed in this section are given only as examples.

Activity	Gender	RWSEP Key Indirect Indicators for Self-Reliance	Community Indicators
Training of Development Agents	gender ratio of development agents trained	Self-reliance shown in self-motivated activities without external resources.	?
Training Community Members	gender ratio of community members trained	Self-reliance shown in self-motivated activities without external resources	?
Introductory Meeting	methodology of meeting has strategy to account for gender	Preliminary needs assessment has % needs that can be addressed with limited or no external resources	?
Participatory Assessment	methodology accounts for gender differences	Needs assessment changes slightly with added information	?
Participatory Planning	gender ratio on planning team	Activities planned which are not part of the RWSEP package	
Water Facilities	Who uses the facility? Who maintains it?	Facilities maintained and functioning after set periods of time	
Sanitation (Latrines) Clinic & School	who cleans the latrine? Who uses it?	Facilities maintained and functioning after set period of time	
Soil Conservation Measures	Both women and men aware of benefits of soil conservation	Farmers request technical advice on their own, without being solicited	
Seedling Nursery	Who chooses species in nursery?	Nursery operates without external resources after two years	
School Curriculum supplement on Environment and Water/Sanitation (Drama; drawing contests; visits by DA)	School children of both genders aware of water borne diseases	Sanitation facilities maintained, improved in future. Latrines part of the school design.	
Clinic- posters (drawing contests), visits by DA, visits by school drama.	Posters depict women in active roles	Requests for technical advice on health, more community driven activities.	

The Bureau of Health generally has, in the larger Kibele's, which are taken here as "communities", two community agent categories: traditional birth attendants (TBAs) and Community Health Workers (CHWs). With cutbacks in the budgets, often these two agents are expected to continue using their skills in the community under a "user pay" policy.

The Bureau of Health takes responsibility for immunization programmes, mother/child care, epidemics, disasters, water and sanitation, and health education. They can interface with RWSEP on water/sanitation, joint production of health related educational materials, latrines for demonstration purposes at the health centres, and promotion of health clubs.

The normal reporting and monitoring channels will stay in place for the Health workers in the community (CHWs to Closest Clinic to Health Centre and Hospital to WHD to ZHD & Zonal Health Department to Regional Health Bureau to Ministry of Health). CHWs have monthly reporting sheets which they send through the system. While the normal reporting will continue, CHWs and TBAs will also be involved in the CRDT and be a part of the PI System.

Government assistance to farmers in the area of agriculture has long been a feature in Ethiopia. There have been credit schemes for fertilizers and pesticides, livestock programmes, and strong support for soil conservation activities. The development approach has been through a "Training and Visit" system which had contact farmers who would be given training, and who would then train "follower farmers". The monitoring and reporting system is well established, and the PI System in no way interferes with this, but tries to compliment the new approach of the Bureau of Agriculture, which is "T&V with community participation".

The areas where the RWSEP would likely interface would be in soil conservation, agroforestry (if trees are used on the grass bunds) and water supply for livestock.

As recently as 1990, an integrated and participatory approach to land use was introduced by the Bureau of Natural Resources and FAO in a Local Level Participatory Planning Approach. This approach has covered a relatively extensive area in Region Three, and trained a large number of experts and community members. While there has been some critique of the LLPPA, it is generally thought to be a good beginning.

The PI System builds on the strengths of the LLPPA exercise, and will provide supplementary information for their soil conservation and tree growing activities, as well as take it to the integrated (farming systems) level which they first intended: "the planning process is participatory and holistic (integrated) embracing the complex of elements that make up the farming system." (Zelege 1994).

Not all communities (Kibele's) have schools, but the larger ones generally have at least a primary school. Community Skills Training was introduced to provide adult education to rural populations, and they were trained in a number of skills, such as woodworking, metalwork, home economics and book-keeping which were thought to be useful in the rural context. Thus, there are a number of skilled adults present in the rural populations. It is not known to what use these skills have been useful to the community. The Community Skills Training programme has slowed down somewhat, and the Community Skills Training Centres at the Woreda level are often without students.

The interface of RWSEP and education may be in the areas of water, sanitation and environmental education, and again, the reporting and monitoring system of the Bureau of Education may be enhanced by the PI System.

8.4 THE QUARTERLY "EVALUATION MEETING"

Each quarter (July, October, January, April) the CRDT will meet in an official capacity to evaluate and analyze their progress and the lessons they have learned. This "digested" information will then go to the Woreda Rural Development Team (WRDT) "Evaluation Meeting" which meets quarterly, and sequential to the RegRDT "Evaluation Meeting" (August, November, February, May).

The proposed agenda for the Evaluation Meetings, which may take place over a day, or two evenings is logically divided into two parts: the gathering and collating part (What have we done); and the analysis part (What have we learned).

While it is best to leave the agenda to those involved, it would help them at the beginning if they have a clear idea of what kind of information is going into the newsletter. Therefore, for their first Evaluation Meeting it is suggested that they have a mock-up of a newsletter, showing the categories and types of "news".

The venue for the community Evaluation Meeting will be the Kibele, and the meeting might be followed by an informal information campaign, those on the RegRDT assigned to inform others of the findings. This will be especially important if the "community" is further disaggregated into "user groups".

Notes can be taken by the two persons who will represent the CRDT at the Woreda level Evaluation Meeting the next month (July, October, January, April), as they will probably give a presentation at this meeting. Short, but informative write-ups are encouraged, but they are not mandatory. If acknowledgement for these is given at the regional level, they will probably increase in number and quality.

The community Evaluation Meeting, especially at the beginning, will benefit from a clear idea of where their "news" is going, and when they can realistically expect to receive their copy of the Newsletter.

8.5 KEEPING COMMUNITY BASED RECORDS

In Region Three, each sector has its own system of reporting and monitoring. This will, of course continue, but will be complimented by a common resource of the Community File.² This file might contain, for example:

- A. Information from Community Meetings
- B. Information from PA (maps, transects, economics, history, etc.)
- C. Related Secondary Data (technical or socio-economic)
- D. Information from PP (workplans, timeframes, responsible people, etc.)
- E. Monitored day to day activities and key indicators
- F. Chronology of visits by Outsiders, meetings, worthy events to record
- G. Copy of Newsletters

It is emphasized that in a PI System, the information collected by the community belongs to them, and is held for them by the CRDT. If it is needed by RegRDT or any other sector, it is respectful to request it, and not remove copies from the community. These files can be referred to from time to time for Baseline, when they wish to look back on how far they have come in realizing their objectives, or for information they need during Evaluation Meetings.

If cost-sharing is a feature of the activities, this may be a part of the PI System, but it may take different forms in different communities rather than resulting in one model for all communities. One of the main purposes of the Newsletter is to share information about arrangements that are and are not working.

8.6 COMMUNITY LEVEL ACTION PLAN

This action plan is for one community, to take effect whenever a community is added to the programme. It is to be noted that although training may take place for 1-2 communities over the training period, this deals with only one community. Thus, training may begin in community "A" doing an information meeting and a PA over three days, and then going to community "B" to do the same kind of PA; returning to community "A" a week later to do the Participatory Planning exercise.

This action plan does not take into account the external evaluations which may be a done by RWSEP at mid-term, end of programme and/or phase-over.

²Again, this depends on how the RWSEP decided to define community. Should they choose to work at the Gott level, then they might be Village files, as the Gotts will be the end points, where the programme interacts with the community.

CHAPTER NINE: THE WOREDA AND ZONAL LEVELS

This Chapter describes the proposed operation of the PI System at the Woreda level, and the role of the Zonal Level as support and coordination to the Woreda and, through the Woreda, the Community. Working with the government implies working through these two levels under the Region.

9.1 DEFINING THE WOREDA AND THE ZONE

The Woredas are the level of government channels closest to the community, with the exception of the Kibele, which is not staffed entirely by government employees. At the Woreda level there are generally sectoral offices with administrative and management functions. The technical management functions are carried out by sectoral experts or sometimes subject matter specialists (SMSs) who are generally diploma holders.

The main purpose and responsibility of the Woreda Level sectoral staff is to carry out the plans made at the zonal, regional and/or national levels. The monitoring and evaluation system in place are quite conventional, with line staff reporting up to their supervisors.

The Zonal Level has the important role of coordinating a number of Woredas under their responsibility. This role often includes training and supervision, but the more major role of the Zone is to provide technical back-stop support to the Woredas, through subject matter specialists (some diploma, some degree holders) who have more experience and/or education in a particular area.

9.2 THE PI SYSTEM AT WOREDA LEVEL

As the Woreda Level has the "hands-on" management function, they are the major players in the proposed PI System. They will have two major roles:

1. To meet with the RWSEP communities under their jurisdiction, and help them to analyze their experiences, collate their quantitative information and pass it on to the next Level (Regional Rural Development Team).
2. To assess their own plans, made at the Woreda Programme Planning Workshop, see how closely their plans have been achieved, and report on this (written report) to the Regional Rural Development Team, and to the Zonal Level Rural Development Team.

In their first role, their function is to support the Community Rural Development Teams in their PI System. This might mean:

- ensuring that the CRDT have supplies (paper, pencils, files) to carry out information gathering, and safe places to store the data;
- ensuring that CRDT are paid their travel costs to come to WRDT quarterly meetings when they arrive at the meetings;
- assisting the CRDT in the initial participatory assessments/PRA's and the participatory planning. But, as highlighted in "*Steps to Community Empowerment*", the role of the Woreda is supportive rather than directive;
- passing the NEWSLETTERS to the CRDT promptly;
- supporting the CRDT with technical advice, again in a non-directive manner, so that blended, appropriate technologies are allowed to emerge;
- ensuring that the needs of the CRDT are shared with the ZRDT so that they can give support in advanced technical advice and support materials (drama, posters, comics, etc.)
- attending the RegRDT meetings quarterly, and representing the WRDT and CRDT in analysis and quantitative information. In this responsibility, basically they are responsible for relaying the analyzed information to the RegRDT for the NEWSLETTER and for their reporting.

Concerning the second responsibility, the WRDT reporting to RWSEP on their own activities (training, IEC, Workplan achievements, etc.) this will be done through:

- a report to the RegRDT quarterly, related to the achievements of their workplan and a basic "three A's report" (Assessment, Analysis, Assistance) (A format for this report, based on the WPPW workplan, and a mini-workshop on how to do "three A" reporting can be given at the Woreda Level by the RWSEP Programme Coordinator who does reporting in this manner.

9.3 THE PI SYSTEM AND THE ZONAL LEVEL

The Zonal Level is seen as an important support to the grass-roots initiatives, that are managed through the Woreda Level. It is not necessary for the ZRDT to be involved in the day-to-day management of the activities at the community level, but it is extremely critical that they be aware of what is going on. The PI System proposed has attempted to keep the Zonal Level fully informed without burdening them with the drudgery of management.

It is proposed that a person from the ZRDT (or the ZRDC if they prefer to have fewer committees) be chosen to represent the Zone at the WRDT/CRDT quarterly

evaluation meetings. Through this mechanism, they can report back (verbally) to the ZRDT the support that is needed.

The importance of the Zonal Level in the implementation of participatory development cannot be underestimated. It is here that the needs of the community vis a vis technical support and IEC can be passed on to the Zonal sectoral experts.

Without the Zonal Level to pull together the information and respond to it, rather than "pass it on" the extension needs of the communities would not be fully appreciated. It is a suggestion to RWSEP that the Zonal Level support from them be in the form of "consultancy contracts" for assistance with the production of specific community IEC needs. Under this suggested mechanism, the Zonal Level would report to RWSEP and the RegRDT only related to the specific "contract" and this reporting would be built in to the contract.

Under the proposed PI System, the Zonal Level would:

- send one representative (rotating each quarter) to the WRDT/CRDT quarterly evaluation meetings and ascertain the needs of the CRDT so that the Zonal Level could support them more readily;
- provide back-stop support to the WRDT when they need more specific technical advice from any sector;
- negotiate with RWSEP to produce needed integrated materials, perhaps in conjunction with other Zones, perhaps within the Zone.
- send one representative (rotating each quarter) to attend the RegRDT/WRDT quarterly evaluation meetings, and represent the Zonal perspective.

9.4 RECORDS AT THE WOREDA LEVEL

It is suggested that one member of the WRDT be elected to keep a record of the evaluation meetings, and copies of the reports that are sent to the RegRDT. Reporting, when it is written, can be on a rotational basis to RWSEP, and does not supersede normal reporting procedures of each sector. In the final analysis, this reporting should enhance normal reporting procedures.

CHAPTER TEN: REGIONAL LEVEL

10.1 DEFINING THE REGIONAL LEVEL

The Regional Level is the highest management level of the PI System. The Regional Level refers basically to the RWSEP and the RWSEP partners. It is assumed that the current organization will continue to function informally and in formal ways, through workshops and training sessions, to keep the Regional sectors fully informed of the integrated activities, especially in the pilot phase. The RWSEP and RWSEP partners together are referred to in the PI System as the RegRDT, or Regional Rural Development Team. This team is comprised of the RWSEP staff and the focal persons.

10.2 THE PI SYSTEM AND THE REGIONAL LEVEL

Under the PI System, the RWSEP monthly reporting will go on as before, as this is a reporting format which is very much appreciated. It will change to be more quantitative as field activities are underway, and information comes in from the field. The RegRDT will have three main areas of focus: (a) sustainability; (b) overall aim of programme and (c) activity achievements. In all of these areas, documentation will be kept by the RegRDT.

The responsibilities of the RegRDT in the PI System are to:

- attend quarterly evaluation meetings at the Woredas (RegRDT/WRDT) and draw out the "stories" for the NEWSLETTER, help to analyze field activities and synthesize quantitative data and experiences, and discover what further support is needed from the RegRDT.
- produce the NEWSLETTER in the same month as the meeting and distribute it in Amaharic and English in the same month as the meeting. It is very important that it be available to the CRDT before their next quarterly evaluation meeting.
- put a mechanism in place to ensure that the transportation costs are reimbursed at the WRDT/CRDT quarterly evaluation meetings.
- be responsible for monitoring the key indicators (related to the overall objective) from the field; the "sustainability" indicators developed for RWSEP internal monitoring and evaluation; and the quantitative information on activities from the field.

- be responsible for monthly reporting as in effect at the present time
- to monitor the Regional workplan, developed in the Regional Programme Planning Workshop of July 1995.

10.3 MONITORING AND EVALUATION OF PARTICIPATION

There were no accounts given of current formal monitoring and evaluation participation, but this does not exclude people having opinions about how it is working, and who is and is not doing it "properly". Informal evaluation of "participation" is constant in Region Three, and may be partly responsible for the schism created between those working in this area, and the definite lack of sharing methods, lessons and experience.

There are, of course, a number of problems inherent in the measuring "participation" or "empowerment". First is that it is mainly a qualitative measurement, and they are notoriously difficult to measure with any meaning or reliability. Measuring participation by the "warm bodies" at meetings was tried and found to be an inaccurate measure. It was found that often, fewer people at meetings meant that there was more trust in the representatives.

The second problem is that partnership participatory development means a fundamental change in the way development is perceived, both by the development agent and the community. Change is difficult to measure because it is a process which goes through the predictable phases of:

- I. Euphoria or Honeymoon Phase
- II. Chaos and Disenchantment
- III. Depression
- IV. Real Change

Those monitoring and evaluation the type of participation which is a fundamental change must take this into consideration. For example, if a programme is evaluated at a time of "chaos", just after the "honeymoon" phase is over, it will likely be poorly evaluated by those involved.

A third problem with measuring participation is doing it by "impact". Often, the impacts are in a realm which has not been anticipated. Nevertheless, and however imperfect, impacts are probably some of the more reliable indicators used to measure participation.

Note: There is quite a popular story about the participatory development programme that asked a community their priority need. The reply was a football field. So the programme, with much reluctance, helped them to construct a football field. The unanticipated impact was that the football field created a solidarity in the community which had not been there before. As they began to win matches, and take pride in their community they began to take on "legitimate" development activities.

10.4 KEEPING RECORDS AT THE REGIONAL LEVEL

The records will be kept in the RWSEP offices as this is most central to the RegRDT, and facilities are available. The responsibility for records can be a shared or rotating responsibility of a member of the RegRDT, perhaps the person who will be taking the lead role in producing the NEWSLETTER. These records will be available for any of the RWSEP partners who wish to use them, but the integrity of the records must be maintained.

It is suggested that "community files" be the method of keeping records, as this will reinforce the community approach being taken. These community files can, in turn, be kept under Woredas. Separately, and cumulatively, it is suggested that records be kept on the activities, and these be mapped (pins at the sites of improved springs and constructed water facilities) and visuals (graphs) on the proposed soil conservation or tree planting targets and what has been achieved, updated quarterly. These serve as visual objectives and incentives to the staff, as well as easily explained achievements for the benefit of programme visitors.

The information in the community file will mirror that of the community files kept in the field. There will be a map, created by the communities, and with some descriptive information to explain it. These maps will indicate information such as existing water gathering sites, areas of population concentration, low and high lying lands, neighboring Kibele's and common grazing lands.

Using some of the information from the Socio-economic survey as a baseline for future evaluation in the PI System might be possible. Some of the questions asked could be asked on another shorter and more direct survey for an external evaluation event. However, the sample size must as much as possible approximate the sample size of the socio-economic survey, and the same physical areas be used.

10.5 KEY INDICATORS PROPOSED

At the Regional Level, as elsewhere, the indicators must be developed by the RegRDT and the following key indicators are given only as a sample, to begin the

short-listing exercise. It is highlighted again that the use of indirect key indicators, which give "windows" to other information which does not have to be collected. If the indirect key indicators show that there are problems, then focused information can be obtained to determine the extent and reasons for the problems.

An example of key indicators for the "water supply" and "soil conservation" are shown on the following pages. It is to be noted that the consultant does not possess any expertise in water engineering or water facilities, and the indicators must undergo close examination by the RWSEP water experts.

10.5.1 Water Supply:

Technical performance of the water supply:

- ▶ sufficient water available/not available; at what times;
- ▶ general operation (opening and closing hours, appropriate fencing and drainage around water point, appropriate distribution) and cleanliness of water point and surroundings;
- ▶ type and frequency of breakdowns;
- ▶ no cracks in the well casing;
- ▶ repairs; how much time after breakdowns

Managerial performance of committee:

- ▶ committee meets frequently and is active in maintenance, supervision and problem solving;
- ▶ contributions and payments are properly registered and funds kept safely;
- ▶ water facility is well used and in good repair (1 YR;2YR;3YR;5YR) after completion;
- ▶ performance is accounted for to users;

Health and Hygiene:

- ▶ household latrines increase in number with population growth;
- ▶ latrines are used and maintained
- ▶ village hygiene is improving (adequate waste removal, etc.)
- ▶ selected and measurable hygiene risks decrease.

Gender Aspects:

- ▶ women in community have regular contacts with female committee members;
- ▶ female committee members take active part in committee meetings, and decision making;
- ▶ men and women in the community recognize the importance of sharing responsibilities in managing improvements in water supply and hygiene

Now, considering all the above, and very limited, pieces of information that could be measured (objectively verifiable indicators), are there one or two possible Key Indirect Indicators which could be "windows" to all this other information. If

necessary, at a later date, once the PI System is operating well, other pieces of information can be added. Examples of key indirect indicators which could "window" the above information are::

- incidence of water-borne diseases steadily decreases
- facilities are "in good order" (well used and functioning)

It is to be noted that the Socio-economic survey has good data on incidence of water-borne diseases, and a one-page survey could compare information at intervals after safe water facilities are constructed. This may not be the most reliable of indicators, as the perception of what constitutes a water borne disease may be a subjective piece of data.

10.5.2 Soil Conservation (Environmental Programme)

The specific purpose for the environmental programme is to increase or maintain the charging rate of the water facilities. It is for this reason that soil conservation has been linked with the RWSEP. The two main processes of water erosion are detachment of soil by raindrop splash and transportation by surface runoff. The two main elements of control are therefore, reducing soil splash, and maximizing infiltration, which reduces the volume, and hence the velocity of surface runoff. It is therefore through soil conservation practices that as much surface retention storage as possible is maintained, giving water time to soak into the soil after rainfall has ceased. Briefly, the first objective is to manage the rainfall as much as possible, and then manage the runoff.

There are many methods available for water harvesting and soil conservation, and it is not yet known which methods will be used, or which methods will evolve through the participatory (appropriate blended technologies) approach.

Some of the indicators in soil conservation which might be entertained are:

Technical performance of the soil conservation measures:

- bunds are strong and capable of holding soil. There are no visible break-throughs;
- soil erosion is decreased, measured by soil sticks or soil pits; and with control and a treatment plots;
- contours are well planned.

Farmer appreciation of soil conservation measures:

- farmers are requesting technical advice from extensionists;
- farmers have noted decreased soil erosion, increased or neutral crop productivity;

Gender Aspects of soil conservation measures:

- knowledge of, and benefits from, soil conservation is shared by both women and men;
- the gender differentiation in the construction of the technical intervention is known.

It is assumed that farmers are not going to attempt soil conservation measures in order to increase the re-charging rate of the water facilities, or to increase the quality of life of down-stream users. It is assumed farmers will become involved in soil conservation measures because there are direct benefits to them, either in increased productivity, or neutral (same) productivity but more reliably over the long-term. To understand this, it may be necessary during the PA/PRA to determine if crop productivity on sloping land has, in fact, decreased over the past years, and if farmers see it as steadily decreasing, and why they believe this.

It may also be that soil conservation measures such as stone bunds are not necessary, and contour planting (the planting of crops, grasses and/or trees on the contour lines as tillage, weeding and other operations tend to produce small banks and ridges that impede the downslope flow of water. This gives the water more time to soak in.

A key indirect indicator of whether soil conservation measures are working to decrease the run-off of water and remain in the soil to recharge the water facilities may be difficult to measure. One might have to know the history of the water recharging of the particular water supply for the past years, and correlate this with the rainfall in the region.

If the theoretical foundations on the correlation between soil conservation measures and water recharging rates are sound, then a key indirect indicator might be the area of land in the community over a certain slope that has had a soil conservation intervention. This could be one of any number of interventions rather than a blanket prescription, as it will depend on the slope of the land, and the desire of the farmers.

Therefore, a key indirect indicator for this activity, considering sustainability might be:

- soil conservation interventions (different types) have been initiated on 50% of slope farms (% of slope agreed upon by water/soil experts) and farmers are requesting technical support for increased soil conservation interventions.

10.5.3 Sustainability Indicators

The programme must take on the task of defining sustainability for itself, and with this information develop indicators of sustainability. For example, institutional sustainability, if defined as decreasing the dependency of institutions on external donor support, could be measured in terms of the kind of support that RWSEP receives from government staff when direct financial incentives (to attend meetings, answer questionnaires and be involved on study teams) are withdrawn.

Technical sustainability also needs a programme definition that is meaningful before realistic indicators can be entertained. It could mean only working with locally manufactured pumps rather than foreign imports, or if these are unavailable, having the spare parts locally made. It could mean working with other agencies to systematize water facilities for ease of repair. At this point, there are a number of different and varying opinions about what constitutes technical sustainability. There is also the question of promoting a specific type of facility.

It is a humble suggestion that the programme management spend some quality time dealing with these very essential programme decisions, and then choosing indicators to measure sustainability.

10.6 THE NEWSLETTER

As the NEWSLETTER is an important component in the PI System, some discussion of its purpose and possible design are given in this section.

From the communities point of view, the purpose of the NEWSLETTER is to give feedback to the communities on what other communities are doing, so that they can learn from each other's experiences, and to recognize that their experiences are valid and acknowledged as valid by outsiders. The NEWSLETTER belongs to the communities, and should not become an "extension" arm of outsiders.

From the Woreda perspective, the purpose of the NEWSLETTER is to share experiences of support that they can give to communities to enable them to move toward self-reliance. It may also indicate areas where more support is needed.

The purpose of the NEWSLETTER from the Regional point of view is to have a reliable "pulse-rate" from the field, so that they can adjust their overall approach or specific activities quickly. It will also give them field experiences and quantitative information to enhance their reports.

Some suggestions for content of the NEWSLETTER are:

- a "Women's Page" with accounts of how women have been integrated into the activities and decision-making processes. It can also acknowledge contributions of women to specific activities;
- an "appropriate technology" section, with the different interventions that have emerged through blending farmers's knowledge and technical expertise;
- acknowledgement of a particular development practitioner (field level) each issue, and how they have gone beyond their set responsibilities to assist the communities towards "self-reliance". This might take the form of an "award" of a t-shirt each quarter to development practitioners at the field level;

- a section for "best lessons learned". This will reinforce one of the basic tenets of the participatory approach, that there are no "mistakes" only lessons to be learned;
- dramas and IEC activities and their effects on the community can be related in a section of the NEWSLETTER

There may be some limitations to the NEWSLETTER, which are better anticipated. The translation into Amaharic (or into English) may be problematic, as time is a constraint. Another limitation is that some of those at the higher levels may not find it academic or professional enough, and will fail to see the intrinsic value in it. They may create pressure to make the NEWSLETTER more "professional" and thus lose the main purpose altogether. Another limitation is that there is a three month time lag between when the CRDT meet and when they receive the NEWSLETTER, with feedback from the previous Evaluation Meeting, and this might appear to be a long time for feedback.

ANNEX A: CONSULTANT'S TERMS OF REFERENCE

Participatory Approach & Monitoring and Evaluation (D'Arcy Davis-Case)

In collaboration with the Natural Resources and Environment Protection Bureau and the RWSEP management, the PADME team will prepare a:

- comprehensive participatory methodology/strategy for the RWSEP activities and;
- monitoring and evaluation system based on the needs of the various data users.

In carrying out the task, the PADME team will:

Participatory Strategy Development

- i. assess the present participatory methodology adopted in the Region (LLPPA);
- ii. assess the participatory methodologies used in the region by other donors (including NGOs) or government organizations by organizing a 2-3 day workshop on this theme;
- iii. develop an empowerment strategy at the community level based on the community management and control of development process by the communities to be supported by the RWSEP;
- iv. develop tools for the implementation of the empowerment strategy;
- v. identify the training needs for implementation of the empowerment strategy;
- vi. design an empowerment training package for extension personnel (part of the joint training package which includes both sectoral and cross-sectoral issues, including gender and participatory methodologies, and;
- vii. prepare an empowerment training plan at the required levels.

Monitoring and Evaluation

- i. identify the users of the M/E data at different levels;
- ii. assess the present M/E systems in the Region;
- iii. incorporate the M/E requirements of the financier (MFA, Finland) into the M/E system;
- iv. identify the types of indicators required at different levels;
- v. develop methodology for participatory monitoring;
- vi. develop community-based indicators for monitoring participation and community management;
- vii. undertake a gender specific analysis of indicators;
- viii. train the relevant bodies in the use of the developed M/E indicators; and
- ix. design a comprehensive M/E plan.

Outputs

- ◆ Report which documents the areas of study, findings, and recommendations.
- ◆ Empowerment Strategy
- ◆ Empowerment Training Package
- ◆ Empowerment Training Plan
- ◆ M/E Action Plan

**Bureau of Health
Region Three
Summary of Primary Health Care (PHC) Programme
by Mulugeta Asefa (Dip) Environmental Health Expert**

Background Information

Region Three is located in the North Western part of Ethiopia with an area of 168,966 square km., and consisting of 10 administrative Zones and 136 Woredas.

The population size of the region is estimated at 14,429,185, which is 26% of the countries total population. Living in the rural areas are 89.3% of the population, while 10.7% live in urban centres. The population is 53.6% female and 46.6% male.

The most spoken language in the Region is Amaharic, but Oromigna, Tigregna and Agew languages are also spoken in some areas. The main religions are Christian and Moslim.

The Agroclimatological zonation is Wirch, Nega, Weinadega and Kolla (?) The altitude ranges from 500 to 3,500 feet above sea level.

The estimated density of population is 85/sq.km. Approximately 89% of the population make their living by means of agriculture, while others work in a limited number of industries (such as oil manufacture and textiles) as well as the government and non-governmental s agencies.

Figure 3: The Major Ranked Top Ten Diseases Seen in Region Three

1. Helmenthiasis
2. Malaria
3. Diarrhoeal Diseases
4. Skin Diseases
5. Tuberculosis
6. Gastritis
7. Eye Disease (incl. trachoma)
8. Upper Tract Infections
9. Upper Respiratory Tract Infections
10. Sexually Transmitted Diseases

Figure 1: Population of the Region by Sex and Health Station (Clinic) Coverage.

Ser No.	Administrative Zone	Male	Female	Total	No. of Clinics	Clinic Coverage in % population
1	N. Shoa			1,823,342	76	41.7%
2	E. Gojan			1,943,606	53	27.3%
3	Ageawi			786,863	25	31.8%
4	W. Gojan			1,896,314	43	22.7%
5	N. Gondar			2,327,740	74	31.8%
6	S. Gondar			1,998,944	61	30.5%
7	N. Wollo			1,168,160	56	47.9%
8	S. Wollo			2,391,112	79	33%
9	W.Hamra			258,966	21	81.1%
10	Oromia			232,033	17	73.3%
				14,827,080	505	34.1%

The male/female ratio is 0000:0000

Figure 2: Health Problems and Health Status Indicators of the Region

Indicators	Quantitative Measures of Indicators
Infant Mortality Rate	144/1000
Child Mortality Rate	236/1000
Crude Birth Rate	?
Health Service (Clinic) Coverage	34%
Fertility Rate	? (I hear 3.2)
Safe Water Utilizer Coverage	9.3%
Latrine Utilizer Coverage	5.7%
Under 1 year Vacc.(DBT3) Coverage	31%
Antinatal Coverage	14.5%
Family Planning Coverage	2.7%

The Present Health in Related Water/Sanitation

In the wider context, the term Sanitation means the establishment of environmental conditions favourable to health. Some of the major components of sanitation are the provision of safe and adequate water supply, the proper disposal of human waste and other wastes, safety of food, healthy housing and the control of disease transmitting vectors.

However, the term sanitation and its concept is very wide, to the interest of RWESP. Some limitation is done to explain only the part of safe and adequate water supply and proper human excreta disposal systems of the region.

As long as these two sanitation programmes are concerned, in the region of its operational capacity and its proper utilization by the community is almost very low.

This major fact contributes a great health problem to the region, causing major communicable diseases like helminthiasis, all types of dysenteries, gastroenteritis and Belharziasis to be the top of the total diseases seen.

The aim of any health programme must be to reduce the different type of diseases ranging from 30-34 types which is caused by deficiency of having proper human waste and safe water supply systems.

Basically, provision of safe water supply alone will not bring an absolute health progress unless it goes with the practicing proper human disposal system. As long as the contamination of drinking water by human waste in various ways is concerned.

Participatory Approach of the Region in the Promotion of Primary Health Care Programmes

Introduction

The full participation of the community at all levels in the promotion and development of Health programmes is the basic need. There is no health service that can produce a satisfactory result without the full participation and support of the public. Theoretically, people wish to be healthy. The prime request to be healthy is that they should live in an environment which is very conducive to them. However, the gap between the ideal and the reality is so wide because the know-how, the health delivery organization and set-up and the willingness to work together is quite deficient. Therefore, the chain of transmission of various diseases is not going to be broken as long as these problems are not solved.

The community organization set up of the Region at the moment institutionally and legally are recognized: such as

- ▶ the Urban Dweller's Association
- ▶ the Peasant's Association and as well as women's associations are the vulnerable groups.

However, these groups of people had an access to work with different health programmes, their participation has been curtailed due to the following reasons:

- ▶ all the government and non-government organizations want the community to do different activities. This has taken much of their time;
- ▶ local epidemics of diseases may help to start emergency participation, but this concern is generally short-lived once the epidemic is over, the danger is forgotten and nobody wants to do anything;
- ▶ priority of health programme normally designated or set by top-down or by government agencies without bothering to find the felt need of the community.
- ▶ the enrolment of participatory approach in other sectorial bureaus such as agriculture, education and natural resources to bring sustainable rural development by their common integrated efforts is not yet practiced;
- ▶ it is commonly thought that the government commitment and involvement at all levels for the success of both rural and urban development of any country or nation is very useful. But in regards to this the current government approach of our country towards the full community participation working conditions on the basis of spur development affairs is not entirely and systematically exercised as it was expected.

Therefore, due to the above mentioned allegations, the existing participatory approach lies on the first approach which is one-way communication and the second approach which is more command from the extension workers and few reactions from the communicatee.

However, the full participation of the community in identifying, selection and prioritization

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of their major problems, participating in planning, implementing, monitoring and evaluation up to proper utilization is enroled by practicing the third participatory approach only. And it is the only alternative that which we should undergo in order to succeed on serious development aspects of our Society.

Thus, in order currently to reach this very successful remarkable participatory approach, we found it very hard to make it practical due to the following barriers:

1. To provide PHC programme effectively, and to make it accessible for the consumers, health institutions staarting from the peripheral level of clinic (HS) to all levels should be available at least at 10 km. radium wherever the population of the region live. Even though this is a given standard for developing countries to make Health Service very available to the Society, and the fact that we are in the problem of socio-economic status. We could not make health institution very accessible to the community according to the provided optimal standard.

In regard to this concern, the present geographical health service converage of the region from the total population we have is 34.1%. While others are inaccessible to benefit or not having a chance to get Health Services. In other words, the insufficient distribution of Health facilities has become one of the very most major serious and crucial difficulties which makes us reach to trace the felt need of our community in terms of the health problems they have.

2. Lack of trained specially peripheral level health workers like technician, health assistants, community health agents (CHAs) and traditional birth attendants (TBAs) in order to facilitate the capacity of community participation towards the modern health programme.
3. Behaving of people in different social taboos and superstitions limit the interest of the community and contributes their poor participation.
4. Poor participation of the community because of lack of time.
5. Lack of knowledge, awareness of the people on the importance of Health Services which is rendering by the health unit near to them.
6. Lack of the health service providers towards the knowledge on methodologies or skills of community approach in order to participate to stimulate them on different health programmes.
7. Difficulties of health workers to reach the rural communities as the result of road facilities during the rainy season, mountains, rivers, etc. to reach to the very remote villages.
8. The incompatibility of the necessary tools, logistics such as vehicle and financial backings to implement the desired health programmes effectively for the health providers. In short, are the very serious and crucial current problems of the region to promote the community participation at large and to implement PHC programmes effectively.

The Relative Solution to the Constraints

I. Objectives:

The objective of the present Health plan is to mobilize the available resources in order to achieve the general goal of health for all by the year 2000 through launching of the programme of PHC (primary health care) by way of:

- ▶ strengthening the capacity full community participation and involvement in order to make them in a position of good health planners, implementers and users of their own combined effort with the closer Health Units.
- ▶ strengthening the capacity building health institutions by improving their physical structure and provision of well trained and adequate staff, drug and medical equipment until it reach to the satisfaction of the desired number.
- ▶ strengthening of the quality of health services in a simplistic way to facilitate the users at least with locally available materials at low cost.
- ▶ strengthen the health management capacity from the community to regional level and the inter-sectoral collaboration.

II. Targets

The community of at all levels should participate in safeguarding their health through prevention by developing, reinforcing and promoting in minimizing their health problems and making their environment very conducive or harmless to them by making an attempt of full use of their own resources.

Establishment of a coordination committee that comprises elected members of the PA's, WoA's and from the youth group is very essential. Here also teachers, students, CHAs, TBAs, agriculture extension workers are all the the most valuable member of the main committee or sub-committee.

III. Strategies

Since health development calls for the combined effort of many Sectors, the concept of PHC with its global social goal of health for all by the year 2000 is an agreement with the stated objective. The PHC strategies will therefore constitute the main vehicle for achieving the objectives of the stated plan.

To this end, the mechanism will be strengthened to manage a continuation of:

- ▶ community involvement by providing education on different learning and teaching methodologies at large on the usefulness and the importance of health for them at mass gatherings; religious or social meetings, health clubs at the schools, women's and other association meetings.
- ▶ inter-sectoral approach in agriculture, education, natural resources and the implementation of PHC.
- ▶ cooperation between the regional health bureau with different types of NGOs to

promote PHC and at the same time to control the duplication of works.

IV. Activities to be Implemented

The overall problem identification, priority setting, selection of the health programme and project with its decision-making and after deciding the health programme and project before its operation, assuring of :

- ▶ the participation process in planning
- ▶ the participation process in financing
- ▶ the participation process in construction or performing
- ▶ the participation process in proper use and maintenance works must be done with the full participation of elected members of the coordinating committee with the people of that locality of PA.

A. The Role of Youth in the Community

The youth, with ages ranging from 18-30 years are all active and vital sources of manpower in the community. In the village they lived in the promotion of health programmes and on the special focus on water and sanitation project making they can take part in:

- a. surveillance activitie;
- b. animation (motivational activities)
- c. can easily be trained and can also be used as trainers in the building construction crafts, production of concrete slabs, etc.;
- d. digging of pit latrines, well water, etc, protection of drinking water from contaminant sources;
- e. transportation of materials such as stones, snad, cement, etc.

After the construction is finished, the youth group can prove to be indispensable in follow-up and maintenance of the project, inspection of installations; evaluation of impacts.

B. The Role of School Children

It is true that school children are an agent of change in the community in promoting different health programmes and in sanitation projects school children can be used in many ways:

- a. the school itself is the best place for students to learn about health problems and prevention measures;
- b. health clubs can be organized in the school, and members will be active participants in health matters of their own community'
- c. students can be used as bridges between the health staff, the project coordinator and their own family. They can also be used as a health educator in their own little circle;
- d. students can help in construction and maintenance;
- e. students can produce teaching materials such as models, posters, leaflets, etc.

C. The Role of Women's Associations

Women are the nucleus of the community, rather it is better to say even an extreme hard working group of their family members. They participate in farm activity, preparation of food, fetching of drinking waer, making the different sanitation activities at home level, taking care of the children and much more.

Dispite the fact that in having this all types of burden, and load of work, unless they are encouraged to participate to the knowledge of activities of health programmes, the consequence will be worse. If they participate their contribution in the community health project is enormous:

- a. decision making: distribution of responsibilities and deciding how women can be used in theproject; selection between available alternatives on technology options.
- b. promotion: assist construction; manufacture materials; prepare food, coffee & tella for construction workers
- c. education: teach children and motivate all other members of the family on how to use the project properly.
- d. monitoring: supervise how children use properly
- e. evaluation: help in assessing the health impact of the project

D. The Role of Adult Education

Adult education creates a channel for training, motivation and man-to-man contact between the adult members of the community.

E. The Role of the PA Managment Member or Leaders

The community can be mobilized by them for the implementationof the project or the programme.

F. The Role of Religious Leaders and other Respected Elders Can be trained and used to fight unnecessary social taboos and superstitions pertaining to the desired health programme.

G. The Role of Training and Re-training of the Peripheral Level Health Workers New training of CHAs and TBAs should be carried out until the satisfactorily number of them reached in each PA. Retraining or inservice training for CHWs and HA on different skills should be provided in order to facilitate their routine work.

The Situation of Health Information Systems and Monitoring of Health Services Activities

A. Information Management and Quality

- Each H.Unit has its own monthly and quarterly reporting formats
- the community health workers also have monthly reporting sheets
- reporting channel system is CHWs to Closer Clinic to H.Centre to H.Centre and

- Hospital to WHD to ZHD to RHB and finally the RHB reports MoH of AA.
- from the peripheral H.Unit level to the higher level "RHB" review meetings carried out to enforce the work done and the reporting formal flow system
- there is also feedback reports from the RHB, the peripheral health unit procedurally.

B. Monitoring & Evaluation Mechanisms of RHB

- the RHB do monitoring wherever it is needed;
- the ZHB do supervision 4 times a year using checklists and supervisory team from both technical and administrative staffs;
- the WHD make supervisory visits to each H.Unit 2-4 times per year;

Feedback System

- the RHB make a written feedback to each zone every quarter;
- the ZHD do feedback review meetings to each Woreda in each quarter of the year;
- the WHD do feedback to each H.Unit as necessary.

Decision-making System

Decisions are made according to the nature of its strength.

- it can be done by health unit if it is so easy to make;
- if it is found to be hard, the decision takes place in action by WHD or ZHD or RHB and as necessary to MoH.

Problems Observed

- continuous efforts at monitoring and evaluation is not exerted by different levels of H.System uniformly;
- M&E and decision-making never includes the community participation;

The Relative Solution to It

- continuous monitoring and evaluation should be made at each level of the health system uniformly in order to create common understanding to the raised problems and to reach a better working condition;
- the possible effort should be made on the way how the community will participate on monitoring and evaluation and decision-making;
- strengthening of monthly, quarterly and yearly meetings at all levels on the planned health activities and problems;
- strengthening of data collection, recording, interpreting and reporting systems;
- developing the habit of supervision by making formal and informal method through check lists.

Local Level Participatory Planning Approach: An Analysis

by

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(this has been edited by ddc, and needs to go back to Alehegne's original for the Annex)

Until recently in Region Three, Forest and Soil Conservation based development plans were made without active or conscious participation of the community and for the last many years it was impossible to build public confidence and improve the public's understanding of sustainable forest and soil conservation-based development objectives. These plans were considered as impositions and opposed by farmers giving rise to poor maintenance and deliberate destruction of trees planted and structures built.

The Bureau of Natural Resources Development and Environmental Protection has learned from past experience and has been adapting a methodology "Local Level Participatory Planning Approach" or LLPPA to meet development objectives and aspirations through participatory approaches to reflect in realistic terms people's needs and problems and possibilities to solve or alleviate them.

The concept of planning must start from the bottom in Region Three. There is a need to involve farmers in planning forest and soil conservation activities and the farmer's appreciate the activities they themselves assisted to plan and voluntarily participated.

In the LLPPA planning procedures, the selection of soil conservation development measures are based on the technical aspects (based on analysis of land resources) and on people's immediate needs (from analysis of farmers problems and needs) in order to be successfully implemented.

The NRDEP Bureau has planned to operate LLPPA in considerable parts of the Region, approximately 4100 LLPPA sites, considering sub-watershed as planning units. The planning process involves participation and integration embracing the complex elements that make up the farming system.

The elements included in the planning process are soil conservation, crop and livestock production, water facilities and other infrastructures representing the major sector in agricultural development.

Information regarding how many of the plans are being implemented and how they are succeeding and how many are still in the planning stage is not yet known. This may imply that monitoring and evaluation in the LLPPAs have been given little attention.

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levels. The process of training is that the HQ people come to give training of trainers (Tof T) to Zonal Level, who give TofT to Woreda Level, who give to Tof T to the DAS, who eventually train the local communities in the watersheds. These four steps in the "training chain" constitute a known risk that the training loses in quantity and quality, and the messages undergo a known degree of distortion (20%) at each level. Training has, however, been supported by a prepared guideline that is in the possession of each DA. In total, 1,500 people have been trained in the LLPPA method in the period from 1992-94 (all of Ethiopia).

Some of the overall problems identified with LLPPA, although there is still consensus that it is a good approach in many ways, are:

- the training loses quality at each level (see above)
- targets are set from the top for the various activities, and those targets constitute a real threat to the whole participatory approach. This paves the way for pressure, a top-down approach, and reluctance from the community, as has been previous experience.
- the DA is commonly unable to cope with the level of expertise of the LLPPA. This raises the question of the ability of community members to cope, and realistically plan. It is possible, through participatory methods to design more appropriate technologies for LLPPA (simple A-frames for contour lines, etc.)

Those interviewed who had experience of the LLPPA put it in the #2 level of participation on the spectrum, but said that it would inevitably have to move towards #3.

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