

STREAM



Support to Regional Aquatic Resources Management



**DFID NRSP Research Project R8100
Investigating Improved Policy on Aquaculture Service Provision to Poor People
March 2002 – May 2003**

Research Learning and New Thinking

Investigating Improved Policy on Aquaculture Service Provision to Poor People

Research Learning and New Thinking
October 2003

In Association with
Gramin Vikas Trust (GVT)

DFID NRSP Research Project R8100
March 2002 – May 2003

Graham Haylor and William Savage

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Executive Summary

This report, at the request of NRSP, highlights “research learning and new thinking” arising from R8100. It considers the project’s process from a strategic viewpoint, which is summarized in a conceptual matrix.

The main features of the process’s overall strategy considered in more detail are:

- Strategy for bringing through the voices of poor people – described as *facilitated advocacy*, with the role played by the project being one of “making it easier for people to speak for themselves”. Essentially, this was an attempt to overcome one of the larger ‘discourse gaps’, that between poor farmers and fishers and policy-makers.
- Alignment between government policy and identified policy recommendations – building on existing policy development processes, the recommended change priorities identified by the NRSP project are related to those of the Vision Statement of the Animal Husbandry and Dairying Department.
- Positioning of policy recommendations – to promote pro-poor policy lessons, grouping these into elementary categories of livelihoods support relating to policy development, communications and institutions.
- Selection and use of case studies – as a rich source of knowledge and learning, and
- Origin of the recommendation to encourage aquaculture self-help groups – which arose within each of the stakeholder groups.

The roles and capacities required in the policy review process – and those implied generically for others engaging in such a process – are tabulated.

This report concludes with a note about ‘voicelessness’ and transactional costs. The project represents one approach to counter *lack of voice*, an alliance of (self) *assertion and solidarity* with ‘outside’ advocates, not representing others but supporting them to represent themselves.

In these ways, a distillation of the “research learning and new thinking” from the project is presented in order to increase the potential usability of the research ‘products’ more widely. Reports of the above project elements are widely referenced and it is recommended that this document be read in conjunction with the other project reports, all of which are distributed as a boxed set and associated CD.

1. Background to Research Learning and New Thinking

The DFID-NRSP Research Project R8100 entitled “Investigating Improved Policy on Aquaculture Service Provision to Poor People” included:

- An Inception Visit in March 2002
- A Rural Aquaculture Service Recipients and Implementers Workshop in May 2002 in Ranchi, Jharkhand
- An August 2002 Planning Visit
- Three State-level Workshops in Purulia, West Bengal; Ranchi, Jharkhand and Bhubaneswar, Orissa in October 2002
- A Stakeholders Workshop in January 2003 in Ranchi, Jharkhand
- A Review of Lessons Learnt in Enabling People’s Participation in Policy-making Processes, published in April 2003
- Six Case Studies carried out from mid-2002 to January 2003 in Jharkhand, Orissa and West Bengal
- A Consensus-building Process which ran from February to March 2003
- A street-play entitled *Mahajal – The Big Fishing Net*, performed in April 2003
- A Policy Review Workshop in Noida, Delhi in April 2003, and
- Progress towards Policy Change and Lessons Learnt, published in May 2003.

These project elements are reported elsewhere¹. The purpose of this report, at the request of NRSP, is to highlight “research learning and new thinking” arising from R8100. It considers the process of R8100 from a strategic viewpoint, as summarized in a conceptual matrix in Table 1 (Appendix 2).

The main features of the process’s overall strategy considered in more detail are:

- Strategy for bringing through the voices of poor people
- Alignment between government policy and identified policy recommendations
- Positioning of policy recommendations
- Selection and use of case studies, and
- Origin of the recommendation to encourage aquaculture self-help groups.

The roles and capacities required in the policy review process – and those implied generically for others engaging in such a process – are tabulated. This report concludes with a note about ‘voicelessness’ and transactional costs.

In these ways, it is intended to present a distillation of the “research learning and new thinking” from the project, and to increase the potential usability of the research ‘products’ more widely. Reports of the above project elements are widely referenced and it is recommended that this document (Annex XII, see footnote 1 below) be read in conjunction with the other project reports, all of which are distributed as a boxed set and associated CD.

¹ The R8100 project reports have been reprinted as a boxed set and given annex numbers for easy reference (Appendix 1). Cross-referencing to other project documents within this report follows the annex numbering convention.

2. Overall Strategy of the Process

Because of the number and variety of stakeholders involved, the project could be described as complex. The R8100 project team has variously acted as driver, facilitator, strategic planner, orchestrator, negotiator and adjudicator. It appears that these several ‘hats’ were integral to the pro-poor policy process that evolved as the project progressed, as will be discussed in section 3.

If this process can be replicated (e.g., through the “small policy projects” suggested by the DDG (Fisheries) of ICAR, referred to in Annex XI), features of the process and implications for those who wish to engage in similar ones, need to be explained. The team has therefore attempted to distil the main features of the resultant process (see the Conceptual Matrix in Table 1, Appendix 1), highlighting eight overall steps. For each step, pre-requisites are outlined (including understandings, actors, competencies and capacity-building, and relationship-building), and implications summarized (covering notes, issues, and suggested actions, mechanisms and tools).

The Conceptual Matrix is not intended as a ‘blue-print’ for supporting pro-poor policy change. The project itself followed a process approach (see step two in the matrix) and it is within this context that the research learning is offered. The matrix might be considered as a useful starting point to guide readers through the substantial documentation for this process presented by R8100.

The following sections describe these issues in greater detail and also address specific comments from those who have read or reviewed other project documentation, providing clarification where appropriate.

2.1 Strategy for Bringing through the Voices of Poor People

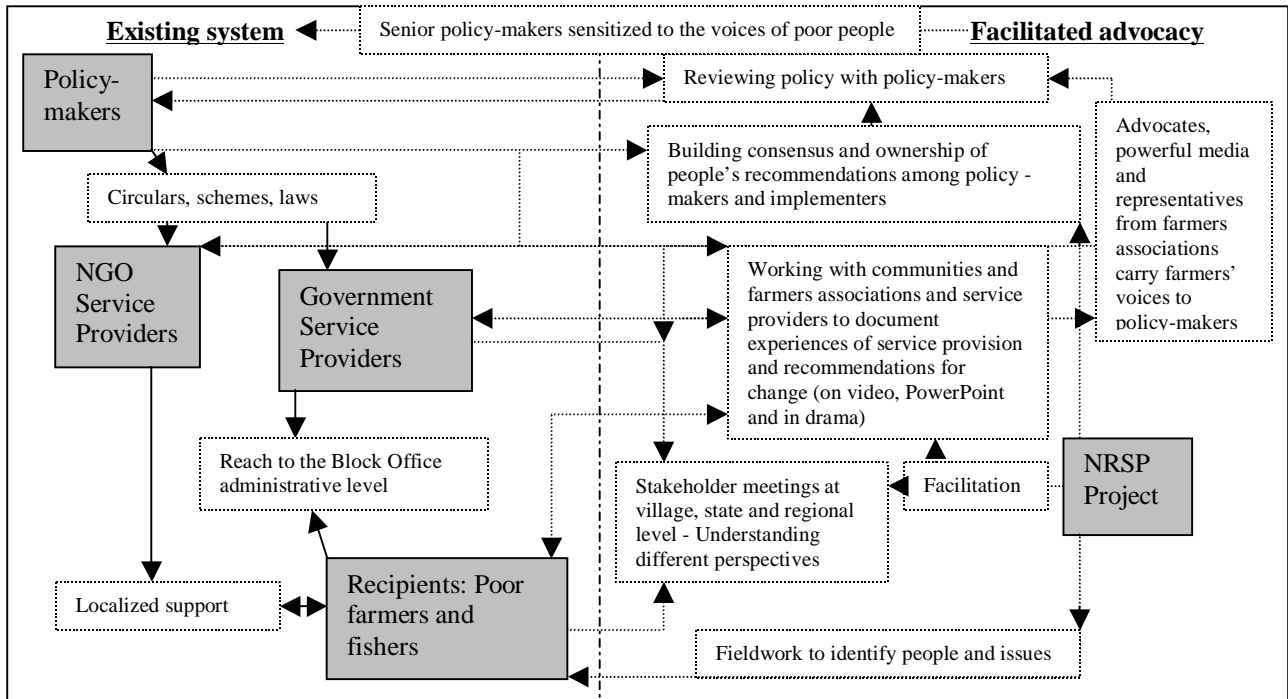
In India (and elsewhere) relationships among policy-makers, service-providers and recipients are hierarchical, which tends to expand the ‘discourse gaps’ between these groups and isolate them into different discourse communities. There are few instances where the *voices of recipients* of policies and services, particularly poor fishers and farmers, are sought during the development of policy and the planning of services. To bridge these gaps, communication needs to be facilitated. This is part of the remit of the inter-governmental STREAM Initiative, which, with support from DFID NRSP, began to experiment with a strategy for *adding people’s voices* to defining the 10th Five-Year Plan of the Government of India’s Department of Animal Husbandry and Dairying².

The strategy for bringing through the voices of poor people in this process has been described as *facilitated advocacy* (see Figure 1 below and Annex XI, p 12), with the role played by the project being one of “making it easier for people to speak for themselves”. Essentially, this was an attempt to overcome one of the larger ‘discourse gaps’, that between poor farmers and fishers and policy-makers. This involved many meetings of stakeholders at village, state, regional and national levels, engagement with state- and national-level policy actors through an iterative Consensus-building Process, the use of live drama (commissioning and working

² In the Government of India system, the responsibilities of this Department include aquaculture.

with a tribal playwright), film documentaries (made by professionals working with communities), and short statements by representative fishers and farmers, implementers and state- and national-level policy actors. These outputs were used to support communication with policy-makers in Delhi in a two-day workshop to build shared understandings and to sensitize senior policy-makers to the change priorities originating from farmers, fishers, policy-implementers and the project. At the Policy Review Workshop (Annex X) in Delhi, participants were also *facilitated* to describe how they could commit and contribute to appropriate policy change.

Figure 1 Bringing through the Voices of Poor People³



2.2 Alignment between Government Policy and Identified Policy Recommendations

In pursuing a strategy for bringing through the voices of poor people, it is important to build on existing policy development processes. Therefore, following consultations with the Fisheries Commissioner and Deputy Director General (Fisheries) of ICAR, it was agreed to relate the recommended change priorities identified by the NRSP project to those of the Vision Statement of the Animal Husbandry and Dairying Department. This gave a timeframe for change and guidance for follow-on activities (see Table 2).

³ The connection between government schemes for aquaculture and NGO service-providers in Figure 1, is not yet well developed but could be an important link.

Table 2 Timeframe for Implementation

Timeframe within Vision Statement	Implications for Key Recommendations
Schemes to be evaluated and revised for the 10th Plan within one year	Therefore the opportunity to revise the provision of support in the 10th Plan has a one-year window
All the revised schemes for the 10th Plan should be finalized and implementation to be started within two years	There is then another year to begin their implementation with improvements in local level infrastructure for fingerling provision and the timely supply of inputs and services
Insurance schemes for aquaculture to be made operational in one year	The need for insurance is a shared vision of Consensus-building Process participants and the Departments of Fisheries
Management information system for the sector to become operational within five years	There is a role for learning and communications support
Extension materials to be available through the internet in all regional languages within ten years	

(Adapted from Annex X, p 22-23)

2.3 Positioning of Policy Recommendations

The 13 recommendations emerging from the process (see Annex VIII)⁴ were categorized into those related to planning, support, information and training, and inputs (Table 3).

Table 3 Four Categories of Recommendations from R8100

Planning	1. Develop infrastructure for timely production of fingerlings at local level
	2. Leases should be given to Self-Help Groups (SHGs) for ten years
	3. Integrated aquaculture may be encouraged and loans and other facilities extended on a priority basis so that farmers may not suffer during aquaculture stress periods
	4. Site selection for pond construction should be given proper emphasis
	5. Timeliness of delivery of services, support and materials
	6. Establishment, defining and identification of model aquaculture villages for benefits to be disseminated to nearby “untouched” villages
	7. Single-point under-one-roof service provision
Support	8. Encourage formation of self-selected Aquaculture Self-Help Groups (ASHGs) based on common interests among farmers and fishers
	9. Insurance schemes for aquaculture
	10. Provide support to establish group savings and micro-credit schemes among Aquaculture Self-Help Groups (ASHGs)
Information and Training	11. Government needs to change how information is made available to farmers, since information on its schemes to support fish culture is required to be known to farmers
	12. Water quality testing equipment (should be provided)
Inputs	13. Procedure should be simplified for getting government schemes and bank loans

⁴ The exact origin of each recommendation is traced in Appendix 3 of Annex X.

In addition, it is instructive to group these recommendations into elementary categories of livelihoods support relating to policy development, communications and institutions, and to position and structure the recommendations to promote pro-poor policy lessons.

Policy Development

From a technical and institutional viewpoint, some recommendations could already be developed in the form of multilingual Policy Briefs which highlight ‘better practices’ or identify small changes to existing ways of working. Primarily, sharing widely the realization that *aquaculture* for poorer investors would be an activity *integrated* into the portfolio of necessarily diverse livelihoods activities, rather than a large-scale investment in intensive aquaculture which aims to maximize production (recommendation 3). This is fundamental, for it is the latter approach that is beyond the scope of poor people, and which remains the main focus of aquaculture research and development in India. Other such recommendations which could be developed into Policy Briefs might include *extending the length of the pond lease period for Self-Help Groups* (recommendation 2), the necessity of *timely delivery of services and support*, especially *fingerlings* and the development of local infrastructure necessary for their *production* (recommendations 1 and 5), perhaps with some quality standards associated with achieving the timeliness objectives, and the development of *site selection* ‘better practice guidelines’ (recommendation 4).

Communications

Policy Briefs need to be considered, perhaps by a Working Group, and if agreed, written and communicated to appropriate stakeholders. The NACA STREAM Communications Hub being established with ICAR and GVT through the NACA Agreement with the Government of India may be able to support the development of a communications strategy to facilitate this process. This would then begin to address the recommendation which refers to the need to *change the way that information is made available to farmers* (recommendation 13).

Institutions

Another fundamental recommendation relates to institutional reform, *simplifying procedures* (recommendations 7 and 13) such that service provision is made more accessible to the proposed recipients. Other recommendations represent specific ideas for which procedural reforms are necessary and center on three main areas of understanding.

The first is the well developed and successful entry point, developed over more than a decade by the East India Rainfed Farming Project and the NGO GVT, of building social capital, specifically *encouraging the formation of self-selected Aquaculture Self-Help Groups* (recommendation 8). The second is the realization of the significance of supporting financial capital accessibility for poor people in rural areas and the effectiveness of *group savings and micro-credit among self-help groups* (recommendation 10) as a precursor to engagement with the formal credit sector⁵. The third is the suggestion of a *single-point under-one-roof provision of services* (recommendation 7) based on the realization that the necessary role of bringing together each of the elements of aquaculture service provision currently falls to

5 For an example, see the story *Back to Jabbarah* <<http://www.streaminitiative.org/Library/India/india.html>>

farmers. This often involves extensive and repeated travel to a range of different locations and institutions.

Service provision for aquaculture includes information resources (extension booklets, videos, drama, study tours, mentoring) for awareness-raising and ‘better practice guidelines’, husbandry and managerial skills development, logistical support (transport, harvesting, marketing advice and regularly updated market information), financial products (such as savings, loans, insurance, credit), material resources including fish seed, production-enhancing inputs (fertilizers, manure, lime, feeds or supplementary feeds) and production-diminishing factors (routine water quality testing procedures, water treatment chemicals, fish disease treatments).

These institutional development recommendations imply rather new ways of working and might require adaptation to an existing scheme such as the Fish Farmers Development Agencies (FFDA) or the development of a new scheme. These recommendations (7, 8 and 10) are not yet ready for the development of Policy Briefs but represent ideas that could be piloted by GOI, perhaps with some planning and backstopping support from STREAM with DFID NRSP support and/or some joint work with GVT, so that they could be properly evaluated before fuller implementation was considered⁶.

2.4 Selection and Use of Case Studies

As reported in Annex XI, the origin of the use of case studies can be found in the disciplines of law, medicine and business. Law as a discipline is essentially composed of criminal and civil cases. New decisions, cases and laws are built upon old decisions. Students learning the profession must study the cases of the past and use them as examples of judicial reasoning (Herreid, 1997). Similarly, the work of a physician is a succession of cases of particular examples of general physiological systems gone awry. His or her job is to reason deductively from general principles to reach the solution of a particular problem. Thus, in both medicine and law, cases are real stories dealing with people in trouble. In business, Harvard professors introduced cases for the first time to give students practical experience for use in the real world. For instance, businesspeople were invited into the classroom to tell students about actual problems. The students held discussions and offered solutions, thus the start of ‘The Case Method’ now commonly in use.

As well as a rich source of knowledge, it has long been known that learning from case studies also helps to develop higher-order analytical and decision-making skills of learning (Gragg, 1953). Looking at Bloom’s (1956) taxonomy of cognitive learning, the focus is less on ‘knowledge’ than on comprehension, application, analysis, synthesis and evaluation. R8100 found that these are the very skills required for ‘pro-poor policy’ development in the context of understanding complex livelihoods strategies.

Therefore, case studies are ideally suited to illustrate the relevance of policy in society and to highlight the need for and direction of policy change. In addition, case studies are equally well suited to the collaborative and cooperative learning formats of small or large discussion groups. The selection process for case studies is described in Figure 2 (Appendix 3).

⁶ A follow-on project to carry forward these ideas has been discussed with GOI and other stakeholders and proposed to NRSP.

The use of case studies of service provision provided a rich source of material for policy debate and offered entry points for thinking about policy change. The common tendency to work with aggregated resource and production statistics at the national level does not provide this opportunity.

The project team proposed to NRSP that case studies would be one of three strands of investigation during the research project following the Recipients and Implementers Workshop (Annex II). There were many issues to be illustrated and many potential case studies could have been selected. The selection process began at the Recipients and Implementers Workshop, where mixed stakeholder groups, organized along state lines, brainstormed and presented the project team with suggestions for case studies that could show people's experiences of service provision from their perspective (see Figure 2 in Appendix 3).

Working with these suggestions, the Principle Investigator toured the three states with local partners on a Planning Visit (Annex 3) to investigate and plan up to six case studies (a number based on likely budget and optimal spread of illustrated issues). In each state, contact was made with potential case study partners from the Recipient and Implementers Workshop. Field visits were made with potential partners and interviews and discussions conducted. The selection was made together with the proposers using these criteria:

- Ability of the case study to illustrate a number of the issues raised by the Recipient and Implementers Workshop.
- The capacity of the proposing partner to conduct the work, including links and arrangements proposed with additional sub-contractors.
- The proposed budget and timeframe in relation to that of the project.
- The overall range of issues and media that would result.

Case study plans were then written up, budgets allocated and schedules drawn up.

2.5 Origins of the Recommendation to Encourage Aquaculture Self-Help Groups

The policy change recommendations that R8100 captured and prioritized emerged progressively through the Inception Visit, the Recipients and Implementers Workshop, the Planning Visit, the State-level Workshops, the Stakeholders Workshop, the documentation of Lessons Learnt, the development of Indicators, Consensus-building and Recommendation prioritizations, and the Policy Review Workshop. The evolution of recommendations is captured in Appendix 3 of Annex X and is indicated in the column headings of Table 4 in Appendix 4 of this report.

The recommendation⁷ to encourage Aquaculture Self-Help Groups was supposed by some reviewers to have originated from GVT who have as their entry point the process of building social capital. In fact, this recommendation has its origins within each of the main stakeholder groups: recipients, state Departments of Fisheries, the NGO GVT, project staff, and colleagues from the Government of India (see Table 4 in Appendix 4). The appreciation of

⁷ Prioritized recommendation ⁸ "Encourage formation of self-selected Aquaculture Self-Help Groups (ASHGs) based on common interests among farmers and fishers"

the effectiveness of this way of working among project stakeholders was universal and is already having influence more widely on the rural banking sector, many development initiatives and the GOI watershed approach to development.

The perceived benefits of self-selecting Self-Help Groups by stakeholders of this project are varied but fall into three categories (Table 5).

Table 5 Perceived Benefits of Self-Help Groups

Improvements resulting from group dynamics over operating as an individual	<ul style="list-style-type: none"> □ A way of managing risk □ Building cohesiveness and accountability □ Unity and common vision □ A voice against injustice
Improvements in access to services	<ul style="list-style-type: none"> □ A mechanism for facilitating the participation of women □ Improved access to local governance (e.g., Panchayats) □ To markets □ To information
Improved prospects for service delivery	<ul style="list-style-type: none"> □ Improving the capacity of government schemes (e.g., FFDA)

The delivery of services to poor people in dispersed, remote locations is both complex and expensive. Self-Help Groups represent visible, viable units which can expand out to close communication and service provision ‘gaps’ between, for example, the Block Office and local communities, or the rural banking sector and local communities, or national and international market chains. Their existence can empower rural communities to draw upon the services they need. As exemplified by this project, they also represent a platform for improving policy-making processes.

3. Roles and Capacities Required in the Policy Review Process

The R8100 team has attempted to map the various roles they have taken during the course of the process (see Table 6). There are capacity-building implications for users and there are ‘key implications’ that senior policy actors would need to understand. It is hoped that this text will be base material for some of the planned Policy Briefs that a follow-on project aims to produce (interactively with relevant R8100 stakeholders) to help to carry the policy change process forwards at national and state levels.

Table 6 Steps, Project and Generic Roles⁸

Step (Guidance Only)	Project Roles	Implied Generic Roles
<p>1. Recognize timely opportunity for (policy) change</p>	<p>Here the project was able to negotiate a role as <i>(co-)strategic planner</i> or <i>orchestrator</i> of moves towards policy change in the overall change framework of the Indian government five-year planning process.</p> <p>An important prerequisite for transacting policy change is recognition of the need for change. That policy change (including poverty alleviation involving aquaculture) is an appropriate way forward had been highlighted by recent research and development in aquaculture in India (DFID NRSP Research, DFID EIRFP, 1996-2002), the Government of India (Committee of High Level Experts, 2000-01), the UK (Blair, 2002) and other governments, and by the international community (NACA/FAO Aquamillennium Conference, 1999). See Annex I (p 4-6) for more details of the timely opportunity in this case and Annex I (p 9-10) for details of the negotiation.</p> <p>The negotiated role in this case was to develop and submit to the Fisheries Commissioner a “Component Concept Note” to create a slot for change within the 10th Five-Year Plan following appropriate consultation and resulting recommendations (See Annex I, p 11-14).</p>	<p>‘A <i>champion of change</i> from a pro-poor focus’</p> <p>This could come, as in this case, from an external source or from an apex policy-making actor at state or national levels, or might even originate from an informed policy implementer or recipient (group). In some contexts, research groups, CBOs or NGOs are champions of policy change.</p> <p>The Doi Moi⁹ policy reforms in Vietnam, which gave rise to huge increases in rice production, had a government policy actor as their champion for change.</p> <p>The change in policy governing inland fisheries in Cambodia (the fourth largest inland fishery in the world) was championed by the NGO community and eventually the Prime Minister. Also see www.streaminitiative.org/cambodia</p> <p>The policy governing soil and water management in Tanzania was championed by a university research group with sustained funding and a commitment to communications [see Kay (2003), NRSP Research Highlights, p 24-26]</p>

⁸ Also see the Conceptual Matrix in Table 1 (Appendix 2) for more detail of the guidance steps.

⁹ In 1986, it was concluded by a new group of more liberal government party leaders that reforms which consisted of six major economic policy changes (Doi Moi) could help Vietnam come out of its economic crisis. These six new policies were:

- The decentralization of state economic management, which allowed state industries some local autonomy.
- The replacement of administrative measures by economic ones, including a market-oriented monetary policy, which helped to control inflation.
- Adoption of an outward-oriented policy in external economic relations; exchange rates and interest rates were allowed to respond to the market.
- Agricultural policies that allowed for long-term land use rights and greater freedom to buy inputs and market products.
- Reliance on the private sector as an engine of economic growth.
- Letting state- and privately-owned industries deal directly with the foreign market for both import and export purposes.

Table 6 Steps, Project and Generic Roles (continued)

Step (Guidance Only)	Project Roles	Implied Generic Roles
2. Adopt a process approach	Here the project adopted a <i>facilitator</i> role, making it easier for people to begin the change process without a fixed blue-print. The process was <i>driven</i> by the initial Logframe developed for the funding agency, which was shared and reinterpreted as a flow-chart (see Annex I, p 15) and adapted in consultation with stakeholders during the inception and several times subsequently.	A <i>facilitator</i> role to provide comfort for adopting (possibly) new ways of working. A process approach can be difficult to negotiate as it can bestow on the implementers a degree of flexible decision-making that can be perceived to diminish control by others. Outside support to facilitate the process can provide reassurance where ‘development as process’ is a new way of working.
3. Learn lessons from elsewhere (see Annex XI, p 14-15)	Here the project adopted <i>researcher</i> and <i>informer</i> roles, drawing on literature detailing the experiences of others. Although a lot of learning is experiential, it is sometimes possible to reduce transactional costs through promoting access to the lessons learnt by others.	The <i>informant</i> role is more straightforward and can be drawn into the process from local, national or international academia. Universities are organized by departments and specialists with access to relevant literature and appropriate skills are identifiable.
4. Identify discourse communities and ‘discourse gaps’	The project <i>facilitated</i> identification of people’s participation in policy change and their experiences and perspectives of service provision at a Rural Aquaculture Service Recipients and Implementers Workshop and three State-level Workshops with small groups of stakeholders from different discourse communities (recipients, <i>jankars</i> , field staff, state and national government staff, central policy-makers). Many discourse gaps were highlighted, e.g.: Between ‘lower castes’ and everyone else “Poverty and the feeling of belonging to a lower caste have been a bane with these people who have no say anywhere” Bhim Nayak, Fulwar Toli, Ranchi, Jharkhand (Annex II, p 27) Between farmers and state-level service providers “In the DOF, farmers have to approach the DFO through an Extension Officer or Supervisor and the relationship is quite formal” (Annex II, p 30) Between policy-makers and implementers or recipients “The government formulates policy based on the recommendations of the Planning Commission; there is no contribution from recipients to the design” (Annex II, p 32) Between farmers and service providers “Farmers have voiced their concerns, but no one has heard or paid any attention” (Annex II, p 32)	In India (and elsewhere) service provider-recipient relations are hierarchical, which tends to expand ‘discourse gaps’ and isolate discourse communities. <i>Communication needs facilitation.</i> The <i>facilitator</i> role is a specialist one; it often works well if the facilitator is an outsider, a ‘non-partisan’, an ‘honest broker’. This is often an essential but expensive supporting role and requires logistical problems to be overcome before different discourse communities can be brought together. Once united, behavioral changes can be promoted, e.g., learning, not telling (Annex XI, p 15) and tolerance (Annex XI, p 17). The facilitator role needs to promote equity, active, free and meaningful expression, minimize conflict, and a host of other professional services for coping with difference and breaking down inequitable power relations (Annex XI, p 18).

Table 6 Steps, Project and Generic Roles (continued)

Step (Guidance Only)	Project Roles	Implied Generic Roles
5. Negotiate a mechanism for overcoming 'discourse gaps'	<p>Here the project adopted a <i>leading</i> role as <i>driver</i>, <i>strategic planner</i> and then <i>facilitator</i>, introducing new thinking about communication and techniques for overcoming 'discourse gaps'.</p> <p><u>Engagement with policy-makers</u> The project negotiated an entry point into the GOI planning process. A policy slot was created in the 10th Five-Year Plan by the Fisheries Commissioner for a "Concept Note" for adapting an existing scheme or developing a new scheme to be drafted by the GOI, building on learning from R6759 and R8100. This would allow time for 'discourse gaps' to be overcome and new learning from recipients and implementers of policy to be used to recommend and prioritize changes.</p> <p>Engagements between recipients of service provision and policy-makers were mediated through the use of rich case study information and unconventional media to empower less-heard voices and develop a strategic overview of issues and perspectives (see next).</p>	<p>With 'discourse gaps' at the heart of much inappropriate policy development, a <i>champion of change</i> with a pro-poor focus (see 1 above) will need to adopt a <i>leading</i> role as <i>driver</i>, <i>strategic planner</i> and then <i>facilitator</i>, possibly introducing new thinking about communication and techniques for overcoming 'discourse gaps'. The 'champion' must identify mechanisms to overcome communication shortcomings and <i>negotiate</i> a practical process to <i>mediate</i> improved understanding among policy actors.</p> <p>This will be necessarily specific to a time and place and in the context of socio-cultural and institutional roles and expectations.</p>
6. Empower less-heard voices (see Annex XI, p 13) and develop a strategic overview of issues and perspectives	<p>Given the hierarchical nature of Indian society and identified 'discourse gaps', the project again adopted a <i>leading</i> role as <i>driver</i>, <i>strategic planner</i> and then <i>facilitator</i>, introducing new thinking about empowering less-heard voices and developing a strategic overview of issues and perspectives.</p> <p><u>Using case studies</u> The use of broad-based demographic statistics collected at local level and collated at national level is common in India (and elsewhere) to describe policy impacts. Such data tend to be poor quality. The expense involved in statistical information collection in rural areas leads to the use of questionnaires with little opportunity to gather unanticipated information from recipients or for bridging 'discourse gaps'. Therefore the adoption of a 'case study approach' was decided in advance by the project to allow specific, rich examples of poor people's livelihoods and their experiences and perceptions of service provision to emerge. This involved repeated engagement with communities.</p>	<p>A <i>champion of change</i> with a pro-poor focus (see 1 and 5 above) will again need to adopt a <i>leading</i> role as <i>driver</i>, <i>strategic planner</i> and then <i>facilitator</i>, introducing new thinking about empowering less-heard voices and developing a strategic overview of issues and perspectives.</p> <p>This will be necessarily specific to a time and place and in the context of socio-cultural and institutional roles and expectations.</p> <p>Case studies may be an effective mechanism to illustrate complex interactions, and film and drama may be appropriate media to bridge 'discourse gaps' arising from hierarchies, literacy limitations, language differences, heavy workloads and tight schedules of farmers and fishers and also policy-makers.</p>

Table 6 Steps, Project and Generic Roles (continued)

Step (Guidance Only)	Project Roles	Implied Generic Roles
6. Empower less-heard voices (see Annex XI, p 13) and develop a strategic overview of issues and perspectives (continued)	<p><u>The selection process</u> The process of selection was purposive. Ideas for case studies (including issues, groups of stakeholders, organizations and agencies, methods and media) were elicited from recipients and implementers. Using the many ideas emerging, a further Planning Visit was organized involving fieldwork with potential case study partners. Based on the project's role of <i>donor</i> for six case studies, it was possible to play an <i>adjudicating</i> role on how representative various potential case study proposals were, during the commissioning process.</p> <p><u>The subject matter</u> The case studies selected would highlight:</p> <ul style="list-style-type: none"> • Jharkhand, Orissa and West Bengal states • Government and NGO service provision, as well as proactive individuals and groups from tribal villages without support. • Capacity within and between communities for collaboration, vision and practical commitment as well as technical issues. • Some shortcomings of current service provision. • The role of farmer associations and the struggle to prevent resource capture by local elites. • People's experiences of association, extension processes and other goods and services provision in terms of mechanisms, processes and timeliness. • People's and service providers' perceptions of service provision and risk. • The role of aquaculture within livelihoods, including a role in supporting other development needs. <p><u>Use of different media</u> In order to bridge 'discourse gaps', creative use was made of film documentaries, PowerPoint presentations, photographs and drama. Film and drama are useful media to feed back to communities in villages (with low and gender-differentiated literacy rates), the messages that have emerged from the process and which are being shared with policy-makers (in Delhi), as well as being popular and entertaining. Film and drama are also useful media to clearly represent recipients' points in forms that can be succinct and accessible yet present sufficient detail to describe policy influences on complex livelihoods portfolios.</p>	

Table 6 Steps, Project and Generic Roles (continued)

Step (Guidance Only)	Project Roles	Implied Generic Roles
7. Prioritize policy change proposals	<p>The process outlined in 6 above gave rise to many recommendations for change.</p> <p>A prioritization tool was used (see Annex VIII) to collapse the many recommendations into a smaller more manageable subset of priority recommendations. The right group to do this was policy developers and implementers. As well as prioritizing the recommendations, the process would be a mechanism to engage other state- and national-level policy actors with the process so far implemented with recipients and service providers. This in turn would give them ownership of recommendations to be put to senior policy-makers. The project played <i>orchestration</i> and <i>facilitation</i> roles within the prioritization process. Policy actors were actively encouraged to take part in the process by Government Circular from the Fisheries Commissioner in Delhi. The process was <i>mediated</i> so that all policy actors were made aware of each other's comments but were unable to attribute comments to a particular source (in this way the process was semi-anonymous) to avoid hierarchical bias.</p>	<p>A <i>coordinator</i> and <i>facilitator</i> role is required to manage, provide structure and permit anonymity of responses to a Consensus-building Process involving multiple policy actors in a range of different locations. This role would be taken by a senior stakeholder or outsider who could encourage participation in the iterative process.</p> <p>There is also an <i>analytical</i> role to add some rigor to the iterative process of building consensus. For details of the process used in R8100, see Annex VIII.</p>
8. Build shared understandings and sensitizing senior policy-makers to change priorities	<p>The term <i>facilitated advocacy</i> (Annex XI, p 12) was used to describe the role played by the project of "making it easier for people to speak for themselves". (Essentially an attempt to overcome one of the larger 'discourse gaps', that between poor farmers and fishers and policy-makers). This involved many meetings of stakeholder at village, state, regional and national levels, engagement with state- and national-level policy actors through an iterative consensus-building mechanism, the use of live drama and film, and short statements by representative fishers and farmers, implementers and state- and national-level policy actors. These mechanisms to support communication with central policy-makers in Delhi were used within a two-day workshop to build shared understandings and to sensitize senior policy-makers to change priorities originating from farmers, fishers, policy implementers and the project.</p> <p>Policy Review Workshop (Annex X) participants were <i>facilitated</i> to describe how they could contribute to appropriate policy change.</p>	<p>A <i>coordinator</i> and <i>facilitator</i> role is required to design and organize a policy review exercise where central-level policy-makers are sensitized to the livelihoods of policy recipients and their recommendations for change.</p> <p>This role would be taken by a senior stakeholder or outsider with a long involvement in the process who could facilitate participation in the Policy Review Workshop.</p> <p>The communication media developed for the process (e.g., film, PowerPoint, drama) need to be presented and the stakeholders represented before policy-makers where other stakeholders are encouraged to think about and discuss how they can commit to the change process.</p> <p>This is a highly specialized facilitation task requiring professional support (also see step 4).</p>
9. Internalize and reflect	Essentially this will be undertaken as part of a follow-on project to R8100, whereby steps 1-8 will be reconsidered.	Reassessment is required to add rigor to policy-making processes. Processes should be underpinned with vision and organization.

4. A Note on ‘Voicelessness’ and Transactional Costs

According to Dreze and Sen (2002), lack of voice of disadvantaged groups is a particular issue in Indian society and politics. For example, the interests of so-called scheduled tribes (8% of the population) have received extraordinarily little attention in Indian politics. Large sections of the population have limited opportunity to speak for themselves. The daily struggle for survival leaves them with little leisure to engage in political activity, and the effort to do so sometimes invites physical repression. Lack of formal education and access to information restricts their ability to intervene in public discussion and electoral debate or to make effective use of the media, the courts and other democratic institutions. These are the reasons underlying the current work.

However, as we consider the research learning that has gone on, legitimate questions arise about the costs for participants of transacting policy change and of ‘having a voice’ in policy change processes. Time has been given up to making films and attending meetings and workshops in various locations. This is time away from business, from jobs and from a range of activities associated with livelihoods and families. These are real costs not borne lightly by stakeholders.

The project underlined at the outset that travel and subsistence costs would always be covered but that substantial development assistance was not part of the proposed interaction, that it was an experiment in advocacy and the gains may be intangible or could be positive or even negative. As an example, the project presented case study partners with a STREAM T-shirt, saying this is the only tangible output that we can guarantee from association with the project. The response, apart from laughter, was often heartfelt. Key community motivators like Bhim Nayak and Ras Behari said that they work for change constantly and do not expect benefits to come easily. Bhim Nayak said he was willing to throw in his efforts with ours - and that “we would all see where things ended”.

There could be said to be three key ways out of voicelessness, one is especially tough and the other two grow only from trust and mutual respect, but are anyway undependable and all have potentially large transaction costs. The first is *assertion* (self-assertion) such as that practiced by Bhim Nayak – the tough one as characterised by Dreze and Sen (2002) above.

The second is *solidarity* (by outsiders, with people who are underprivileged) – some form of uncomfortable dependency upon people whose interests and commitments are in some way broadly linked, often temporally but who are better placed by virtue of their own privileges (e.g., formal education, access to media, economic resources, political connections), for example, Ashish Kumar, the FFDA CEO for Ranchi District, or even STREAM itself. Solidarity is undependable because the motivations of outsiders will always be different from concerned communities. The argument might go that, as we join forces against those who deprive Fulwar Toli fishers of voice, we contrive a vested interest by throwing in our professional credibility, about which we care, and play our hand with the fishers in support of them and our own (contrived) vested interests.

The third would be *assertion and solidarity*. Solidarity works best when the assertion element is quite strong, not representing others but supporting them to represent themselves, the *facilitated advocacy* of Haylor and Savage (2003). Although this is potentially the most effective, according to Dreze and Sen (2002), solidarity often coexists with significantly

different perspectives among concerned parties. As described in Annex XI, a significant lesson is the value of trust and mutual respect.

Clearly there may also be some immediate favorable changes to the livelihoods of some stakeholders associated with the transaction, representing local developmental impact. A number of these were highlighted in Annex XI. They include reduced transactional costs of interacting with service providers. For example, Deputy Directors and Assistant Directors of Fisheries as well as Fisheries Extension Workers have regularly visited case study communities during the project. Following on from this, this season one small pond has been leased to the fishers at Bundu block, in the name of case study partner Bhim Nayak. It is planned that, with the income from aquaculture, two further ponds will be leased from the government. Case study partners and workshop participants Bhim Nayak and Ras Behari have been sponsored by the Fisheries Department of Jharkhand to receive training from the ICAR Central Institute for Freshwater Aquaculture, bringing the potential for individual and community benefits.

As has been stressed in this report, STREAM and local (Indian) project partners variously acted as facilitators, advocates, drivers and so forth in the process of R8100 and this had a cost – the project budget. In the proposed follow-on work, one aim is to promote the internalization of this process by key national and state institutions in India. In this way, over the longer term, the costs of following a process for policy formulation similar to that of R8100 would become part of the operational costs of the organizations concerned.

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Appendix 1 R8100 Project Annexes

The following project reports are annexes to the Final Technical Report of R8100.

Annex I – Haylor G, Savage W and Tripathi S D 2002a *Inception Report*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex II – Haylor G, Savage W and Tripathi S D 2002b *Rural Aquaculture Service Recipients and Implementers Workshop*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex III – Haylor G, Savage W and Tripathi S D 2002c *Planning Visit*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex IV – Haylor G, Savage W and Tripathi S D 2002d *State-level Workshops*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex V – Haylor G, Savage W and Tripathi S D 2002e *Stakeholders Workshop*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex VI – Bulcock P, Haylor G, Savage W and Participants of Stakeholders Workshop 2003 *A Review of Lessons Learnt in Enabling People's Participation in Policy-making Processes*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex VII – Haylor G, Savage W and Tripathi S D 2003a *Case Studies*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex VIII – Haylor G, Savage W and Tripathi S D 2003b *Indicators of Progress, Consensus-building Process and Policy Recommendations*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex IX – Raman R 2003 *Mahajal – The Big Fishing Net*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex X – Haylor G, Savage W and Tripathi S D 2003c *Policy Review Workshop*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex XI – Haylor G and Savage W 2003a *Progress Towards Policy Change and Lessons Learnt*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Annex XII – Haylor G and Savage W 2003b *Research Learning and New Thinking*. Investigating Improved Policy on Aquaculture Service Provision to Poor People, DFID NRSP Research Project R8100.

Table 1 Conceptual Matrix for Developing Improved Policy on (Aquaculture) Service Provision to Poor People Based on the Experience of R8100

Understandings	Prerequisites			Step (guidance only)	Implications		
	Actors	Competencies and capacity-building	Relationship-building ¹⁰		Notes	Issues	Suggested actions, mechanisms, tools
Understand contemporary social and institutional circumstances (see Annex I, p 1 and p 12-13; Annex II; Annex III, p 2-12); Identify stakeholders (see Annex I, p 2 and p 11-14)	“Outsiders” who can sometimes see and act on change opportunities more easily than those close to the system (see Annex XI, p 13); “Community colleagues” (field specialists, government officials, Community Organizers, <i>jankars</i>)	Development Professionals with long experience of the field and stakeholders (see Understandings, Actors, and Relationship-building)	With key informants in sector and geographic location, and representatives of main stakeholder groups	1. Recognize timely opportunity for (policy) change	Policy research is likely to build on longer-term engagement and come towards the end of a suite of projects. It will draw heavily on relationships and involve careful facilitation of policy change processes which favor poor people.	Few initiatives are able to instigate policy change of sovereign governments. More usually this will be reactive, in response to an opportunity (see Annex I, p 11).	Seek support to investigate change opportunity (see R8100 proposal) Employ an inception period with fieldwork (see Annex II, p 15)
Understand the opportunity and negotiate with donor(s)	Flexible, development-oriented research team; Innovative donor willing to take risks	Good track record of research team to ameliorate risk (see Implications and Annex I, p 12)	With donors who have confidence in research team	2. Adopt a process approach	This kind of proposal acceptance is an act of faith. Outputs are likely only to be really valuable if the process has impact.	Throw away any blue-print. There is no <i>a priori</i> way to plan effective policy change. Must document and communicate the process carefully.	Make contacts and build credentials with communities, policy actors and donors A process approach implies frequent planning (Logframe) updates ¹¹
Understand and have access to a wide ranging literature	Researcher(s) with wide access to literature and other information	Research and analytical, writing and presentational skills; Development professionals and academics with long experience (see Annex XI, p 17)	Needs to relate to academic and development spheres (R8100 Reviewer comment)	3. Learn lessons from elsewhere (see Annex XI, p 14-15)	Increased information exchange reduces transactional costs of policy development Need to set ‘pro-poor policy’ development in the context of understanding complex livelihoods (see Annex XI, p 16-17)	Need to build on lessons from elsewhere Avoid reinvention, though remain innovative	Review literature (see Annex VI) including other sectors Consider case studies, participatory mechanisms and livelihoods analysis tools use in policy change processes

¹⁰ See Annex XI, p 11-13

¹¹ See R8100 proposal, original Logframe; Annex I, p 16-20, Revision 26.04.02; Annex V, p 32-37, Revision 10.02.03; Annex XI, p 2-4, Progress against the Logframe

Table 1 Conceptual Matrix for Developing Improved Policy on (Aquaculture) Service Provision to Poor People Based on the Experience of R8100 (continued)

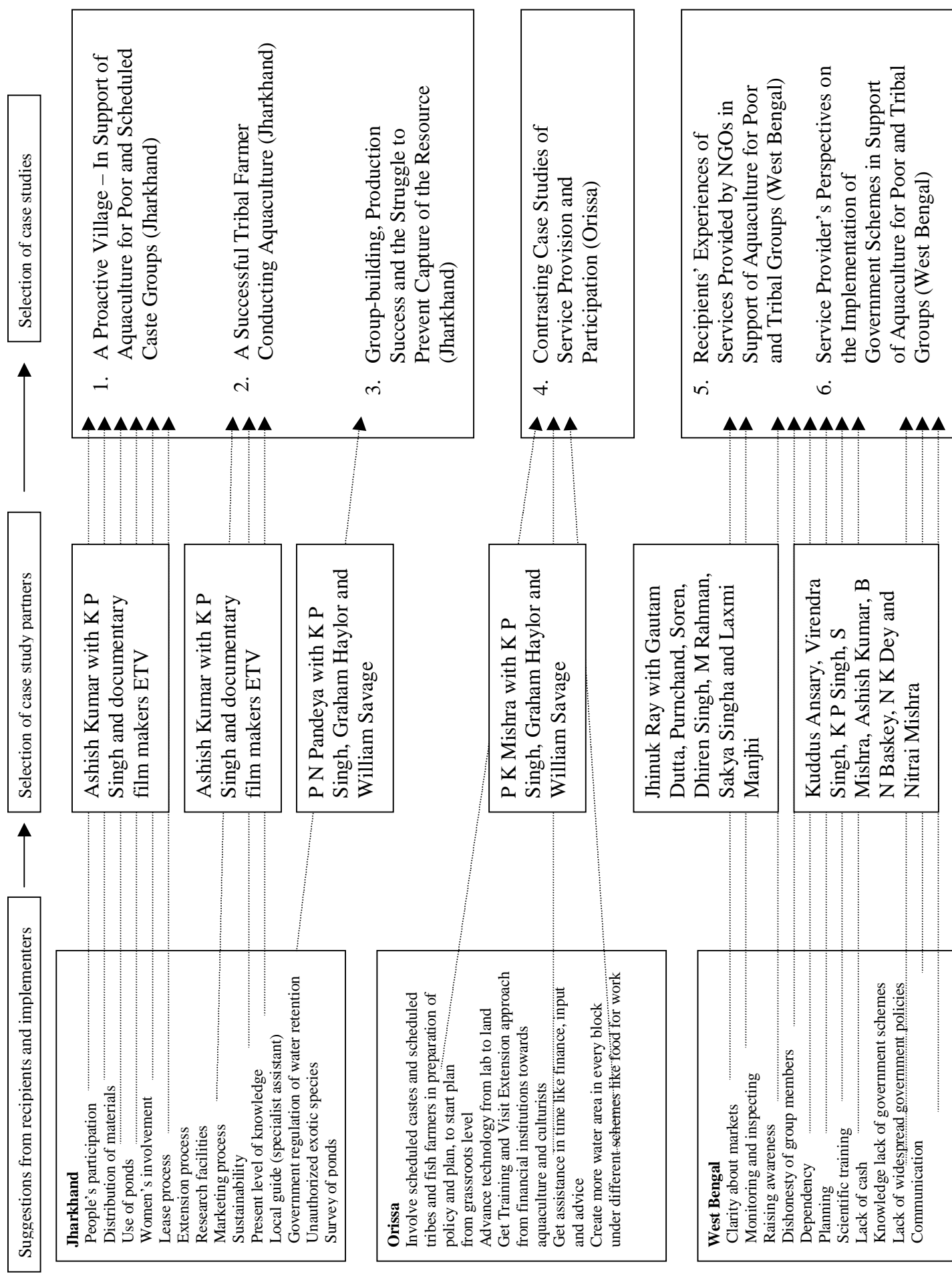
Prerequisites			Step (guidance only)		Implications	
Understandings	Actors	Competencies and capacity-building	Relationship-building	Notes	Issues	Suggested actions, mechanisms, tools
Understand language and communication constraints and opportunities, and perspectives of different stakeholders	Language specialist; Facilitator; Flexible, development-oriented research team	Language; Cross-cultural multi-lingual facilitation skills; Tolerance (see Annex XI, p 17-18)	Need to begin to relate different discourse communities (see Annex XI, p 11 and p 13)	The success of this step is key to the ethos of inclusion and participation, informing the development and adaptation of context specific tools (see Tools) and complex skill sets (see Competencies) for Step 6	Need to transcend hierarchical structures Need to empower recipients and implementers to contribute their critique of policy (see Annex II)	Engage with recipients and implementers (see Annex II, p 1) and policy actors (see Annex III, p 10-12)
Understand 'discourse gaps' and strategic overview of issues and perspectives; Negotiate with stakeholders	Poor people who are recipients of service provision; Government and NGO service providers; <i>Jankars</i> , Community Organizers and community leaders; State and national policy actors (see Annex I, p 2, Table 1); Development professionals; Facilitator(s)	Direction; Language and communications; Ability to engage with existing processes; Negotiating skills; Shared decision making; People-focused ¹²	Build shared understandings of expectations and roles (see Annex I, p 11; Annex XI, p 12), requires decision-makers from main stakeholder groups	'Discourse gaps' between poor people and policy-makers are at the root of much inappropriate policy. Negotiating a mechanism to facilitate communication is already likely to begin to impact on policy-making. There is a directing role here for informed outsiders who are well placed to see the gaps, possible mechanisms to overcome these and potential illustrative cases	Policy-makers and farmers and fishers live in different locations, social circumstances, belong to different discourse communities and probably do not share the same language. A number of illustrative cases may be conducted by available resources	Selecting case studies, selecting indicators of progress, negotiating process, engaging documentary makers, engaging a playwright and drama troupe ¹³ , and negotiating policy debate event(s) (see Annex III)

¹² Taking all steps as close as possible to fishers and farmers (see Annex XI, p 11)

¹³ Where culturally-extant drama is an appropriate mechanism for feeding back to communities. It is also useful for summarizing and demonstrating livelihoods contexts and the interaction of policy.

Table 1 Conceptual Matrix for Developing Improved Policy on (Aquaculture) Service Provision to Poor People Based on the Experience of R8100 (continued)

Understandings	Prerequisites			Step (guidance only)	Implications		
	Actors	Competencies and capacity-building	Relationship-building		Notes	Issues	Suggested actions, mechanisms, tools
Understand mechanisms for change	Language specialist; Facilitator; Flexible, development-oriented research team; Documentary filmmaker(s); Case study documenters; Playwright and drama troupe; Media specialists	Language; Behavioral change (see Annex XI, p. 15); Cross-cultural multi-lingual facilitation skills; Tolerance (see Annex XI, p 17-18); Strategic planning; Negotiating; Sharing understanding (see Annex XI, p 13)	Further development of trust and satisfaction of expectations of inclusion especially among case study partners	6. Empower less-heard voices (see Annex XI, p 13) and develop a strategic overview of issues and perspectives	'Facilitated advocacy' (see Annex XI, p 12) including context-specific case studies as film documentaries and slide shows (Power Point presentations) can be employed to empower less-heard voices and develop an overview of issues (See Actions)	Feedback on case studies and discussion of indicators of progress from as wide an array of stakeholders as possible is important in building and capturing shared understanding of issues and perspectives	Case studies (see Annex XI, p 17) State-level Workshops (see Annex IV) Stakeholders Workshop (see Annex V)
Understand a strategic overview of issues and perspectives	Language specialist(s); Facilitator(s); Flexible, development-oriented research team	See above	Need to manage interactions between sometimes disparate but hierarchical policy-makers	7. Prioritize policy change proposals	There are 'discourse gaps' within government hierarchies and tools are needed to transcend hierarchical barriers to prioritizing change proposals	Sharing information within a group, but moderating interactions so that individual authorship is unknown, can help to mediate consensus	Space for non-hierarchical debate Consensus-building tools (see Annex VII, p 10-17) Behavioral change (see Annex XI, p 15)
Understand stakeholder perspectives and policy-makers' priorities	Senior policy actors; Stakeholder representatives; Drama troupe; Media specialists; Language specialist(s); Facilitator(s); Flexible, development-oriented research team	See above	Process finally builds understanding among different discourse communities through <i>facilitated advocacy</i> and meetings of stakeholder representatives	8. Build shared understandings and sensitize senior policy-makers to change priorities	Bringing together state and national policy-makers, implementers and recipients of services to review policy. Complex issues play out literally in a live specially-commissioned drama performed for policy-makers who are requested to describe how they can contribute to appropriate policy change.	Language and power-relations issues to be overcome and expectations met. Necessary to package information for different audiences and provide space in a workshop for commitments and agreement of policy change.	Policy Review Workshop (see Annex X) drama performed to illustrate issues of farmer and fishers and their livelihood, and the impacts of policy (see Annex IX) Feedback to communities also via drama performed in case study villages



Appendix 4

Table 4 Origins of Recommendation to “Encourage the Formation of Self-Selected Aquaculture Self-Help Groups Based on Common Interests among Farmers and Fishers”

Project Activities	Inception Report	Implementers and Recipients Workshop	Planning Visit	State-level Workshops	Stakeholders Workshop	Lessons Learnt	Indicators, Consensus-building and Recommendations	Policy Review Workshop
Stakeholders	R	Groups formed, development programs discussed, collective decisions Recipients have mobilized themselves Cooperatives need to be formed Participatory approach	Groups share organization and implementation of aquaculture Self-selected groups perform better	Increased awareness of rights Organization and encouragement of groups Selection through group discussion in village Selection of those interested in fish culture	There should be fishermen’s cooperatives Aquaculture should start with village groups			▲
	D-S		FFDA moving towards supporting groups	Need understanding of group rules and regulations	Groups without capacity to consult with government may need others to assist	Priority 9		

R = Recipients, D-S = State Departments of Fisheries, G = GVT, P = Project, I = Government of India

Appendix 4 (continued)

Table 4 Origins of Recommendation to “Encourage the Formation of Self-Selected Aquaculture Self-Help Groups Based on Common Interests among Farmers and Fishers” (continued)

Project Activities	Inception Report	Implementers and Recipients Workshop	Planning Visit	State-level Workshops	Stakeholders Workshop	Lessons Learnt	Indicators, Consensus-building and Recommendations	Policy Review Workshop
Stakeholders	G	Through participatory approaches, development of social capital, farmers benefited from aquaculture Self-selecting , self-sustaining groups	Participation of women	Strengthening cohesive group Group dynamism enables unity and common vision Group norms for conflict management Group approach to Panchayat Marketing through cooperatives	If Aquaculture Self-Help Groups are strong, community can raise its voice against injustices Linkage between Aquaculture Self-Help Groups and Panchayat system	Through strong Aquaculture Self-Help Groups, people can articulate thinking to authorities		Group meetings and discussions, along with rules and regulations, lead to cohesiveness and accountability among members
	P	Encourage formation of Aquaculture Self-Help Groups						Self-Help Groups as a way of managing risk
	I						Priority 9	

R = Recipients, D-S = State Departments of Fisheries, G = GVT, P = Project, I = Government of India