Annex A

PROCESS DOCUMENTATION

Dr Sangeetha Purushothaman and Simone Purohit
Best Practices Foundation, Bangalore.

Chapter 1: Introduction

1.1. The Participatory Action Planning Project (PAPP)

The Participatory Action Planning Project or PAPP (R7959) constitutes participatory action plan development for natural resources management and livelihoods around the Hubli-Dharwad area, Karnataka, India. From 1996, DFID work on the peri urban interface (PUI) programme was funded through the Natural Resources Systems Programme (NRSP) of the Renewable Natural Resource Research Strategy, whose broad objectives are:

- Enhance and sustain the natural resource base

- Enhance the livelihoods of the poor

Towards these objectives PAPP aimed at developing participatory action plans in the Hubli Dharwad area.

1.1.1. The Peri Urban Interface

In developing countries where population pressure and resource scarcity is acutely felt, cities under these pressures are rapidly growing in population and territory. This constantly expanding periphery around a city constitutes the peri-urban interface (PUI). The PUI is not just a meeting point of the urban and the rural but is better conceptualized as a series of interactions between rural and urban areas characterized by flows of produce, finance, labour and services and by change, economic, sociological, institutional and environmental. Some livelihoods of inhabitants in the PUI depend on natural resources such as land for food, water and fuel, and space for living, which tend to be over exploited. Environmentally, the PUI represents an area where three systems are in constant interaction namely the natural resource system (forests and waterways), rural systems (agriculture) and urban systems. Three types of environmental changes in the PUI include changes in use of land, natural resources and in the generation of waste.

1.1.2. What PAPP Accomplished

While there have been a series of prior interventions, the most recent project, starting in February 2001, the Participatory Action Planning Project (PAPP), developed three action plans in Hubli-Dharwad area. This project identified local stakeholders for natural resource management and livelihood issues in the peri-urban interface, and formulated action plans which will now be implemented as pilot projects in the next phase of the PUI programme. Through a participatory planning process led by NGOs, the plans were evolved by not just the community, but through the participation of key institutions like the government, banks, university and academic institutions. The focus on women and the poor in the planning process improved their sense of ownership of the plans of action. Inclusion of other stakeholders especially policy makers and programme implementers increased their sensitivity to the needs and priorities of the poor and women.

1.2. Purpose of this annex

The purpose of this annex is to document the process by which participatory action plans were developed. In-depth process documentation was conducted to surface the lessons

learned, approaches taken, conflict resolution methods, and the inclusion of all stakeholders' concerns. A step by step account of all actions taken in the planning process also reveals approaches that did and did not work, the changes that took place throughout the planning process and the rationale for those changes.

1.3. Methodology

The methodology included documentation of events and activities. Interviews supplemented the documentation of events to get in-depth feedback on the consultation process from individual actors. Separate interviews were conducted with women and with lower caste or landless women to surface a gender, class and caste perspective which typically does not emerge in the presence of a mixed group. Interviews were also conducted with representatives of target institutions and with staff of all project partners. Consequently workshop reports and a final report was produced. Events documented included the following:

- Pre-workshop

- PRA exercises

- Initial diagnostic workshop

- Meeting of Key Institutions

- Meeting for finalization of two of the action plans

After each major meeting or workshop, a meeting report was provided totaling four brief reports, one final report and a paper entitled, *Participatory Action Planning Process In The Peri-Urban Interface: The Twin City Experience, Hubli-Dharwad, India* written jointly with IDS presented by Meera Halakatti at the DPU International Conference held in London in November 2001[1]. This annex summarizes all interim reports to present the consultative process, methodology, the range of action plans discussed for further work and an analysis of the action planning process.

Since the process required the production of dissemination tools two newsletters were published and a short promotional video was produced alongside capacity building exercises to train the team in video production, particularly story writing for a film.

A participatory process was followed for all documents produced including the newsletters, the video and also towards the final report, a review and analysis by the entire local team and separate interviews held with UK partners informed the final report.

1.4. The Scope of this annex

It provides a chronological description of events, the project activities initially planned and how these activities changed throughout the project. It reports on the project outcomes providing brief summaries of the action plans. Finally it provides a review and analysis of the entire project which was conducted through a participatory process with

---

[1] The conference, *Rural-Urban Encounters: Managing the Environment of the Peri-Urban Interface* was hosted by the Development Planning Unit, University College London, on 9-10 November 2001

the team. This review surfaced the key lessons learnt and provided the basis for the recommendations towards future implementation of similar projects.

Photography was an important element in documenting the process. Rather than split up this Annex, they have been collated into one section at the end of this report, and before the Appendices.

Chapter 2. Background

2.1. The Hubli-Dharwad Peri-Urban Interface

The twin cities of Hubli and Dharwad are situated in the Dharwad district of Karnataka state in the south of India. Hubli and Dharwad cities are located twenty kms apart and come under the jurisdiction of the Hubli Dharwad Muncipal Corporation situated in Dharwad. Dharwad is a university city with government headquartered here while Hubli is the commercial center.

The choice of Hubli-Dharwad as a site for the PUI research was appropriate because Hubli-Dharwad is a combination of two adjacent medium-sized cities with a rural area between and around them. This rural space is heavily influenced by the two cities and possess a great number of peri-urban characteristics namely rapidly changing land use patterns, new industry and new populations that seek employment in industry and so on.

The economy of Dharwad district is predominantly rural and agrarian in nature though the twin cities of Dharwad - Hubli is one of the major industrial centres. The district is endowed with natural resources with climatic conditions conducive for the development of various agricultural and industrial activities. Appendix 2.1 provides the basic features of this area and a map of location of Dharwad District.

Box 2.1

The Hubli-Dharwad peri-urban interface may be loosely characterised as the area comprised within the Hubli-Dharwad city region but outside the core urban area and encompassing the villages connected to Hubli and Dharwad by city bus services (University of Birmingham et al., 1998b). It includes five taluks around the city within Dharwad District: Dharwad, Hubli, Kalghatgi, Kundgol and Navalgund.

The peri-urban interface of Hubli Dharwad can be loosely geographically delimited as an area surrounding the twin cities within which urban bus services are extended thus distinguishing it from rural areas. The area can be characterized as undergoing changes due the growth of the twin cities and the increased connectivity with them. The peri-urban areas of Hubli Dharwad are represented by villages outside the twin cities which have experienced such changes. Furthermore the fact that Hubli and Dharwad have been brought within a municipal district has meant that the villages located in the area between the two cities have lost their rural character and have become peri-urban which is a unique feature of the structure of the Hubli Dharwad city region.

Robert Brook and Julio Dávila[2]

2.1.1. Issues in the PUI

Being close to the city, the production systems based on natural resources may not continue if agricultural land is bought up and put to urban use or use that feeds into urban needs, or may be temporarily neglected if people seek employment in cities and provided this land is left fallow.

---

[2] Robert Brook and Julio Dávila (editors) in *The Peri-Urban Interface: A Tale of two Cities*, Gwasg Ffrancon Printers, Gwynedd, Wales, UK 2000, p.13, 16.

Over exploitation of the natural resource base in the PUI leads to its degradation. This is accentuated through deforestation, over-grazing and 'mining' the soil of nutrients, pollution from urban wastes or extractive activities such as mining. Previous research on the Hubli-Dharwad PUI have provided more information on these factors and their consequences.

In addition, adequate institutional frameworks do not exist to provide checks and balances that might protect the environment and the poor. This refers to both the institutional arrangements and the policies and mechanisms that drive and check the processes of change in the PUI.

2.2. Processes that led up to PAPP

Before the PAPP project began in March 2001, several other processes have fed into the action planning process that deserve mention.

From 1995 to 2001, DFID funded research through the PUI program of NRSP. From 2001 on the shift to action began with the Participatory Action Planning Process (PAPP) Project (R7959).

In response to a worldwide concern about the effects of expanding cities on surrounding rural areas, especially in terms of degradation of the natural resource base and the resultant environmental degradation. In response to this, in 1995, DFID included for investigation the peri-urban interface within its Renewable Natural Resources Research Strategy. To identify a suitable site for this research, The South Asia Scoping Study (R6463) was conducted which along with Indian stakeholders, identified the Hubli-Dharwad twin city region as having the characteristics.

Several governments, including those of India and the UK, have expressed a commitment to poverty reduction or eradication. As a consequence, the research emphasis included a pro-poor agenda and the management of natural resources within this context.

Thus since 1997 research was undertaken under the NRSP Peri-urban Interface Production System in the Hubli-Dharwad area. The proposed project is a follow up to a previous projects to identify and fill critical gaps in knowledge, and is thus a response to an expression of demand at that level. In 1997, the NRSP research in the peri-urban interface system programme commenced in two medium sized city regions: Kumasi in Ghana and Hubli-Dharwad in India. A systems based approach was adopted to study effects of urbanisation upon natural, human and financial resource flows, to identify the main stakeholders, and develop ways in which natural resource management and agricultural production could be improved. Over the past five years, this research has generated a large volume of information and data with a Geographical Information System (GIS) interface for this area.

2.2.1. Environmental Planning and Management for Peri-Urban Interface (EPM)

The Department for International Development (DFID) of the British Government funded a Strategic Environmental Planning and Management (EPM) Project for Peri-Urban Interface (R7209), funded by IUDD. This project aims to identify key components and principles of a workable strategic approach to planning and managing environmental dimensions of the rural-urban interface which will benefit the poor. Production and

distribution of booklets and other means will be used to disseminate knowledge of this strategic approach to users. Dissemination initiatives will be particularly directed to overcome the difficulties of applying new knowledge experienced by institutions positioned to plan and manage rural-urban links.

The process by which the action plans were evolved at the village took the following trajectory. As part of the EPM project, on which the PAPP project has built on several steps, the following took place in select villages:

- Street play: To begin with as an entry point, a street play was conducted on the peri-urban issues discussing environmental and livelihood concerns of village communities in this area.

- Posters: This was supplemented by information distributed in the form of posters that supported the message given by the play.

- Training: IDS followed up with work done to train people using the posters as well as building on the play. The emphasis was to create a forum for dialogue on the peri-urban issues where people could discuss the issues particular to Mugad in light of the other interventions being conducted.

This is the backdrop to the processes that have mainly taken place in Mugad. However the street plays were later conducted in all five villages. In addition, information was gathered through another project (gap filling project) on these five villages.

2.2.2. Gap Filling Project (R7867)

Alongside PAPP ran a project to fill gaps in knowledge about the peri-urban interface around Hubli-Dharwad. It was intended to be a precursor, and the information should have fed into the PAPP process, but in the event it was necessary to commence PAPP early. The Gap Filling project characterized farming systems, livelihoods, land sales, and markets for agricultural produce within the peri-urban interface. Useful knowledge about livelihoods of the poor, markets and small scale dairy enterprises was found, which informed some aspects of the participatory planning process. The Gap Filling project also served as a point of entry into several villages which later were incorporated into PAPP.

2.3. The PAPP Project

In line with NRSP's overall goal of developing and promoting natural resource management strategies for the peri-urban areas that benefit the poor, the purpose of the PAPP project is *to formulate action plans which benefit the poor through extended interaction with principal stakeholders.*

Immediately following up on the PAPP is the project entitled *Enhancing Peri-urban Livelihoods and NR management in Mugad Cluster: Hubli-Dharwad*, beginning November 2001 where the action plans evolved in the PAPP are to be implemented followed by monitoring and assessment and institutionalization.

2.3.1. Activities Planned

The PAPP project was originally designed to carry out the following activities:

- Review of previous research on participatory action planning and research approach.

- Training of facilitators in conducting participatory action plan development groups.

- Project awareness raising exercises and preliminary issue diagnosis exercises in villages and target institutions.

- Initial workshop (bilingual) to be conducted with target institutions and PU stakeholders.

- Processes of interaction between different categories of stakeholders observed and analysed, particularly those factors that minimise tensions between interest groups, facilitate free exchange of ideas and opinions, help resolve disagreements and increase commitment to the action plan development process.

- Participants in pre-workshop exercises and in initial workshop diagnose NR management issues and their implications for the PU poor arising from change driven by urbanisation.

- Participants in workshop prioritise NR management issues identified in diagnostic stage, reducing them to three issues for further consideration. Research team observe and analyse differences in prioritisation by different groups.

- Working groups formed to meet over five months to develop plans of action to address issues identified and prioritised in initial workshop, and the processes and interactions observed, analysed and reported at mid-project and final workshops.

2.3.2. Activities that Took Place

Briefly all of the above with the exception of the last activity did take place. Working groups that were formed in the initial workshop did not sustain over the next five months for a variety of reasons that will be discussed in the report.

The activities that took place can be listed broadly as the following:

- Initial team meetings which oriented the team on the PAPP, planned the project activities and selected possible villages. Participatory techniques were discussed at this workshop.

- NGOs used their existing methods for conducting participatory rural appraisal and rapport building in the selected villages after going through a detailed process for village selection. UAS used the techniques they were trained in by the UK team to conduct PRA and build rapport in one village.

- A diagnostic workshop was held where issues were prioritized and the first action plans were created.

- Training was conducted on logframes with the team and a first action plan was created and submitted.

- Informal meetings continued throughout at the community level.

- A mid term review took place which assessed the accomplishments of the project, where some critical issues were raised and the project revised as a consequence.

- Meetings with the target institutions at district and state level ensued.

- Participatory logframe and creation of the second action plan took place in two villages.

- The local team created a district steering group with target institutions.

- State linkages through the watershed department were sought and are underway.

- The third action plan was created with a participatory logframe process

- Separate interviews with women held throughout helped change the plans.

- All events were documented and reported on.

2.3.3. Outputs

Through these activities, the PAPP project produced the following outputs of relevance[3]:

- The first constitutes pro-poor plans of action for management of natural resources and for enhancing livelihoods.

- The second output is a raised awareness among key institutions of the impact of urbanisation, what is a peri-urban interface and the related problems, what constitutes participatory action planning and a demonstration of the fact that the poor are clearly able to articulate their problems and formulate solutions that work for them.

- The third output is the current process document which surfaces a step by step account of the process and the lessons learnt from the project through a participatory team review and analysis.

Thus having a project which provides adequate time for the community to engage in iterative rounds of planning that ensures the inclusion of the most vulnerable in and of itself is a valuable exercise and contribution in terms of the lessons learnt from this project. It was found through these planning iterations that the initial plans formed did not work for the poorest or for women. Later rounds revealed that no one, not the women or landless, nor the team had any idea of what would in fact work for these groups. Thus a broad goal was included in the plans formulated that allowed a degree of flexibility wherein these groups capacities could be built for them to include their needs and solutions into the plans over time. Thus PAPP was designed to provide the flexibility for both formal and non formal mechanisms for planning and interaction that spanned a nine month period which was later extended to a year.

2.4. Partners in the PAPP Project

One important aspect of this project is the multi-institutional representation from both the public sector and from civil society. Also in accordance with the research action nature of this project, the team also represents an organizational mix of researchers and practitioners. The lead institution and research partner is the University of Agricultural Sciences. The other research partners include the UK universities and the Best Practices Foundation. The organizations that are involved in the action component include the NGOs such as BAIF Development Research Foundation and India Development Service (IDS) and the government agencies.

---

[3] These outputs will be discussed in greater depth in Chapter 13 of this annex.

University of Agricultural Sciences (UAS)

The PAP project is grounded in the UAS administratively and technically. The UAS is playing the main role of communication and administration locally among the NGOs, target institutions and in terms of coordination with the UK team. The UAS is also expected to play a major role in coordination of the entire project and will be the key research partner in the implementation phase across all action plans. UAS played a key role in the involvement of district level government institutions in the planning process. In all the main planning events, the UAS was instrumental in facilitating government involvement and organizing these events. In Kotur village the UAS helped the community engage in the planning process.

BAIF Development Research Foundation

As the NGO partner, BAIF mobilized people's active participation in the action planning process and is now expected to further facilitate their participation in the implementation phase in Gabbur and Channapur villages. Through conducting PRA and other rapport building exercises BAIF helped people identify and map resources, identify and prioritize issues and brain storm potential solutions. Finally one action plan was created through a participatory process and presented in parts to a larger audience at several forums held throughout the PAP project. BAIF has also organized eight self help groups (SHGs), of which seven are men's SHGs and one is a women's SHG. BAIF is expected to lend its expertise on water shed development, and agro-forestry in the implementation of the action plan.

India Development Service (IDS)

As another NGO partner, IDS also mobilized people's active participation in the action planning process in Mugad and a cluster of villages around Mugad. IDS has just entered the implementation phase in these villages. IDS has a long history in these villages and as a result is working with existing 16 sanghas, mostly female, and also creating new sanghas. PRA and other rapport building exercises were also conducted here to map resources, prioritize issues and brain storm potential solutions. The community here also presented these problems and possible solutions to key institutions both district and state in the PAP project. The Mugad action plan was the first to be created through a participatory process, the implementation of which has already begun . IDS is expected to lend its expertise in experimentation on income generation, joint forest management and social mobilization particularly with respect to women.

Best Practices Foundation

BPF conducted process documentation including recording and reporting on all major planning events. Furthermore BPF helped engender the PAPP process by surfacing women's perspectives and providing this feedback to all partners and finally by providing an on-going analysis of the factors that enhance and hinder the action planning process through a participatory process. The BPF through this final document is also providing an analysis and the lessons learnt to DFID and all project partners. Thus BPF observed, recorded and analysed the action plan formulation process in order to enhance the research team's understanding of appropriate mechanisms for fostering interactions,

creation of enabling environments for diagnosing issues, and identification and resolution of conflicts of interest.

The British Partners:

Funded by Department for International Department of the British Government, University of Wales, Bangor is the lead university with the University of Birmingham and the University College London acting as partners. The primary roles of the UK personnel was to coordinate the project internationally by being the bridge between international agencies and the local institutional team. They played the role of research partner in this process. They also took the knowledge from this project and recast it for an international audience through hosting a major international conference, thus giving the project international credibility. The key role of the British partners was to facilitate the entire process.

Community-Based Organizations (CBO)

Being a participatory process, the action plans were built with the active involvement of people. Here the CBOs (such as SHGs) play an important role in providing multiple perspectives to the plans and a broad based platform for both planning and for future implementation. Thus the involvement and organization of active CBOs through the planning process lends far greater credibility than simply having representatives of different sections of the community involved in planning. The CBOs thus were instrumental in defining the issues, creating the action plans and grounding these plans concretely in an enabling community-based institutional framework for both planning and implementation.

Key Institutions

Target institutions invited to participate in PAPP include the University of Agricultural Sciences to conduct research on behalf of Karnataka State and is the lead Indian collaborator. In addition bodies engaged in planning, provision of services, formulating local policy and implementing regulations include the Hubli Dharwad Municipal Corporation (HDMC), the Hubli Dharwad Urban Development Authority (HDUDA), the Dharwad Zilla Panchayat, Karnataka State Pollution Control Board, District Industrial Centre, District Irrigation Department, taluk and gram panchayats are involved in various capacities. Finally state institutions are also being informed about the PAPP and the Watershed Development Department is now actively participating in some villages of the project.

Chapter 3. Setting the Tone: The Planning Workshop

3.1. Purpose of the Planning Meeting

A planning meeting was held with the partner institutions on March 27-29, 2001 at the University of Agricultural Sciences (UAS) towards the objective of *creating an overall plan for the implementation of the Participatory Action Planning Process (PAPP) project*. The planning meeting included meetings with the team, which consisted of representatives from academia and researchers from the United Kingdom and India as well as field practitioners from NGOs and later on visits to the community (Photo 3.1).

Areas discussed by the team included:

- Background, history and objectives of the PAPP project

- Selection of villages

- The need for rapport building of the team and other stakeholders

- Situation analysis

- Future strategies for engagement of various stakeholders

- Components of an action plan that would need to be covered in the project

- Documentation and dissemination

- Type of follow up and consolidation required

This was the first time the team met and it was also the first orientation meeting on the PAPP project. The various projects that had already taken place in the Hubli Dharwad area were presented by the British team with some inputs from Dr. C. S. Hunshal, UAS who was involved in the peri-urban from the very beginning. Here the history, background and objectives were presented to the team.

The planning meeting also drew up a list of activities and a tentative schedule for the initial activities and the first major event that would take place with the larger group of stakeholders. The different organizational roles and responsibilities were outlined with respect to all the activities that needed to be conducted.

3.2. Creating an Action Plan

Adriana Allen, Development Planning Unit, University College London presented what constitutes an action plan, its components and the process through which the action plan would be first developed, submitted, and translated into final proposals was presented (Photo 3.2).

The action plan cycle follows certain stages.

Chart 3.1: The Action Plan Cycle[4]

```
                        ┌──────────────────┐
                        │   Engagement     │
                        └──────────────────┘
       ┌──────────────────┐              ┌──────────────────┐
       │ Institutionalisation │          │    Situation     │
       └──────────────────┘              │    Analysis      │
                    ┌────────────┐       └──────────────────┘
                    │ Action Plan│
                    └────────────┘
       ┌──────────────────┐              ┌──────────────────┐
       │   Monitoring     │              │  Definition of   │
       │   Assessment     │              │   Action Plan    │
       └──────────────────┘              └──────────────────┘
                   ┌──────────────────┐
                   │  Implementation  │
                   └──────────────────┘
```
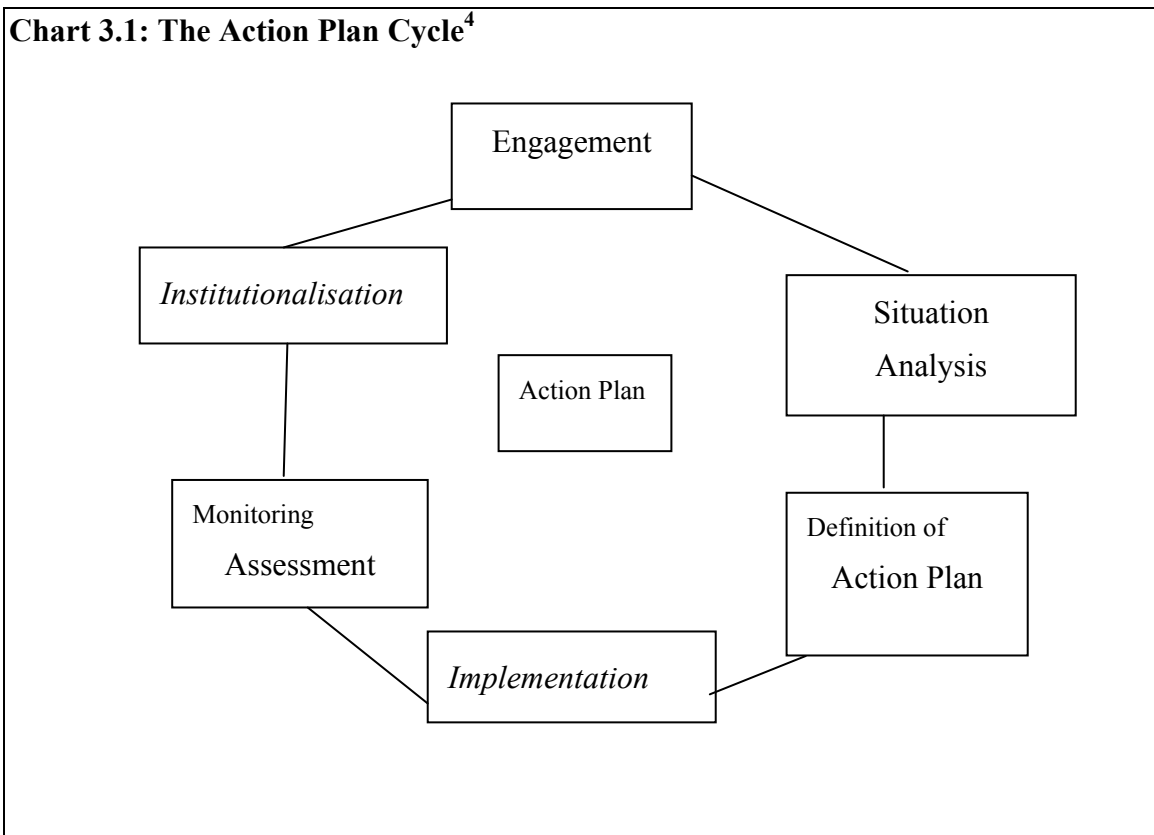
The first three phases of this cycle will be a part of the PAPP project:

3.2.1. Engagement

The process will begin with engagement of all stake holders, beginning with the community. The very first stage in the action planning process is for the team to build relations with the community and among themselves. Rapport building is long term on going process that to begin with constitutes earning the trust of people and motivating them to become a part of the process. Later these relationships need to be nurtured throughout where people continue to engage in the different stages of the planning cycle including in the implementation phase. Rapport building and ways of working together was seen as important at three levels, for project partners, the village community and target institutions. Potential conflicts between target institutions and the village communities need to be kept in mind. Transparency on what can and cannot be done in the project for the community needs to be ensured. See Appendix 3.1 for possible activities to build rapport.

3.2.2. Situation Analysis

The main purpose of situation analysis is to:

- To hold meetings within the villages and select representatives

---

[4] *Hubli-Dharwad Participatory Action Planning Project (PAPP), Research Framework And Methodological Notes*, Edited by Bianca Ambrose-Oji and David Gibbon, April 2001. R7959 Annex B.

- To have the representatives at the diagnostic workshop

- To get information needed for the creation of the three action plans

This should include both the village communities and target institutions. It is a stage where the stakeholders analyse their situation and where the required information for this analysis is gathered. Information to be gathered includes:

- What is the natural resource situation?

- Who are the poor and where are the poor?

- What are the relationships between villages and other organizations?

- What are the present livelihoods?

- What are the direct issues facing the poor?

See Appendix 3.2 for possible activities for situation analysis. NGOs tended to use tried and tested techniques in PAPP including PRA, sangha formation, exposure visits and existing methods for identifying the poor. New techniques tried by the team were problem and solution trees and participatory video.

Some underlying issues included:

- Try to link problems to natural resources and to livelihoods for the poor

- PUI issues may affect poor families who may not be the poorest

- Accept that the plan is a living thing and a working document

3.2.3. Defining an Action Plan

Here what constitutes an action plan, its components, what the action plan could include for PAPP, and methods for drafting an action plan were presented (See Appendix 3.3. for action plan components). The scope of the action plans were defined as:

- It has to be natural resource based

- It can include agriculture, horticulture, and water management strategies

- It can include livelihoods strategies linked to natural resources

- It can enhance market intelligence for farmers

A critical review and rethinking of the plans was seen as important to the whole process.

3.3. Selection of Villages

The selection of villages kept changing over the entire planning period.   Initial discussions took place in this meeting where selection criteria were drawn up (Photo 3.3).

3.3.1. Criteria for Village Selection

One concern was that PAPP should build on previous projects. Overall selection criteria at this stage was not based on issues but more on information gathered in previous work.

- Information available in each village

- Previous work done

- Characteristics of the village

- Existence of self help groups

- Potential linkages with target institutions

- Potential for scaling up

A matrix was then created which helped in the initial rounds of selection.

Table 3.1: Village Characteristics[5]

Criteria	Mugad	Kotur	Aminbhavi	Gokul	Pudkakatti	Gabbur[6]	Inamveerapur	Kelageri
Size	1200	500	1500	300	500	70	125	250
Information available	H	M	M	M	H (NR) M (Liv)	H/M	H/M	H/M
Previous work	H (IDS) EPM	M EPM	H EPM	M EPM	L/M	L/M BAIF	H BAIF	L/M (IDS)
Soil	Red	Red	Black	Red	Black	Black/ Red	Black/Red	Black/ Red
Distance (kms)[7]	9	10	8	7	10	1	11	0
Other		Low labour	Diverse crops	Milk prod.	Vegetable Prod.	Sewage irrigation	Sewage irrigation	Milk prod.
Existence of SHGs	H	L	L/M	L/M	L	None	H	None
Women's groups	Men and women	Some	Some	some			Men and women	
Potential for scaling up	H	L	H	M	H	L	H	M
Government	PRI	PRI	PRI	HDMC	PRI	HDMC	PRI	HDMC
Potential Links with Target Institutions	Forestry Agriculture Banks UAS DRDS	Forestry Agriculture Banks UAS DRDS	Forestry Agriculture Banks UAS DRDS		Forestry Agriculture Banks UAS DRDS		Forestry Agriculture Banks UAS DRDS	

Note: H, M, L is a scale of high, medium or low.

---

[5] Abbreviations used In Table 3.1.
PRI: Panchayati Raj Institutions or the three tiered system for rural governance.
HDMC: Hubli Dharwad Muncipal Corporation.
DRDS: District Rural Development Schemes
[6] Gabbur here refers to old Gabbur
[7] Distances are from the edge of the city.

Each action plan could revolve around common themes across villages. Working with clusters of villages at the action plan implementation stage, as it addresses dissemination, impact and scaling up. Women should be involved in the formulation of the action plans

3.3.2. Field Visits to Make the Final Selection

Field visits were conducted by the entire team and later by the NGOs to finalize village selection (Photo 3.4). The original concept was that the NGOs would work in the villages and that UAS would work across the board. Later it was decided that:

- IDS would work with Mugad and Kelageri villages.

- BAIF would work with Channapur and Inamveerapur

- UAS would work with Kotur

3.3.3. Processes for Final Village Selection

Institutional processes to make a final selection varied across institution and over time.

UAS began work in Kotur after this planning meeting. By February 2002 it was decided that the UAS would play the role of a research partner and the village level work would be done by IDS. UAS would be the main institution through which the project is grounded administratively and in terms of research for all the villages.

BAIF went through a much longer process of village selection. Two villages Gabbur and Inamveerapur from the Gap Filling project (R7867) were provisionally selected for BAIF to work in PAPP. BAIF staff then visited these villages and held detailed discussions with the community. Based on the field visits the team felt that there are no major issues in these villages related to natural resources, which could be addressed under the project. For instance, in Gabbur the options are to treat the sewage water or discourage the villagers from using the sewage water for irrigation, both of which are difficult to implement and obtain the cooperation of villagers. So it was decided to select two other villages for the PAP Project. BAIF team then visited and screened many villages (Gangiwal, Budarshingi, Raynal, Katnur, Giriyal, Chavargudda, Budihal, Ajjapur, Channapur etc.) and selected Channapur and Chavargudda villages. Later, the UK team also visited these latter two villages and had discussions with the villagers. The team was satisfied and it was decided to continue with these villages. Discussions between BAIF and local partners surfaced that as both villages are on the periphery of the peri urban interface, there will not be representation of issues from villages very near to the city. Based on this, Chavargudda was dropped and Gabbur included again. Thus Gabbur (which is near the city and almost a part of it) and Channapur (12 km from Hubli) were finally selected.

IDS too went through a long process for village selection. Initially Mugad and Kelageri were selected and IDS began intensive work here until the action plans were finalized. At this point they decided to withdraw from Kelageri because they found it too difficult to continue work there. For one it was too big. Second IDS found it hard to organize people due to the constant influx from cities created a pattern of patron-client type of relationships where the concept of self help was not valued. People were conditioned to believe that the government or other institutions should do everything for them. Third, the problems of Kelageri regarding natural resources was around silting and pollution of

the lake because sewage flows into the lake. The lake however belongs to the UAS, transferred from the local government when Kelageri's governance systems shifted from the Panchayati Raj Institutions (rural governance institutional mechanisms) to HDMC. Thus any decisions on the lake could not be taken without UAS consent and HDMC would have to facilitate changes here. Thus Kelageri issues will have to be tackled by HDMC and UAS where the community had little or no say. So finally when the action plan was written up Kelageri was dropped. In its place IDS selected Daddikamalapur and Mandihal villages, geographically considered to be part of the Mugad cluster of villages.

Finally, villages in which institutions would work included:

- IDS in Mugad, Daddikamalapur and Mandihal villages and also in Kotur

- BAIF would work in Channapur and Gabbur

- UAS would act as the research partner in all the villages.

3.4. Expected Outputs, Activities and Institutional Responsibilities

Research Outputs

- Transferability of learning to other projects through process documentation

- Three action plans

The role of UAS would be to coordinate communication on the project between the UK and Indian partners. The UAS would orient target institutions and bring them into the project.

The Best Practices Foundation was designated as primarily responsible for:

- Process documenting which includes problems, strategies and outcomes (what worked, what did not work, attitudinal changes)

- Production of newsletters

- Interaction of stakeholders (inclusiveness)

- Disaggregated views of stake holders (especially gender)

- Standardised reporting

All institutions would be involved in creating the action plans. For a detailed list of activities to be undertaken see Appendix 3.4.

3.5.Overview of the Planning Meeting

Thus the planning meeting set the tone for all institutions on what were the expectations in terms of outputs, activities and roles and responsibilities. Through this meeting the following was achieved:

- Orientation: The team was introduced to each other and to the PAPP project and the concept of the peri-urban interface.

- Village Selection: towards starting the work a first round of village selection was conducted through setting criteria and field visits.

- <u>Training on Tools</u>**:** the UK team provided the Indian institutions a description of various tools and techniques that could be used for participatory planning.

- <u>A blueprint for implementing PAPP:</u> was created which served a broad guide to define activities, events, timing of the same, institutional roles and responsibilities and expected outputs.

Chapter 4: Rapport Building

Immediately after the planning workshop UAS, IDS and BAIF, began work in the villages. The initial work required getting acquainted and building rapport with the communities, familiarizing the communities with PAPP, raising awareness on issues related to natural resource management and livelihoods and finally gathering information about the villages. This work took place during March-May, 2001. What follows is a description of this stage of the project and the activities that took place during this period.

The methodology to document this stage was on-going interviews with each organization to track the process and documenting work reported in larger team meetings, by each organization. Finally organizations communicated by mail and reported back in response to detailed queries on this process. These results have been summarized and presented.

4.1. Entering a Village

The first phase of any project is to get to know the people and the situation in each village. The initial months spent by the organisation building rapport with the community are extremely important. Many villagers were suspicious. Both IDS and BAIF placed one each staff in the village.[8] Staff staying in a village offers several advantages:

- They become a part of the community and the village inhabitants accept them as part of their community. Instead of being 'outsiders' coming into the village they become 'insiders' for the period of time they are assigned to the project. Many of them also bring their families with them which helps them to build a stronger base and identify more with the village.

- Living in a village gives the staff a first hand experience of the conditions and problems faced by that village. Most problems faced by the community are also experienced by the staff. They are as affected by the lack of amenities or pollution or natural resource degradation and so forth as any other inhabitant.

- The other important aspect is the nature and frequency of interaction is better. Often women do not have time during the day and are free only late at night. Also when organizers visit a village they typically can only meet the people who are available during their visits. This group that is free is rarely the poor or the most vulnerable. Therefore having organizers live in the village allows the poor or marginalized groups to interact with organizers on their terms at times convenient to them.

- If a problem were to arise at any point in time, the staff is present around the clock in the village to respond immediately.

4.2. Rapport Building

Without first building trust and relationships with the members of a community, a project cannot take off. Therefore, to build rapport various approaches were used including ice breakers like the street plays (Photos 4.1 and 4.5), distributing pamphlets and posters and conducting exposure visits.

---

[8] Basically one staff person can work with about 500 households and therefore for a large village such as Mugad with 1,200 households more staff is required.

Rapport building does not end at any given moment. Right through a project, efforts continue to keep trust, momentum and interest alive. Thus, rapport building is a continuous process where relationships are constantly evolving (Photo 4.4).

Table 4.1: Initial Meetings held in the Villages

	Mugad	Kelageri	Kotur	Channapur	Gabbur
Organization	IDS	IDS	UAS	BAIF	BAIF
Meetings	Ongoing	4	ongoing	7	11
Street plays	5 March 2001	31 March 2001	18 April 2001	29 April 2001 evening	30 April 2001
Exposure Visits	None	None	23 July 2001	29 April 2001 all day	28 May 2001

Institutions used different ways to build rapport with the community. Detailed reports submitted by the three organizations have been included as appendices 4.1, 4.2 and 4.3. on the number of meetings held and place and content of these meetings for the period from March to September, 2001 including this phase.

4.2.1. BAIF Process

After a series of visits to various villages BAIF decided to work in Channapur. Through community meetings, collecting information, conducting a livestock survey for the gap-filling project, and rapport building for PAPP, BAIF came to know that another NGO, Bharatiya Grameena Seva Samsthe (BGSS), was already working in the village. BGSS was organising the poor and had formed 10 SHGs already. BGSS staff, on discovering BAIF's plan to begin work in this village contacted BAIF and objected to its entry. To sort out this problem BAIF had meetings with the coordinator and staff of BGSS on 16 April 2001 and with its Chairman, members of managing committee and staff of BGSS on 21 April 2001. The pros and cons of BAIF's entry in the village were discussed in detail. BGSS staff felt that BAIF being a large NGO with well qualified manpower, big projects with a lot of material input would attract villagers and consequently BGSS activities would fail. This type of material benefits may break the existing groups of BGSS whose members would join BAIF's programme. This would also create the perception among villagers that BGSS is a useless NGO without material support. They further felt that BAIF will start expanding and thus this perception of BGSS would go beyond Channapur to all BGSS villages. This will result in loss of BGSS's base in the villages, adversely affecting its reputation. There will be no support for BGSS in these villages, no work for them and a day will come when BGSS will have to withdraw or close.

BAIF dealt with these concerns by explaining the project and activities to BGSS and responded to BGSS objections as follows:

- The present project is only a research project, and there will be no material input in this project. Action plans will be developed using participatory techniques.

- BGSS can introduce BAIF and taking credit for bringing them to the village.

- PAPP will initiate many new, advanced methods giving BGSS an opportunity to learn from BAIF's expertise, the project and by participating in PAPP activities.

- BAIF will train BGSS staff in PRA techniques.

- BGSS will get an opportunity to interact with UK collaborators and funding agencies.

- BGSS can also participate in bidding process for the implementation of action plans developed under the present project[9]. It will be an added advantage for them in implementing the project as they will be part of the action plan development process.

After detailed discussions it was decided that:

- BAIF can work in the village but BGSS will introduce BAIF to the villagers.

- BAIF will involve BGSS in all activities of the project in the village.

- BAIF should indicate to the villagers that they have come only on request of BGSS.

- BAIF should not do anything, which will effect the base and reputation of BGSS.

- BAIF will provide all opportunities to BGSS staff in learning new things from know how and expertise available with them.

- BGSS will provide all possible cooperation to BAIF in implementing the project.

- In the event of BAIF getting the project for implementation of action plans, BGSS should also be consulted in implementing the project.

After reaching this understanding, Channapur was finally selected on 20 April 2001. Thus BAIF could not place its staff here until this point. After this BAIF personnel, Bulla was hired to live in Gabbur to work on PAPP and the work in Channapur began. BAIF began with informal visits, followed by a large meeting with the Gram Samanvay Samiti, a separate unit working on women's issues. BAIF usually conducts an exposure trip to establish trust and legitimacy of its work. They took people from Gabbur and Channapur to Surshettykoppa, where they have been working for over four years. A fuller report of initial BAIF activities is presented in Appendix 4.1.

4.2.2. The UAS Process

A full report is appended in Appendix 4.2. UAS began in Kotur by approaching panchayat members and by identifying key informants. They explained project objectives and purpose of their visits to villagers at length. In informal discussions they were warned that people of Kotur would not cooperate. In the beginning there was resistance and when people were told that UAS was not giving them anything in PAPP, they went away. They felt UAS was only collecting information from them.

As per the suggestion of the Gram Panchayat[10] a street play was organized. UAS used the street play as an entry point. The street play was held on 18 April. The village people were not willing to talk only about their problems, they wanted to know what UAS was

---

[9] Initially there was an understanding that all the Indian organizations would bid for DFID projects but later that was changed from DFID's end.
[10] Village council.

going to give them. After the street play, things were smoother as they understood the project. About 2000 people attended the play.

The EMP posters were pasted before the street play all over the village. Children read the posters and told us of the mistakes in the posters. A village fair was organized independently at this time where men, women and youth were visiting the temple. UAS used this opportunity to build rapport with the villagers, contacting the people in front of the temple to discuss issues related to natural resources.

UAS met some women but they did not talk about natural resource management and wanted the UAS to repair houses (Photo 4.3). They spoke to a group of carpenters who said that if they got wood they could make office furniture. The artisans can form sanghas. UAS also met the youth who said they were facing lots of problems and asked what UAS would do about it. UAS told them about the project and about the participatory action plans. The youth focused on the issue of water saying UAS should help organize their tanks. They have eight ponds in the village which are now dry and as a result they can only grow one crop which they wanted to increase to two crops. Earlier agriculture was good, now due to the factories there is a shortage of labour. They used to have good yields but now despite using chemical fertilizers they do not get good yields. Now even with good manure they do not get good yields.

UAS experienced resistance from the farmers. They challenged UAS on their capacity to organize people, said the people are not good and are disorganized. According to them, *"Even if you repair the tank they will take the stones away."*

UAS used the PRA exercises to build rapport with the villages, along with participatory video techniques. UAS followed up with focus group discussions to get streetwise problems and used the Delphi techniques to prioritize them. Through wealth ranking UAS got everyone to decide who is poor. UAS then decided to go ahead with the situation analysis as they felt rapport had been built.

They took people on an exposure visit to Surashettykoppa after which people decided to form SHGs in Kotur. At meetings they made sure that they had two representatives from every income group to provide a fair representation. However in this process the elites tended to take over the process and it became difficult, despite UAS's continuous efforts to have women and landless present at meetings, to get them to participate.

4.2.3.The IDS Process:

In Mugad IDS's approach was completely different from both BAIF and UAS and from their own approach in Kelageri. According to IDS, *"We knew Mugad because we have worked with SHGs there."* Mr Pawadshetty, the IDS community worker assigned to PAPP, already lived in Mugad. With a ten-year presence in Mugad, IDS already had other personnel whose families live in Mugad. IDS began by contacting the existing self help groups in Mugad and working with them to identify problems, opportunities and solutions.

In Kelageri more effort had to be made as there was no history and it is a big village very close to the city. Mr. Pawadshetty conducted at least five meetings in Mugad and five in Kelageri village (Photo 4.4). In Mugad with about 50-60 people representing the SHGs, farmers, potters and the fishermen were present in the meetings. After these meetings,

there were many individual house visits to build awareness on PAPP in Mugad and Kelageri villages.

IDS felt that audio visuals would be useful. A few people despite living in Mugad had not seen the tank and wanted to know about the weed. The big farmers due to their connections to the forest department were cutting the trees for firewood. The poor cut only the bushes for firewood. Therefore people felt that it was best to take photos to expose the issues to other people, scientists and all stakeholders. This was true for brick-making where people in the cities who are also stake holders should be shown these photos to raise their awareness on these issues. Therefore IDS brought in a professional photographer and people from both communities guided the photographer on what photos to take. These photos were mounted on paper and given captions. These were then used in different meetings to raise awareness on the issues. The photos were also given to the SHGs who were told to discuss them in their meetings and pass the photos on to the next SHG. Having used this technique in past projects, IDS felt that its use resulted in an easier transmission of awareness, "*The people can easily understand.*"

These meetings exposed the problems and identified the representatives for the diagnostic workshop. "*In two and a half months we cannot build rapport. They should feel that we are a part of them only then rapport is built. In Mugad we have been working for the past 15 years and even then we are having trouble*". This shows how rapport building is a continuous process. Since staff lived in Mugad the meeting time was hard to estimate as practically every day people were in touch with IDS staff.

Street plays were held in Mugad as part of an earlier project (the EPM project) not as entry level activities as in the case of other villages but to raise awareness on natural resource management issues. The street play also was held in Kelageri (Photo 4.5).

Exposure visits did not take place in Mugad. Exposure visits first took place in BAIF as it is seen as an intrinsic part of BAIF processes. UAS had never conducted exposure visits and did so in Kotur much later after they learnt about the value of such a technique through PAPP. IDS felt that there was already a long history of work and trust in Mugad and therefore there was nothing new to demonstrate at this stage nor was any motivation required. For Kelageri however the situation was different. Initially community members from Kelageri kept asking the question *what are you going to give us*. IDS felt that this attitude needed to be changed and could not be encouraged in any sense. Therefore exposure visits would have to be to villages where IDS projects had provided no resource inputs to prevent similar expectations here. So in May 2001, people from Kelageri were taken for an exposure visit to the newly formed sanghas in Mugad.

After the planning workshop, all organizations interacted with the village communities using PRA exercises and group discussions. PRA exercises provided an overview of the village, the conditions, resources, problems and opportunities for change.

4.3. Lessons Learnt

- The most important part of building rapport between an NGO and the community requires that a staff person live in that village.

- Ratio of staff to a village depends on the population size. If it exceeds 500 households then a single staff person cannot manage the work in that village.

- Entry point into a village is important as newcomers are often approached by the elite in a village making it difficult to reach the poor. Street plays are good for building awareness but not for building relationships. Relationships need to be built specifically with the poor, based on being able to identify the poor are and where they are located. Identifying the poor in and of itself is a difficult process and both NGOs, IDS and BAIF have developed their own ways of identifying the poor. These methods have been evolved after a long process of trial and error.

- With UAS, the entry point was through the use of the technique of key informants. This ended up with them building rapport with the panchayat and landed and not being able to clearly work with **only** the poor and landless. Thus the elite dominated the Kotur process and the main issue in Kotur at this stage was water for irrigation which was primarily going to benefit the landed. This strategy would not directly help the landless except through increased employment.

- Exposure visits are extremely useful as motivational tools, for building trust and establishing organizational credibility and are essential. There was no funding for exposure visits with R7959 and organizations thus found other funds to conduct these visits.

- While the team was involved in initial village selection processes, BAIF went through an extended process for final village selection based on many factors. These included the levels of poverty, BAIF's capacity to intervene on natural resources and on BGSS's allowing them to enter. The choice of both Gabbur and Channapur allowed for interventions to be planned for dairy enterprises. The issues that emerged initially tended to be limited to dairy with some agro-forestry planned.

- In village selection, one factor that needs to be thought through is the presence of another NGO. This can result in not being able to work at all in the concerned village or simply a delay in starting work as rapport building has to include building trust with the NGO, not just the community. Furthermore the ideology and techniques used to organize groups could be radically different and the underlying philosophies of both organizations could clash which BAIF found later to be an impediment. Thus while selecting villages one criteria to be kept in mind is the prior presence of an NGO and compatibility with that NGO's goals and philosophy.

- For IDS, the choice of two big villages, Kelageri and Mugad, with a total population of 2,500 households, did not allow the one staff assigned to handle the work in both villages.

- In Kelageri because of a more urban character and its history of patron client type relationships, staff needed more time and effort which one staff could not do in a large village.

- Through these initial months interviews with women in Mugad for other projects surfaced the fact that women's issues were different and not so easily addressed and that there was the need to conduct separate interviews with women in all the villages to generate a gender perspective.

Chapter 5: Participatory Rural Appraisal (PRA)

For any project, baseline data, both quantitative and qualitative, is required. There are various methods to collect such data, full or sample surveys, focus groups, census and other secondary data and so on. But most of these methods only collect quantitative data and while they may involve some participation of the people they are not necessarily participatory nor do they build the ownership of people over the information. Using traditional survey and other techniques is laborious, time consuming, costly and needs a lot of manpower. Since both qualitative and quantitative information is needed a more participatory and broader process for data collection has been devised in the form of PRA exercises.

These exercises provide information from the people's perspective, as it is a completely participatory process. Most importantly it helps people own their information.

One example of each organization conducting the Participatory Rural Appraisal exercises was documented both visually through photographs and interviews by BPF to understand the process (See Appendix 5.1, Photos 5.1 and 5.2). This information has been analysed and the analysis presented in Appendix 5.2. Thus the presentation of this information is largely visual in the form of photographs and the charts created by people presented in the Appendices to this chapter.

5.1. Why Participatory Rural Appraisal?

PRA exercises provided an overview of the village, conditions, resources, problems and opportunities for change. It provides the history of the village. PRA information provides a sense of the rhythms over a year experienced in a village, about employment availability, migration patterns, availability of resources, sickness, festivals, and so on. It provides key information on when an NGO could intervene and when people are available to participate in activities outside their other obligations.

The problems of a village can be viewed from a variety of perspectives including those of the community, NGOs, the poor, elite, women, men or government. When perspectives differ, the understanding of problems also differ. Information from all stakeholders provides a more complete understanding. One prerequisite for these exercises is building rapport with the village community. Thus the objective of the PRA exercise is for the people to understand their problems and own their ideas. This is especially done for livelihoods where people list their livelihoods and this is seen as an area which can be enhanced.

This method of collecting information is useful, authentic, quick and far less expensive than traditional surveys. It not only gives information but is a tool which involves people's participation in the project from its inception. It helps people identify their issues, prioritize them and also identify possible solutions. Based on this information the project organiser understands interventions needed and possible activities. Most importantly it helps identify the poor.   It is only representative when people from different areas of a village are involved in the data collection process and often if a village is very large this becomes a logistical problem and PRAs may have to take place

over a few days to reach the entire village.   This took place over several days for Kotur, Mugad and Kelageri villages .

PRA information is also not representative of those who cannot be present at the PRA. Often when done during the day this may mean that the poor will not be able to attend. However it is an indicator of where the poor are located. PRA mapping exercises locates every household including those of the poor, which can often be ignored in traditional surveys (Photo 5.3).

This is followed up through other tools such as house to house surveys or visits at night to these areas to ensure that these are indeed the poor. Overall PRA is not only a data collection process but also a tool for appraisal of data, a planning tool for the future and a participatory tool that ensures the integration of people's perspectives into the process from the beginning.

There are some drawbacks to this process as the qualitative data can be good but the quantitative data are not perfect. However traditional survey methods would not provide the qualitative information, which is very important.

Participatory Rural Appraisal helps identify where the poor are located. The community itself names and locates those who are landless and those who are very poor in the PRA exercises. Though the government creates lists of people below the poverty line (BPL), in practice most of the landless and many of the poor are not on this list. Each NGO has its own way of identifying the poor including living in the village and getting to interact with all the village community members in an in-depth way.

5.2. PRA Techniques

The techniques used during the PRA included (Appendix 5.1):

- Social mapping
- Resource mapping
- Timeline
- Seasonality (Photo 5.4)
- Livelihoods
- Wealth ranking
- Venn diagrams
- Transect

Two other PRA techniques (problem and solutions trees or causal diagrams) were used later during the diagnostic workshop. Causal diagrams were also created in Kotur. (Photo 5.5).

5.3. Outcomes of the PRA: How This Information was used in PAPP

The PRA exercises represented the first main participatory event that took place in the PAPP where the people and institutions interacted on a mass scale. The process for conducting PRAs varied by institution. BAIF conducted PRA sessions over the course of a day. IDS took two days for the PRAs. UAS spread the PRA exercises over a longer period of time doing a single exercise each day with different groups.

- First and foremost the PRA exercises helped break the ice between the community and the organizations.

- In terms of livelihoods in Channapur and Gabbur, dairy was seen as an area which could be improved (Photo 5.6). In Kotur, industry was a major source of livelihoods and increasing access to water to enhance agricultural productivity was seen as another solution to improving livelihoods. In Mugad increasing access to the forests was seen as one way to improve the livelihoods of artisans and improving the tanks were seen as a way to improve the livelihoods of fishermen and farmers. In Kelageri, no clear link existed between enhancing natural resources to improve livelihoods at this stage. For all villages to improve livelihoods for women and the landless required that the team look beyond natural resource management towards alternative occupations.

- It provided baseline information in a range of areas that proved to be useful in the later stages of the project. To begin with for the NGOs it defines their target group which is the poor and helps them focus their initiatives almost completely on this group. For UAS it also identified the poor and through the wealth ranking it helped them select representation from both the elite and the poor for the project work. Wealth ranking in Kelageri failed as everyone claimed to be poor (Photo 5.7).

- The transect helped familiarize the institutions with the village.

- The inflow and outflow charts show people where they are spending the maximum money. Sometimes when aggregate figures are calculated such as the amount spent on alcohol for the village only then do people realise the amount being spent due to alcoholism.

- Organizers learn which institutions are important to village communities and which facilities as well through Venn diagrams. This is important information for policy and advocacy interventions (Photos 5.8, 5.9).

- Seasonality exercise provided information which shows when people need work and in which months economic interventions are useful. It also shows when people are free to go for training or attend meetings (Photo 5.10).

- It helped people own their ideas. Furthermore it helped them find out more about their village.

- Finally group discussions conducted with various sections of the community including men and women, castes/occupation groups provided an in-depth analysis of problems faced and helped identify representatives to present these problems at the diagnostic workshop. Here some issues emerged. For example in Kotur people identified industrialization and alcoholism as the main issues.

Overall PRA information was really not used to surface issues, nor was the focus of the PRA exercise to discuss issues primarily. It was used more to collect information about the village resources, institutions, inflows and outflows of goods consumed, produced and sold, and so on in a participatory manner. It was used as a first community collective gathering where people together owned their own resources and were able to see what their village had in terms of assets, produce, natural resources and so forth.

Focus group discussions and meetings held by the NGOs were used to discuss issues not the PRA exercises per se. The results of focus group discussions and meetings emerged in the diagnostic workshop where community representatives presented their issues. Meetings also took place on an on going manner right through PAPP where people were able to slowly identify, prioritize and articulate their issues and different groups were brought into the planning process through encouraging them to articulate their issues separately over time.

Chapter 6: Initial Formulations of the Action Plans

Preparatory meetings, PRA exercises, team meetings and formal workshops together provided a series of planning forums throughout PAPP for the village community to articulate their problems, issues and to brainstorm solutions. A formal workshop was organized where village representatives presented their issues to the government, the team and to each other. Before this workshop a series of preparatory meetings were organized by the institutions to select workshop representatives and to brainstorm with the community what issues they would like to present and prioritize.

Preparation for this workshop took various forms across the villages. In Mugad and Kelageri, the IDS community organizer Mr. Pawadshetty, went to various groups including men and women and held four meetings with them in Kelageri alone to prepare them to present to government. He was staying in Mugad and so constantly met the sangha representatives who were going to present at the workshop. In BAIF, women and men from Gabbur came to the BAIF office and went through a whole day of preparation to present their issues.

Documentation Methodology

BPF was present throughout the day as participant observer to the preparatory process for BAIF for Gabbur village and besides this went to Mugad and Kelageri villages with Pawadshetty, IDS to speak to representatives and interviewed Anusuya Patil in depth on the process followed by UAS in Kotur.

Besides this BPF recorded the proceedings and the diagnostic workshop. Team meetings with institutional representatives before and after the workshop were also documented. Here, institutions reviewed their preparation for the workshop and analysed the workshop presentations and made a team decision on which village would go forward for the first action plan. Once the selection of villages for the first action plan was complete, then the team went through training on the logical framework and also wrote up the logical framework for Mugad. The three institutions collected feedback on the planning process and the workshop from the village communities which they provided to BPF.

6.1. Village Preparation for the Diagnostic Workshop

The purpose of the diagnostic workshop was to create action plans and evolve natural resource management strategies. Towards these objectives, the following activities took place:

- People were consulted to discuss the issues they wished to present

- The team met for preparatory consultations to review progress and plan the workshop

- Community representatives presented the problems and situation in their villages.

- In-depth exercises with community, government and NGO representatives on the problems and solutions were conducted

Three action plans were tentatively worked on. It was decided to further develop one action plan for a cluster of villages around Mugad to be formally submitted to DFID at this point where the primary implementation agency would be IDS supported by UAS for

the research component. A participatory process involving all organizations in Dharwad created the final logframe for the Mugad action plan, based on which a proposal was submitted to DFID. Issues to be raised at the diagnostic workshop are presented in Appendix 6.1.

6.1.1. Meetings with Village Representatives in Preparation for the Workshop

Each village provided information on issues they would like to present at the workshop. A brief summary of these issues is presented here. For more details see Appendix 6.1, a report on the issues being discussed by community representatives prior to the workshop.

Kotur[11]: Discussions were held by UAS with three women's SHGs on natural resources, interactions with urban areas and problems from the PUI. Solutions were discussed with men and women including the landless. Issues that emerged included:

- Alternative jobs in the cities

- Alcoholism

- Water

Kelageri[12]: The main issues and solutions as reported included:

- Pollution of the Lake: Sewage enters the lake from all sides. The lake water for is used to wash clothes and cattle and there is no drinking water. *"We would like to create a barrier and divert the sewage water by building a pipeline".*

- Lack of Work: Less work in construction and agriculture both. People from remote villages are brought for work and paid less. Women work as domestic maids in the city.

- Environmental Pollution: Plastic and plastic products are polluting the village.

- Highway pollution: The high volume of traffic on the by pass that runs through the village creates pollution. People cannot cross the road as cattle get hit by speeding vehicles when taken across for grazing

- Lack of Benefits Due to Being Under the City government: Typically the poor get a green card valid for villages so they can get rations at lower prices. But here the poor cannot get a green card.

Mugad[13]: Issues that emerged from these interviews included:

- Lack of access to forest produce: Forests have been replanted with *nilgiri* (eucalyptus). Now there are no leaves to make plates, no firewood, no fodder, no bamboo and no grazing land under the nilgiri trees (Photo 6.2). Cow dung is used as a substitute for cooking but now there is nothing left for manure and to rejuvenate lands on which chemical fertilizers are used.

---

[11] This information was collected by BPF through interviews with UAS.

[12] Interview with women and men chosen to represent the village, Kelageri

[13] Two women were interviewed from Mugad, Sharda Hiremath from Vijaylaxmi Mahila Sangha and Dadejaswari Savnur from Renuka Mahila Sangha. IDS staff present at the interview also gave their perspectives.

- Water is another problem. Waste is dumped in the lake polluting the water so it cannot be used for drinking. It is silted up so there is less water for irrigation. Agricultural waste water from 300 acres of land runs into the lake along with the fertilizer resulting in siltation, pollution and the fish die.

- Plastics: Use of plastics has polluted the environment. Cattle eat the plastic and fall sick.

Gabbur:[14]: The community representatives based their issues on the PRA information and prioritized the following:

- Health: During the monsoon people get boils and skin diseases on their feet and bodies working in the fields. Sewage and rainwater get mixed and when they wash clothes and dishes their hands get rashes (Photo 6.3).

- Milk vending: Of the total families 12 –15 families are dependent on dairy for their livelihoods.

- Lack of land: Land has been sold to the government for the bypass (Photo 6.4).

Table 6.1: Summary of Issues by Village Prior to the Diagnostic Workshop: Community Perspectives

	Tank Silting and pollution	Degraded forest	Live-stock rearing	Lack of Work in villages	Health problems from sewage and other pollutants	Alcoholism	Plastics and environ-mental pollution	By pass resulting in land loss or pollution
Channapur [15]			√	√		√		
Mugad	√	√		√	√		√	
Kotur	√					√		
Kelegeri	√			√	√	√	√	√
Gabur			√		√			√

From these discussions the main issues that seem to have emerged are the lack of work, lack of access to forests, pollution of lakes and the environment, health problems related to pollution, lack of land due to sale of land for the by pass and alcoholism.

6.2. Institutional Preparation for the Diagnostic Workshop

At a team meeting, each institution presented the progress of work done in their villages. The team drew up a list of issues at the end of the meeting.

BAIF staff[16] presented on Gabbur and Channapur, the final villages selected, on the selection process, rapport building in these villages, exposure visits (to see agro forestry,

---

[14] Participant observation of a one day preparatory meeting held by BAIF with village representatives from Gabbur at the BAIF Office, June 5, 2001.
[15] Information on issues from the PRA
[16] Mr. Bulla and Mr. Nitturkar

soil and water conservation, people's organizations and income generation activities such as nurseries, bee keeping and vermi-compost), PRA exercises, focus groups held with people involved in dairy and with labourers and the issues that emerged.

Overall problems identified in both villages were:

- Drinking and alcoholism in Channapur

- Migration of non agriculture labour

- Land leasing in Channapur and government acquisition of land in Gabbur

- Lack of educational facilities

- Boys are sent to school more than girls and after 5th standard there are high levels of drop outs in Channapur.

Initially Gabbur seemed too urban and BAIF was nervous whether it had the skill to handle it. They reported that they were surprised to see that it operated like a village despite being under the jurisdiction of HDMC, the municipal corporation. They had assumed it would have urban attitudes such as patron client relationships and people not open to self help concepts (as seen in Kelageri). Both Gabbur and Channapur identified education and the lack of high school facilities as a problem. People were reluctant to send children especially girls to the cities for high school, and there are school drop-outs. In Gabbur, animals are not grazed because it is difficult for children or animals to cross the highways. Dairy is a very important income generation activity.

UAS presented their process on Kotur, starting with street plays and PRA exercises. According to them the Gram Panchayat was always represented at events but the poor and very poor were the ones who were involved in raising the issues, namely:

- Water

- Lack of health centres

- Labour shortage

- Lack of knowledge of improved technology

- Sanitation and lack of community latrines

- Untimely rainfall and less crops as a result

IDS discussed the problems in Mugad and Kelageri. Problems identified in Kelageri were:

- Polluting of tanks which does not belong to them but to the UAS (Photo 6.5).

- No coolie[17] work

- High taxes, no drinking water and electricity

Kelageri is divided into Kelageri proper, Anjanaya Nagar and Shivshakti Nagar. Many of the women work as maids while many men work as fortune tellers and entertainers.

---

[17] 'Coolie': general agricultural labourer

There is a shift from agriculture to horticulture, a shift to mango cultivation, which has resulted in a shortage of fodder and subsistence crops. There are small vendors and agricultural labourers.

Education level declined and both girls and boys have been stopped from going to school as they can easily get 50 rupees a day. Social living still shows rural characteristics – literacy, marriage patterns, living standards, extensive child marriage, living standards are low, low educational levels, high migration due to availability of jobs in the city. Over three generations there has not been much change in marriage age, which is a rural characteristic.

More than 50 percent are landless as most have sold their lands for the highway or have leased it for brick making (Photos 6.6 & 6.7). Land ownership is changing. Later land was shifted into the name of tenants. Now due to peri-urban problems, city people are buying the lands and using it for horticulture or business and there is absentism of landlords.

There is a lack of trust and people are wary in Kelageri. Concerning the water issue, they said that they have a system of digging pits for water. They said we will give you whatever information you want and you can go your way as no one can help us with this problem of water. The response was very mechanical compared to Mugad. The tension between the landed and landless is there where the landed are experiencing a shortage of land, the landless are happy that there is work around the year due to work in Dharwad, an urban characteristic.

In Mugad and Kelageri, the problems are:

- Tank: in Kelageri the problem is a man made one. In Mugad the tank is silted and if maintained well it can be a very good source of water. Tanks have a lot of vegetation or weeds and so it is difficult to catch the fish (Photo 6.8).

- From the forests, people had access to fuel, fodder, medicinal plants and so on earlier. Now government has planted 500 acres of Eucalyptus and people do not have access to this forest produce. Potters are depending on firewood, which they have less access to. Forest department has a joint forest management program and people are thinking of forming a JFM Committee. Some forests has already degraded. Where there were forests now there are just shrubs.

- Stone quarries and brick making creating dust and pollution is a problem (Photo 6.9).

The team summarized the issues as follows:

Table 6.2: Summary of Issues Prior to the Diagnostic Workshop: Institutional Perspectives

	Tank Silting and pollution	Marginal Land	Degraded forest	Livestock rearing	Lack of Fuel	Labour Shortage	Sewage/ waste	Alcoholism
Channapur	√	√		√√		√		√
Mugad	√√	√	√√	√	√	√√		√
Kotur	√√	√	√	√	√√	√√		√√
Kelageri	√√	√		√√	√√	√√	√	√
Gabbur				√√	√		√√	√

6.3. The Diagnostic Workshop

On June 6-7 2001, a diagnostic workshop brought together village community representatives, NGO and government representatives whose purpose was:

- To create action plans

- To evolve natural resource management strategies based on problems and concerns in select villages including Mugad, Kelageri, Channapur, Gabbur and Kotur.

- Training given to the research team in logical framework preparation given by Bianca Ambrose-Oji and Dr David Gibbon. Documentation produced for this is presented in Annex C.

Community representatives first presented information on their villages and the problems faced related to livelihoods and natural resources (Photos 6.10 to 6.14). Notes on the presentations by the village delegates are given in Appendix 6.2.

Themes: A summary of the themes across villages took place in a participatory exercise where each village ranked in terms of priority different issues on a scale of 0 to 10 with 10 being ranked as having the worst effect.

Table 6.3: Themes that Emerged in the Diagnostic Workshop: Community and NGOs

	Access to forest land	Access to grazing land/ fodder	Access to Fuel	Access to Artisan material	Access to Irrigation water	Access to drinking water	Animal rearing	Water catchment	Labour
Gabbur	0	8	6	4	0	9	6	0	6
Kelageri	0	2	10	10	10	10	0	0	10
Kotur	8	10	8	8	10	8	10	10	8
Mugad	9	10	10	10	8	5	7	10	6
Channapur	10	10	10	9	10	8	5	10	5

In the plenary session during an open discussion women raised the following concerns before the entire group:

- Alcoholism

- Work for women

- Dowry

In-depth exercises with community, government and NGO representatives:

- Created a cause-effect diagram of select problems faced in these villages.

- Designed three tentative action plans to address these problems.

6.3.1. Comparison of Issues Identified Before and at the Diagnostic Workshop

Comparing tables 6.1, 6.2 and 6.3 which show community perspectives, institutional perspectives and issues that were finally presented in the diagnostic workshop, the following differences emerge:

- While both the community and institutions thought alcoholism was a major problem and while one woman from Mugad tried to raise it in the diagnostic workshop it did not reflect in the final issues that were prioritized.

- The community perspectives on labour at this stage represented lack of employment. Institutional perspectives at this stage saw labour shortage in these villages as an issue, which is not lack of work for the poor but more a lack of labour availability. This latter perspective was also reflected in Table 6.3 where lack of work for the poor was not mentioned in the workshop though it emerged just prior to it from the community and emerged later on as well and was taken up.

- Another issue that did not emerge in the final workshop included the health problems due to sewage irrigation.

- One issue that gets sharpened in focus during the workshop is that of the forests where access to forest replaces the earlier notions of a degraded forest.

- Tank silting and pollution prioritized by both the community and institutions is not reflected in the workshop. Instead water catchment and access to water for irrigation get prioritized.

- Livestock rearing remains a priority throughout.

- Access to drinking water is also raised here which did not emerge in the past and while it does emerge later, the action plan strategies do not reflect increased access to drinking water as a priority.

- Land loss and lack of access to land again is not reflected in the final workshop.

- The workshop prioritized issues such as access to forests, fuel, fodder, artisan material, drinking and irrigation water, animal rearing and labour.

Overall there were substantive differences between the issues that emerged in the workshop and those prioritized before and after the workshop. These included

- Alcoholism

- The lack of employment for the poor, lower castes and marginalized populations

- Health problems due to sewage irrigation

- Tank silting and pollution

- Access to land

All these issues with the exception of access to land were taken up in the final action plans.

The issues that remained consistent included:

- Access to forest in Mugad

- Livestock Rearing

- Water

6.3.2. Causes and Effects of Problems and Solutions

The second part of the diagnostic workshop brought the government, NGOs and the community together in working groups towards creating action plans. Three working groups worked together to develop action plans for the three groups:

- Gabbur and Kelageri

- Mugad

- Kotur and Channapur

Formation of these working groups did not take place through a process of team consensus and consequently they did not continue after the diagnostic workshop.

To get to these action plans the groups first did an exercise where they created problem trees (Appendices 6.3-6.8) and then created parallel solution trees (Photo 6.15). One example of the problem and solution tree are shown in Appendix 6.3: Cause and Effects of the Water Problem: Kotur Village and Appendix 6.4. Solution and Effects of Water Availability: Kotur Village.

In Appendix 6.3, one root cause of the lack of water is deforestation which causes soil erosion in the catchment area which silts the tanks thereby reducing the water storage capacity. Other root causes included less vegetation, no stone pitching, electricity shortage and a low water table. The lower half of the charts represent the effects of the water problem. For example, water shortage leads to reduced yields, reduced incomes, leading to people selling their land or taking up other jobs which leads to a labour shortage in agriculture and also to a shift in cropping patterns to less labour intensive agricultural activities such as horticulture or mango plantation.

Appendix 6.4 is an example of a solution tree which shows how to solve the water problem and the impact of solving the water problem in Kotur village. Thus, supposing you have institutional intervention in the form of raising awareness on tank maintenance for the farmers and simultaneously government provides machinery then the tanks can be desilted and the water problem solved. Once this water problem is solved it will lead to more crops through the year, higher yields leading to more income and better living standards.

The other working groups also formulated problem and solution trees for the other villages presented in Appendices 6.5-6.8. Appendix 6.5 represents the problem tree created by Mugad community representatives at the diagnostic workshop where while the effects are listed there is as yet no clear link to livelihoods of artisans (potters and basket makers) though this link was clear in their discussions.

6.3.2. The First Action Plans

Based on each issue, each action plan listed the interventions along with who would be responsible for implementing the interventions and the time frame. The action plans produced by the working groups in the workshop are presented below (Tables 6.4-6.6):

Table 6.4.: Channapur and Kotur Action Plan

What	When	Who
Water shed development	3-5 years	Farmers Watershed department NGOs Social forestry
Repairing tanks -Desilting	 1 year	NGO Minor Irrigation Department
Management of water storage Scientific use of water Fodder development	1-2 year 1-2 year 1-2 year	Farmers Watershed department Agriculture Department NGOs and UAS Veterinary department Social forestry
Agro forestry	3-5 years	Farmers and Social forestry

In response to the lack of water due to broken down tanks, watershed development and agro-forestry were decided upon as interventions in these villages as well as tank repair. The departments seen as important here are Watershed Development, Minor Irrigation, Agriculture, Social Forestry and the Veterinary Department. The long term intervention here is the watershed development and agro-forestry while the short term solutions include desilting and repairing tanks.

Table 6.5: Gabbur and Kelageri Action Plan

What	When	Who
Underground Drainage and treatment facility of sewage	5 years	HDMC KUWSDB
Stop cleaning vehicles, clothes and animals	6 months 5 years	People's organization and UAS
Cleaning of open wells	3 months	People's organization HDMC
More borewells and wells	6 months	HDMC

Note: KUWSDB (Karnataka Urban Water Supply and Drainage Board)

The group came up with short and long term plans to deal with the pollution of the Kelageri tank by sewage and other pollutants and health issues due to sewage irrigation in Gabbur.

Here Gabbur and Kelageri were put together to plan because both came under HDMC and both had similar issues. Later however as the planning process went along the issues that emerged into plans diverged in the case of these villages.

Table 6.6: Mugad Action Plan

What	When	Who
Getting the forest land back to the department Correspondence by villagers to the department Meeting officials Department meeting the people Creating awareness by NGOs	1 year	Villagers Forest department Government NGOs
The JFPM programme should be implemented Formation of VFC Training people and VFC members Exposure	1 year	Villagers Forest department Government NGOs
Preparing a plan as per the needs of the village and implementing it Villagers grow nursery Planting saplings	2 year	Villagers Forest department NGOs
Enhancing the income of poor people	5 years	Villagers Forest department Government NGOs
Tank development Training for people Plantation	3 years	Irrigation department Forest department Fisheries department NGOs, Villagers

The Mugad action plan was formulated by sangha representatives, and representatives from the potters and fishermen's associations. The sanghas here being ten years old were involved throughout in community issues and well versed in the problems related to forestry as they had already some experience in dealing with government on this issue. Also because women present as well as artisans saw their livelihoods as linked to the forests and because of prior experience of both the CBOs and the NGO with the forest department, they were able to make a clear cut plan with a variety of solutions. This was further aided by the presence of a forest department official who was willing to listen and be supportive of the women's plan. This official played a facilitative role and the sangha women were extremely articulate which allowed them to take the lead in this planning process.

This was just the reverse in the case of other working groups where none of the representatives were from sanghas at this stage and therefore not as articulate. For most

of them this was the first time they were meeting officials and attending a workshop organized on this scale with officials from all levels present.

After the diagnostic workshop, the UK team trained the local team on the logical framework specifically for Mugad and consequently the first action plan was created. See appendix 6.9 for the outcome of this exercise, and Annex C for documentation used during the training. Action plans as forwarded to NRSP are presented in Annex D.

6.4. Outcomes

This section is based on feedback given by UAS, BAIF and IDS who conducted interviews with villages after the planning workshop and had internal organizational discussions. It is also based on interviews conducted by BPF a day prior to the workshop and on participant observation of the workshop itself and the team meetings preceding and following the workshop.

The positive aspects of the process can best be assessed from the reactions of the village community to the action planning process.

6.4.1. Exposure to Participatory Planning

One of the first impacts is that, "T*he villagers were exposed to new concept of developing projects on their own for solving their own problems."*[18] Normally they are used to the charity or patron-client approach of the government and other funding agencies. "*The villagers became aware that solutions to some of their problems are not from outside but could be found by themselves.*" [19] For Kotur representatives, "*It was entirely a new process and technique and we enjoyed it."* [20] The government also saw what participatory planning would look like.

The workshop and the preparation towards it represented a first step, i.e. the exposure of the community to participatory planning leading towards output 1, of the logframe namely *Enhanced capacity of research team to establish and facilitate participatory action plan development processes.* The team learnt some new aspects of participatory planning including problem trees and logframes. For IDS, Meera Halakatti said that in the past IDS would find out about the issues from the community and come back and create the plan which they would take back to the community. This was the first time the community itself was drawing up the problem tree and brainstorming solutions for their problems. The community getting the opportunity to present their issues several times where the diagnostic workshop was just the first time, also helped increase their ownership. IDS thus learnt how to fine-tune their action planning process by ensuring now that not only the issues come from the community but the plan itself. This contributes to output 2 in the logframe namely *Improved understanding of the participatory process for action plan development in the PUI by the research team.*

6.4.2. Interaction with Government Institutions

Through the planning process and group discussions on creating action plans target institution (TI) representatives worked with the NGOs and community representatives.

---

[18] Communication from BAIF on feedback from villagers, June 2001.
[19] Communication from BAIF on feedback from villagers, June 2001.
[20] Communication from UAS on feedback from villagers, June 2001.

The community representatives appreciated the interaction as did the target institutions.[21] According to UAS, "*We were happy to note that target institutions were happy to participate/support in the implementation of the action plans.* They also said that *The villagers were now confident of identifying problems and solutions to them in preparing an action plan by working together and also learnt that what role could be played by various TIs i.e. agriculture, watershed, horticulture, irrigation, fisheries, forestry etc.*"

One lesson learned from the workshop is that the mechanism used was not appropriate. Instead the appropriate mechanism should really have been to create a district steering committee at the district level. At the village level grassroots government functionaries need to be involved, but only after the SHGs were strengthened. This did not happen at this phase but is expected to take place in the implementation phase.

Bringing the community into contact with the district TIs at this early stage and the resultant domination of the TIs, while a mistake, provided key insights into the appropriate mechanisms that need to be created for involvement of TIs. However, involving the TIs from this early stage for one helped expose them to participatory planning, helped them see the community as articulate in contrast to the stereotypical TI viewpoint that the village community is poor, uninformed and unable to think for themselves. It also helps the TIs watch the growth in the community's capacities over time.

This workshop was a step towards achieving output 3 of the logframe, *Increased understanding of appropriate mechanisms for fostering interactions and continued participation between poor peri-urban stakeholders and those target institutions which formulate policy and implement regulations, to the point where action plans can be produced.*

6.5. Lessons Learnt

6.5.1. Role Clarity by Institution Type

In Kotur because most researchers, including UAS, lack experience and training in community mobilization, identification of the poor or sangha formation, elites were more a part of the process than the poor. As a consequence the poor from Kotur did not present their case in the diagnostic workshop. Thus one lesson here is of role clarity where the role typically played by NGOs was assigned to researchers who had neither the institutional mechanisms nor training to identify the poor or mobilize them. NGOs themselves have evolves a process for identification of the poor over several years, itself a very difficult task. Thus role clarity from the inception is extremely important.

Just as the villages need the time to build up their organizations, relationships, collective voice and perspectives, NGOs, organizations and target institutions too need the time, the fora and the space to be able to develop relationships. During and before the planning workshop if there had been the time and the interaction between the various institutions collaboration could have naturally evolved. However, as this was not the case, in the development of action plans there was confusion as to how the organizations would collaborate, in what capacity and the roles each would play.

---

[21] Communication from UAS on feedback from villagers, June 2001.

6.5.2. Entry Level Interaction in a Village

The process used by NGOs initially is not to approach opinion leaders in the village but in order to avoid getting caught up with the elites they put in place a process to identify the poor as soon as possible and make a deliberate attempt to focus on this group. Meera Halkatti, IDS, in the planning workshop said that NGOs cannot build rapport with the whole village. *"Once you go through the target institutions, you access the rich and once you do that then you cannot get to the poor."[22]* This was also validated by Prakash Bhat, BAIF, who said that if a new untrained staff member from BAIF were to accidentally work with the rich at the beginning (which has been known to have happened) BAIF would withdraw from that village instead of continuing. This identification is done through either PRA and through house to house surveys and by living in the village and finding out in depth who is in which area and which house and what type of resource base they have. There is usually a deliberate strategy put in place by NGOs specifically for the poor and a separate strategy for involving the entire community (rich and poor). As soon as possible self help groups are created amongst the poor to provide them a support structure followed by training and capacity building. This is the first steps so that they can enter into negotiations with other groups and institutions, particularly government. Thus the first stages of intervention in a village requires a clear poverty identification mechanism and a clear focus on engaging the participation of the poor. This in turn requires that someone stay in the village to meet the more marginalized sections of the population on their terms and when they are free, typically at night.

6.5.3. Understanding a Cluster Approach

NGOs in India typically work in geographical clusters of villages located close together. Thus any action plan drawn up for it to be viable should have villages that one institution is responsible for and located close to each other as far as possible. Clusters allow for natural interaction across villages and they have organic links with each other in any case which allow them to know their issues thus making dialogue and collaboration far easier. For example though Kelageri and Gabbur were perceived to have similar problems at this stage because both were under HDMC, in reality the issues that finally emerged into action plans by the end of the PAPP process showed these villages to be taking up completely different issues. In the planning meeting itself the cluster approach was discussed and validated by the whole team.[23]

6.5.4. The Need to Work through Consensus

Working groups were formed on the basis of issues only and not using a process of consensus due to the lack of time. Institutions were grouped as partners who were as yet unclear about their roles on community mobilization for the action plans. The grouping did not work consequently and with the exception of the Mugad plan, two plans made with these groupings were disbanded immediately after the workshop. The important lesson here is that no decision works when not arrived at through a clear process of consensus and time must be allocated for a team to arrive at consensus particularly on

---

[22] Meera Halkatti, Planning workshop, March 28, 2001.
[23] Adriana Allen said on clusters that it is important to have a cluster approach if you want the working groups to survive as they have to be close to meet. Planning meeting, Dharwad, March 27, 2001.

institutional roles and collaboration therewith. One way to ensure a consensual process in the future is to have a team meeting before and after any major event on the same day of the event so that everyone agrees with the process and institutional roles, every step of the way.

6.5.5. Research Biases

It was felt that on community mobilization, BPF was more inclined towards the NGOs experience than the university. This was true because through past experience BPF has been clear that researchers including themselves are unprepared to organize the poor and as such never supported the process of having any research institution play a role in community mobilization. That understanding was arrived at over time by the entire team and roles more suited to each institutions' aptitude and skills were assumed by the end of PAPP. Researchers can certainly learn from NGOs but cannot be made primarily responsible for community mobilization was the main lesson.

6.5.6. Inadequate timeframe

Beginning with the street play, the training, rapport building, situation analysis until the diagnostic workshop, the entire process took a period of two months. While it was planned that rapport building, situation analysis and action planning would be conducted within this time frame, the ground reality required a much longer time frame. One major hurdle that all organizations faced was the shortage of time to build trust and relationships. Particularly since these were new villages where organizations did not have a presence nor the trust of the community, it took a much longer time to get the community to own the process. One common question often faced by the organizations was, "W*hat are you going to give us? Or what will you do for us*?" Thus a shift in attitude to owning the planning process as theirs required more time. The one exception was Mugad village where IDS had a history of interaction. Even here IDS had worked with only certain sections of the community at a much earlier point in time. To reestablish contact with existing community-based organizations (CBOs) was not difficult but to bring the rest of the community into the action planning process especially because Mugad is a very large village was difficult to accomplish in this time frame. Thus in the mid term evaluation later these constraints were pointed out and the time frame of PAPP extended.

6.5.7. Lack of Exposure

By the time the villages attended the diagnostic workshop, the PRA exercises had been conducted in all villages and in some a few follow up meetings had taken place after the PRAs.[24] Some villages were not yet ready for the type of interaction and reflection expected of them in the workshop. According to project partners, *"Probably we should have had some more time to work with the villagers to draw up the first action plan."*[25]

Certain exercises such as the problem tree were conducted for the first time with some villages in the workshop. In the presence of government officials it was more difficult and uncomfortable for the community representatives to fully and freely participate. To

---

[24] Interview with women, Kelageri village just prior to the June 6-7 workshop.
[25] Communication from UAS on feedback from villagers, June 2001.

counter this problem similar such exercises could be conducted in the villages prior to the workshop. *"Had these farmers been exposed to such kinds of workshops, they could have presented still better rather than being prompted or taken over by us in some cases."* [26] Furthermore some exposure to government and other outside agencies should also have preceded the planning workshop to allow better participation from the community.

6.5.8. Community-Institutional Balance

One crucial factor to foster the participation of the poor is the balance between community, NGO and TI representatives in the working groups.

First, for the village community to freely participate the number of government/ organizational representatives/facilitators in a group should be minimal. When there are many organizational representatives relative to the village representatives the discussion tends to be dominated by the former.

Second, the level of government representatives should be the grassroots functionaries and not the district level government officials in the working groups with community representatives. District officials should certainly be approached first to inform them about the project and for them to provide the green signal to lower level officials without which they tend to not get involved. However this should have preceded the diagnostic workshop and at the workshop itself it should have been the grassroots government functionaries in the working groups, if at all. However even the involvement of grassroots government functionaries at this stage may have been too early since the poor were not yet mobilized into self help groups nor their capacities built. Thus the government at any level would have dominated the decision making process.

Therefore prior to any interaction particularly a planning and decision-making process, village representatives, when poor, should be organized into SHGs and their capacities built towards this type of interaction. Thus the working group with Mugad where the representatives were also sangha members were better able to interact with government and far more confident and reflective. Given that the sanghas were ten years old with a great deal of experience, they were able to better stand up to the government compared to the other village representatives. Here the government official from the Forest Department himself was sensitive and facilitative in his approach, taking a backseat in the working groups until he was asked by the women and men representatives to contribute.

Thus action plans formulated by government and community in these working groups while they were produced (output 5 of the logframe)[27] were not sustainable.

6.5.9. Prior Organization

The importance of organizational intervention in a village, a history of trust and prior relationships with the community and the existence of self help groups was reflected in way the Mugad representatives presented their issues and interacted with government. This could be seen clearly in the way in which the community could articulate their issues and see the links between issues, causes and effects of the problems and the

---

[26] Communication from UAS on feedback from villagers, June 2001.
[27] Output 5. Plans of action produced by working groups consisting of poor peri-urban stakeholders and target institutions.

linkages between problems. Furthermore this was the one village where women dominated the dais and were extremely articulate in the presentation of their issues.

The history of prior organization helped in a variety of ways:

- The Mugad community representatives belonging to different self help groups were able to bring out a range of different perspectives.

- They were able to see the linkages between the different issues, communities, possible solutions and the constraints they face.

- They were the only group that knew which officials they should interact with and how to interact with them.

- The clearest finding was that among all the groups they had the confidence and ability to design an action plan and thus were the first to go forward towards submitting a final action plan.

All other communities needed organizational help to present their problems with the exception of Mugad where representatives did it on their own and with ease.

The learning from villages, like Mugad, where sanghas already exist and the community is highly organized is that village representatives involved in an action planning process are in a position to truly represent their communities. Because they are in a full sense representative, they are already bringing in issues that have been discussed by a wider community of CBOs and their members but also have the capacity to take back the outcomes of the action planning process into the larger community and get their buy into the plans. This is much harder for an unorganized village where representatives are selected not based on CBO membership and are still expected to get the entire village to buy into the plans created outside that community. Having sanghas makes it one step easier to get community buy in. Therefore for villages and sections of villages that are unorganized a further set of interventions would be needed to get community buy into the action plans. NGOs would have to facilitate the process by which the action plans are reworked with the larger community with the participation of all sections of the community.

6.5.10. Orienting Government

For government representatives to participate more fruitfully one government official[28] recommended that they be provided some background information on the project prior to the action planning workshop along with some information on each of the villages. He felt that this would have helped orient them to what the workshop was about. He felt that if information on the outcomes of the project were fed back to the government this would get their continued support. In fact, orientation meetings should have been conducted with the TIs prior to the workshop. One unforeseen constraint was the fact that the Chief Minister of Karnataka visited Dharwad at the time when the workshop was conducted. This affected government participation.

---

[28] Prakash M. Kulkarni, government personnel, Dharwad.

6.5.11. Livelihood vs Natural Resource Management Issues

In the meetings prior to the workshop with NGOs and the community, livelihood issues that came from the poorest, the landless and the lower castes revolved around the lack of land and assets. It revolved around the fact that they had to depend completely on labour for their survival and this labour was poorly paid, exploitative, competitive and declining. However during the workshop, either these particular representatives were not as articulate (Mugad being organized was the exception) or their issues did not finally reflect in the final themes.

For example, in interviews conducted in Kelageri village just prior to the planning workshop, one Harijan[29] representative listed his community's issues as:

- Decline in the amount of work both in construction and agriculture

- Related to this is the pressure added by cheaper labour being brought in from more distant villages where wage rates are lower to substitute existing labour.

- The problems associated with the by-pass built through the village such as speeding vehicles hitting the cattle and inability to cross the road.

None of the livelihood related issues were brought out in the workshop.

In discussions at BAIF preceding the workshop, the three priority areas listed were:

- Lack of land and assets for the landed

- Health problems due to sewage irrigation

- Dairy improvement and access to grazing land

Again the first two issues are not reflected in the final themes prioritized.

Though poverty alleviation is one of the two goals of the project, issues related to natural resource management got priority at this stage. Basically this took place because only later on in the project were women and the landless approached separately. Also because during the initial stages of the project, the NGOs, UAS and project partners talked to the communities mainly about NRM. NRM issues were also easier to take up than livelihood issues particularly for the landless and the poorest. Since the linkages between these two goals were not clear both in the minds of the community nor for the team, the tendency was to focus more on natural resources as this was the most visible. In the case of Mugad village for instance, the CBOs and artisans were able to link the degradation and declining access to natural resources to their livelihoods. Examples of such linkages include the lack of access to bamboo and firewood for basket weavers and potters respectively due to the forest department denying access to the forest and second due to the cutting of trees and growing of mono-cultures such as Eucalyptus. Eucalyptus is currently being grown for the paper mills, thus prioritizing their needs over the needs of the poor. In addition, this is degrading the natural environment including the water table and bio-diversity. Most importantly livelihood issues of the landless and women were not clearly brought out at this stage of the project. Nor were gender issues prioritized.

---

[29] 'Untouchable' caste

To ensure the involvement of women and the landless, separate interviews were conducted later on that surfaced the clear finding that the original plans did not address the concerns of the most vulnerable sections and that most NRM strategies benefited mainly the landed. It was only after this, the entire team's focus shifted more to livelihoods and to including these sections of the community, in and of itself a challenge.

6.5.12.Ensuring Continuity

"A certain degree of assurance of help for the implementation of the action plans developed will help in involving the target group in the process." [30]

The expectations of the entire village community have been raised through this process. For NGOs to continue to work with these communities building expectations and trust must lead to future action. There simply cannot be an action planning process that may not lead to action. NGOs typically do not go in and out of the community planning for the future and not deliver. For the NGOs themselves, working in a community is taken very seriously and for IDS, BAIF and UAS as well, staff have been hired and placed in the community. In six months in the absence of any further work, the staff has to be withdrawn. In the eventuality of further work later on, the NGO has to again place staff back in this village which by this point will not have faith left in the organization.

Therefore the continuity between an action planning process and its implementation has to be carefully thought through and put in place. This is a simple ground reality that needs to be taken care of in order to ensure that the work of organizations in the communities is not jeopardized. This was brought to the notice of the British team during the mid term evaluation that took place one month later in July. NRSP immediately responded to this feedback and extended the project time frame as well as the funding to ensure continuity.

6.5.13: Working groups

The working groups and consequently the action plans were initially formed around issues. Later on other considerations shaped the formation of the action plans:

- It is extremely important to formulate working groups with villages close to each other so they can in fact work with each other. A cluster approach where geographically close villages has common linkages and knowledge about each other. This allows the natural growth of people's organizations into cluster level federations who can work together. Even meetings between people from villages that are far apart become very expensive and time consuming for the effective functioning of a working group. Finally with the government for the joint forest management committees, it is not easy for a committee to be formed with the Mugad cluster for the Mugad forest along with representatives from the Channapur forest area. Typically a JFM committee with government and community is responsible for forests only in that area. Therefore this geographical cluster approach is strongly recommended in formulating working groups and also the resultant action plans.

- Institutional role clarity: It is difficult to combine villages organized by different institutions in one action plan. If this has to be done, it is important that the roles of

---

[30] Communication from BAIF on feedback from villagers, June 2001.

each institution have to clearly defined where community mobilization is done by NGOs and research institutions are involved in the research, administration and TI linkages. In a team institutions will naturally involve other institutions based on their strengths and this should be allowed to evolve organically.

- Working groups that finally evolved included mainly the NGOs and community at the village level and a district steering committee at the district level. Involving the community and the target institutions needed to be postponed to a later stage once the capacities of the sanghas were built to the point where they could negotiate with the TIs.

6.6. Recommendations from this Stage of the Project

Building in Time: Having more time to interact with the community, build rapport and trust, and for the community to imbibe the concept of a participatory planning process is necessary to ensure a high quality of community participation. Time becomes even more important to allow for the community to develop a level of ease of interaction with each other, with the NGO, to be able articulate their problems and concerns and finally to interface with outside institutions.

Building Community Organizations: The existence of CBOs can facilitate an action planning process in a variety of ways:

- If these CBOs represent the poor then their issues are better represented.

- The CBOs ensure community buy-in and participation of a larger body

Where there are no CBOs, time and resources must be allocated to build up CBOs. Building a CBO as part of any intervention leaves behind an institutional base in the village as opposed to simply involving a community as part of a particular project. This is especially true when an action planning process does not necessarily ensure that follow up funds will be available for implementation. At least building up CBOs will allow for other kinds of interventions. Therefore creating CBOs should be a pre-requisite for any project intervention.

Linking Poverty and Natural Resource Management Issues: The NGOs and the community have to be given adequate time to facilitate a process through which linkages between poverty alleviation and natural resources are analysed and surfaced.

Gender Issues need to be given priority by paying special attention to women's participation. This is especially true in the absence of women's collectives where women are unused to participating in public forums.

Separate meetings with the poor and women are needed to surface their concerns.

Links between PUI projects: It was also recommended by institutions such as the UAS involved in other projects, that better use be made of the projects in feeding into each other. It was stated that had *the action plan started immediately after the Gap filling project there could have been greater inputs coming from that project.*

Continuity: To ensure that raised expectations of the community be met, that NGO staff placed for the planning process can continue with the implementation, for trust of the community in the NGOs not to be lost, ensuring continuity is important. Thus the project

for the implementation of the action plans should be timed such that it smoothly follows the action planning process.

Working groups: Working group formulation should take into consideration a cluster approach of villages for people to be able to work together conveniently. Institutions involved in action plans should have the time to evolve their roles organically and the institutional role clarity is a must.

Chapter 7: Forging Institutional Linkages

Involvement of government organisations is vital if benefits arising from the projects are to continue after the projects have ceased. Built into this project from the planning stages itself, are components that ensure sustainability of the project after the three-year period requiring the involvement of government.

This being a research action project the main budgetary allocations are for research and for institutional support towards action. For actual development outlays such as infrastructure and materials, the project expects to link to government departments, banks and other funders. Also this project is only specific to natural resource management (NRM) and later to livelihoods but does not cover a wide range of areas constituting holistic development, such as health, literacy, social development, political development, energy, rural water supply and sanitation, housing, finance, waste management and so on. Thus building people's capacities to link to government agencies in this project in areas such as NRM, will enable them in the long run to link to public resources for any other area.

A mid term evaluation of the project conducted in July by NRSP on behalf of the Department for International Development (DFID) confirmed the need for greater participation of government institutions. Thus, several events were held with the district and state officials that built in this interaction.

The main events that took place in this next phase of the project were thus centered around the involvement of key institutions including banks and government at district (Appendix 7.1 and 7.2) and state levels. During August and September, meetings were held with these institutions to orient them on the project and seek potential linkages (See Appendices 7.4 and 7.5).

7.1. Mid term review

The DFID review conducted by Michael Mattingly, University College London, through visits to each institution and to the villages revealed both strengths and weaknesses of the project (Photos 7.1 and 7.2). The positives included:

- A very strong team where, overall relationships were supportive and there was a high degree of interest and involvement of all institutional partners.

- The team was successful in engaging the poor. The sensitivity and skills of team members to ensure that the poor participate were high.

7.1.1. Changes Facilitated by the Review and Through Team Reflections

The challenges and responses to these challenges included:

- Inadequate involvement of government institutions: Beyond workshop attendance, target institutions were not involved. This was corrected consequently as follows:

  - In July Dr. Hunshal initiated intensive dialogues with the new district Chief Executive Officer (CEO), a relationship that was instrumental in ensuring the commitment of other district officials later on.

- In late August, Adriana Allen[31] held a workshop with Hubli-Dharwad officials.

- In late August, BPF with Adriana Allen and Meera Halakatti forged linkages with select state agencies, further strengthened by follow up meetings in September with both project managers[32].

- Addressing Livelihoods: The DFID mid term reviewer Michael Mattingly pointed out that, "T*he positive and negative factors affecting the processes of diagnosing problems/issues/ constraints to livelihoods in the PUI are being recorded during the major project activities, along with other information about what is taking place. However, there was little indication that the records are being analysed and that these factors are being picked out. Making the connections to livelihoods is critical, so learning about how it can be fostered is very important. While concern for benefit to the targeted poor was in the forefront of the exchanges I witnessed among the team and within the village meetings, livelihoods were not often described or referred to. I was conscious that team discussions during my visit tended to address the mechanics of implementing actions with little exploration of how the livelihoods of the beneficiaries might be affected by a particular action.*"

   This was recognized as a major challenge by the team where separate meetings with women and the landless surfaced the need for a third goal, enhancing livelihoods for women and the landless. Despite years of experience in income generation, NGOs were finding that livelihoods were increasingly difficult to enhance for the most vulnerable and those with even a small amount of assets are easier to help than those with absolutely no assets. Thus specific attention is being paid to this issue and the expectation is that despite all efforts, success on enhancing the livelihoods of the poorest in three years is unlikely. Success is more likely is a minimum of five years is spent working with these groups to build their capacities to enter and compete in the market.

- Working Group Concept: During the diagnostic workshop when the working groups were formed, government dominated the discussions with the exception of Mugad (because it was organized). Thus SHG formation is an important pre-requisite to government-community interaction to working group formation. Instead a district steering committee was conceptualized and later became operational.

- Domination of Elites: In Kotur landholders dominated the process excluding the landless and women. BPF and IDS held separate consultations with women and the landless in all villages as a corrective to see whether the existing plans would address their concerns and where it did not, to recreate strategies within these plans that would address gender and landless concerns. This added a new project goal of enhancing livelihoods for women and the landless. Further alcoholism and other gender concerns that emerged made community mobilization a fourth overall goal (Photo 7.3).

---

[31] A UK team member, DPU, UCL.
[32] Meetings in September arranged by BPF involved Dr. Brook, Dr.Nunan and Dr. Hunshal.

- Alcoholism: Women in Channapur village raised the issue of alcoholism during the mid term review saying that nothing will be gained till the issue of alcoholism was addressed. The mid term review recommended that issues such as alcoholism be addressed, especially since it was demand driven (Photo 7.4).

- Need for Analysis: Lessons learnt from the project were not emerging. BPF thus changed to an analysis oriented data collection methodology.

  - Institutional interviews for a comparative analysis across institutions

  - Team and village interviews for a comparative analysis across villages.

  - A participatory team review for each institution to reflect on the entire process

  - District government agency interviews for an analysis on TIs.

- Capacity building for the team for documentation was raised as a concern. BPF had made some initial attempts but did not see themselves as being able to succeed. The main reasons included the lack of know-how on how to transfer these skills, time spent by BPF was on process documentation not on training, and team members who were to be trained themselves had other commitments. Capacity building did take place through video documentation training arranged by BPF for all three institutions.

- Dissemination tools were discussed and consequently BPF produced newsletters.

7.2. State Level Linkages

From mid-August 2001 on, visits were conducted with the state and district agencies supplemented by some national visits as well in Hubli-Dharwad, Bangalore and Delhi. Meetings were held with Karnataka Government state agencies and others such as:

- Watershed Development Department

- Jala Samvardhane Yojana Sangha (JSYS), Tank Restoration State Agency

- Karnataka Forestry Department (KFD),

- Women and Children Welfare Development Department

- Department of Industries & Commerce

- Karnataka Watershed Development Society (KAWAD)

- National Bank for Agriculture and Rural Development (NABARD)

See Appendices 7.4 and 7.5 for more details on these visits.

7.2.1. Karnataka Watershed Development Society

KAWAD, funded by DFID via the Government of India, deals with watershed development and was interested in organising exposure trips and to discuss their approach and experience with the local team. KAWAD projects are implemented as pilot models for larger replication. They do not operate in Dharwad but in Bellary, Bijapur and Chittradurga districts. Watershed development initiatives are a part of the action plans to increase water storage, the water table and to improve land-based livelihoods in PAPP, therefore learning from KAWAD through exposure visits may be useful.

7.2.2.Watershed Development Department, Government of Karnataka:

The World Bank funded Watershed Development Department (WDD), Government of Karnataka set up in April 2000 is designed to operate as a single umbrella agency to build integrated watershed development teams at the state, district and taluk levels. WDD is staffed from multidisciplinary implementing departments (Dryland Development Boards, Livestock, Agriculture/Horticulture, Soil Conservation and Forestry). IDS and BAIF are already involved in the implementation of the project. Four PAPP villages are already a part of this department's work which funds watershed development but not tank restoration. Following the *Common Guidelines to Watershed Development* (*Nov 2000)* formulated by the national government, the project is mandated to adopt a participatory approach. It also has an income generation component which will cover land-based activities and craft industries and other enterprises such as food processing and carpentry. They are also interested in understanding participatory techniques. Adriana Allen surmised in her report, "*Mr Nadadur acknowledged that the WDD has no experience in conducting this type of participatory process and was highly interested on the possibility of learning more about the PAPP process"* (Appendix 7.5) Follow up meetings with the WDD indicated that they wanted members from the PAPP team to lead the income generation component which is currently under negotiation for the entire state.

7.2.3. Jala Samvardhane Yojana Sangha (JSYS), Tank Restoration State Agency

Mr Madan Gopal from JSYS, another World Bank funded project said that they do not work in Dharwad district but was willing to link to the project for exposure visits, providing technical assistance and information. JSYS focuses on tank restoration in each community using a participatory approach. The problem here is that because they do not work in Dharwad the tanks in the PAPP villages cannot be repaired through this agency nor through WDD which does not fund tanks but works in this district. The root of this divide lies in the separation within the World Bank, New Delhi. Follow up meetings revealed that the two World Bank personnel must be brought together in dialogue for the two state departments in Karnataka to fund the tanks in Dharwad.

7.2.4. National Bank for Agriculture and Rural Development (NABARD)

NABARD controls credit all over India and can facilitate bank linkages by issuing statements to local banks to cooperate with the project. They also can provide SHG training and development and technical guidance in marketing.

7.2.5. Karnataka Forestry Department (KFD)

The team introduced PAPP and the Mugad Action Plan to the state level Forest Department personnel. IDS felt however that for the forest issue the intervention should be at the district and regional levels.

7.2.6. Women and Child Development Department

WCD's programmes deal with gender awareness, health education, nutritional education, basic accounting training and access to credit, formation of women SHGs[33] (Stri Shakti

---

[33] Government sanghas have been set up under various programmes including Stree Shakti (earlier DWCRA and also through Swashakti) and have been noted to fail as there is no real input provided by the government. One strategy used by NGOs has been to try and revive these old government set up sanghas

providing Rs.5,000 per group), saving and income generation. WCD through the Stri Shakti programme is conducting training of trainers in bank accounting and book keeping, with the support of NABARD. Shobha Nambishan and Vidyavati were both receptive and supportive to linkages with PAPP.

7.3. Visit of State Officials to Mugad

An outcome of these meetings was a visit by the State Commissioner of the Watershed Development Department, Mr. R. G. Nadadur and his staff to Mugad village on August 16, 2001. Dr Hunshal explained the PAP process, its objectives and showed him the PRA outcomes (Photo 7.5).

This was followed by the visit to Mugad where community representatives who presented at the June workshop interacted with the Commissioner and his staff. Mugad representatives presented three major issues i.e., access to forests, the restoration of the tank and livelihood concerns and a dialogue between state and district government representatives and the village community ensued (Photo 7.6).

While various government officers wanted the Mugad community to prioritize either water or forests as an issue, the community felt that both issues were equally important as they represented the interests of different groups, with the landless, women and artisans prioritizing forests and the landed prioritizing water. A woman's response was, "*You are asking us to prioritize our mother or our father*". Discussing sustainability of natural resources, the WDD personnel[34] asked the community whether they would be willing to wait for 25 years for the benefits from the forests. The women responded saying that, "*Immediately in the short run we will get fuel and fodder and we are willing to wait for the larger benefits for 25 years, yes*" (Photo 7.7).

At the end of the visit Mr Nadadur who had earlier worked in Dharwad said he was aware that Mugad was highly organized. While he was impressed by the Mugad presentation he wanted to see the process in other PAPP villages. He said UAS's expertise on PRA and other project information would be useful for the state level World Bank project he was spearheading.

One observation made by the team of the state visit conducted to Mugad was that despite Mugad representatives being from organized SHGs with ten years of leadership experience, fairly difficult questions were posed to them by the TIs. While they were

---

but many are full of defaulters and a failed group with credit defaulters and no internal trust is very hard to revive and to set right. Many are sanghas in name and on paper only. So now, government recognizing this, is trying to involve NGOs to perform that function instead of trying to do it themselves. Government does not do what IDS would do (train them in the group concept, leadership concepts, accounts and internal saving and lending etc.). They would call together a group, register the Sangha, give them a loan and then leave them to function and this then naturally fails. Typically the money is divided up, no income generating activity started and the women labelled as defaulters shortly thereafter. Sometimes they are defaulters because their husbands have used up those funds, sometimes because they did not even know what the loan was meant for. Even when some of these women get organized by NGOs they have a defaulter record which poses a credit problem in establishing the linkages to other government programmes that projects might try to get them into. In the current project, many women in the sanghas have this "status". IDS suggested that they repay whatever was owed by them or the entire group suffers.

[34] Dr. Maheshwar, Joint Director of Horticulture, WDD

able to respond, there was some confusion on prioritization of issues when in fact the action plans did not require that either the forests or water issue be prioritized. Thus despite being highly articulate, the sanghas in Mugad found it difficult to counter the rapid questions that state officials fired at them.

Keeping in mind also the diagnostic workshop experience on working groups and TI domination, the consequent problem was raised of how representatives from unorganized SHGs would be able to work with TIs. Therefore the need for more sensitization of state and district officials and training of community representatives was recognized.

7.4. District Level Linkages

In a one day workshop led by the Chief Executive Officer (CEO) and attended by the ZP President held in Z.P. Dharwad on August 17, 2001, the project partners presented the three action plans to several district government agencies.

Approximately 20 senior officers from both rural and urban departments, including the Municipal Corporation (HDMC) and the Urban Development Authority (HDUDA) attended (Photos 7.8 and 7.9).

IDS presented the Mugad action plan, BAIF, the Gabbur and Channapur action plan and UAS, the Kotur action plan. The key institutions were asked to react and to present programmes from their respective department that could be linked to any of the action plans.

Potential areas for collaboration that emerged included forestry, watershed development, sanitation and drinking water facilities, training, health, animal husbandry, social welfare, horticulture, agriculture and sericulture. For a detailed report on programmes presented by district officials see Appendix 7.1: Report of the Target Institutions Meeting, Zilla Panchayat Office Dharwad, August 17, 2001[35]. The CEO was highly supportive of the project and requested that ZP programmes available should support the PAPP villages. Appendix 7.2. identifies potential linkages and gaps:

- For the Mugad action plan (Appendix 7.2. Table 1), the Joint Forest Management Programme under the Forest department and the Watershed Development initiatives under the Watershed Development programmes were seen as possible linkages.

- For Channapur (Appendix 7.2. Table 2) the linkages for soil and water conservation was with the Watershed Development Department and for animal health and breed upgrading was with Animal Husbandry and Veterinary Services.

- For Gabbur (Appendix 7.2. Table 3) potential linkages were with Animal Husbandry and Veterinary Services for animal health and breed upgradation. For the health issues from sewage irrigation HDMC could treat sewage water.

- For Kotur (Appendix 7.2. Table 4), improving water catchment and storage required linkages to the Watershed Development Department. Increased access to forest produce would need reforestation and linkages to the Forest Department. For health problems among women and children due to lack of access to drinking water and

---

[35] Best Practices Foundation, August, 2001.

sanitation, linkages to the health and other departments for treating water were identified as important.

No potential linkages were identified in the area of improved livelihoods for artisans, women and the landless, which was seen as a gap.

7.5. Follow up at the District, State and National levels

A district steering committee has been formed which meets on the 16th of every month (See Appendix 7.3). Meetings were held with the World Bank, UNDP and DFID at the national levels by both Adriana Allen and Best Practices Foundation. Here it was found that UNDP does not fund projects outside the government and DFID does not fund Karnataka. The World Bank was willing to consider linkages through the Watershed Development Department. Thus follow up with both World Bank representatives heading both the Karnataka state projects on watershed and tanks would help fund those areas specifically in the project.

7.5.1. District Steering Committee Meeting

In January 2002, the district agencies met on the Mugad action plan to discuss in depth the various departments that could link to specific issues such as:

- Desilting the tanks in Mugad and Mandihal with three possible agencies namely the Taluk Panchayat, Minor Irrigation and Watershed development department.

- Forest related initiatives with Social Forestry

- Horticulture and Floriculture initiatives for income generation

- Fish rearing and technical guidance for the same from the Fisheries Department.

Other initiatives would be facilitated by the CEO, ZP, such as the deweeding and financial assistance for SHGs. For a detailed report please see Appendix 7.3. At the state level several follow up meetings took place with state agencies and also NGOs.

7.5.2. State Level Follow Up Linkages

All departments and institutions met have already some history with members of the Action Plan team and as such the Action Plan project is building one existing linkages and relationships. Members of the Action Plan team are already interacting with some state agencies and expressed the need for follow up at the state level with other agencies. For instance, IDS and BAIF are already the lead institutions for the World Bank funded Watershed Development programme in other districts in Karnataka. IDS has strong linkages with the Department of Industries and Commerce and has worked with their bee-keeping programme. UAS has applied for research funding from Jala Samvardhane Yojana Sangha (JSYS). All these institutions have been met by BPF for earlier projects and for the Action Plan project both and there is already some familiarity with the officials and their programmes.

The second round of state visits were made to select state institutions to:

- Orient departments on the Action Plan project.

- Discuss potential linkages between the Action Plan project and state programs.

A meeting was arranged with the Sampark head office as a follow up to their field visit to Mugad village on September 6th, 2001 to discuss the possibility of their training the Action Plan team on enterprise development and market analysis.   For a detailed report see Appendix 7.4.

Sampark: Dr. Robert Brook, Dr. Fiona Nunan, Dr. Chandra Hunshal and Simone Purohit met Smitha Premchandran, and other staff from Sampark met to discuss the possible role of Sampark in livelihood assessment. Sampark could conduct participatory market study tours with representatives from community based organizations (CBOs) and non-governmental organizations (NGOs) both. Sampark could simultaneously conduct an impact assessment through a longitudinal study. It would cost Rs. 2.5 lakh[36] per year for consultancy for one organization plus reimbursement by actuals for travel and stay without an impact assessment or Rs. 7.5 lakh[37] for the entire project period not including actual expenses incurred. The estimate with an impact assessment would be approximately 1.5 times the original estimates. Sampark's view on provision of credit is that building an NGO's credit capability is a long term task and they could train NGOs to obtain credit. Instead credit linkage with banks or the Bridge Foundation, even through lobbying was recommended.

It was decided that though Sampark would work with IDS in Mugad to start with, they could later work with the other organizations.   Sampark also said that if other organizations wanted, they too, could participate in the training not just IDS staff.

Department of Industries & Commerce, Government of Karnataka: Dr. Fiona Nunan, Dr. Chandra Hunshal, and Dr. Sangeetha Purushothaman met with personnel from The Department of Industries and Commerce where schemes listed below were examined for potential linkages to the project. The Women's Guidance Cell, Directorate of Industries and Commerce also suggested some programmes**[38]**.

- Prime Minister's Rozhghar Yojana, an income generation credit programme, which provide loans to individuals.

- Yashaswani an income generation credit programme giving loans to individual women

- Vishwas, a training cum production programme

- Bee keeping (which IDS is already linked to)

- Swashakti, a training cum production programme from the Women's Development Corporation which provides a grant to NGOs and Rs 2-5 lakhs (see footnote 36 for conversion) for individuals

- Norad, a training cum production programme from the Women's Development Corporation which again funds NGOs

---

[36] One lakh = 100,000; Rs 2.5 lakh = approximately £3,750.
[37] Approximately equivalent to £11,200.
[38] Yashaswani and PMRY mainly provide loans to individuals at a regular bank rate of interest. The training programmes can be explored but the Assistant Director for Women and Child Development needs to be approached at the district level for the Norad and Swashakti training cum production programmes. For Vishwas DIC can be approached.

Priority areas listed by TECSOK for promoting production by the Department of Industries and Commerce include:

- Food processing

- E-commerce

- Service Sector

- Bio technology

It was recommended that the team write a letter to the Commissioner asking for linkages once areas are identified. Alternatively if DIC is approached at the district level, then a letter can be issued from the State Commissioner to extend cooperation to the project.

<u>Watershed Development Department (WDD), Government of Karnataka:</u> Dr. Robert Brook, Dr. Fiona Nunan, Dr. Chandra Hunshal, and Dr. Sangeetha Purushothaman met with the Commissioner, Mr. R.G. Nadadur, for the World Bank funded programme on water shed development on linkages and the four PAPP villages which are already under the watershed area.

The current WDD plan is that from now the first 6-8 months will be for formation of SHGs and micro-watershed management groups (MWMGs). After that a planning phase of a few months for the micro water sheds and then implementation or actual treatment will follow. Thus funding may begin in a year or two year based on other considerations including when farmers are free to work. No targets are set. Though watershed treatment will benefit mainly the landed, another dimension added to the project is income generation for the landless where they will be looking at the tertiary sector and at small-scale cottage industries. Potential collaboration was seen in the following areas:

- Aspects funded by the WDD need not be funded by the subsequent project R8084, for the four villages.

- Training on participatory methods and techniques for government officials.

- On income generation, development of new methodologies and sharing strategies on market analysis, social marketing and so on can be shared by both projects

- Sharing of overall lessons in both projects, PAPP and the World Bank Project

- Inform and invite the state department of all events in the Action Plan project.

Tank restoration and repair is not funded by the WDD. However, very small tanks can be seen as entry point activities (less than 10 ha command area, and these fall under the GP).

<u>Jala Samvardhane Yojana Sangha (JSYS), State Tank Restoration Agency</u>

Mr. Madan Gopal met with Dr. Robert Brook, Dr. Fiona Nunan, Dr. Chandra Hunshal, and Dr. Sangeetha Purushothaman. At some point the World Bank project split into watershed rehabilitation and tank restoration components with only 40% overlap between these, if at all. This means that 60 percent of the villages of both projects will either have only their tanks repaired or get watershed treatment. JSYS aim to restore 2,000 to 2,500

tanks over five years for tanks with above 40 ha command area[39]. The Hubli-Dharwad area is not being covered by JSYS and at present JSYS is not looking at future expansion of their project area. Potential linkages include:

- Exposure visits from men and women community representatives, NGO representatives, and other project partners.

- State resource groups are being set up by PAPP and the SJYS project and the PAPP partners can be part of both committees.

- Transfer of lessons between both projects

7.6. Lessons Learnt on State Linkages[40]

Past experience of NGO-government collaboration has been difficult and challenging. Despite on-going negotiations it is found that state agreements often do not reflect NGO concerns. One example is the WDD collaboration with IDS and BAIF. In extensive discussions NGOs recommended that GP members not be placed in charge of the Micro Water Shed Groups for reasons of corruption. Despite this, at a meeting held in Dharwad it was announced in the presence of all Panchayati Raj representatives, that two GP members will be given the posts of President and Vice President of the MWMGs. This implies that while the poor may be involved in planning the GP members will now be in charge of these funds and have the final right to allocate them. This privilege, in and of itself, will have to be challenged and reversed. This is just one example of what can be expected in the collaboration with state institutions.

The experience in PAPP is that district and state linkages are extremely important. For the smooth functioning of district operations relationships built at the state level are important. PAPP being operational in only six villages becomes useful only when its lessons are transferred to larger project or used for policy input and when the expertise of the project partners is utilised for dissemination of the learning from PAPP. Here if the WDD linkage on income generation takes place, the learning from PAPP will be disseminated on a state wide basis, in every district and every block.

7.7. Recommendations

While there is much to be gained in this collaboration a certain set of principles must form the basis of the linkages:

- Planning from below: The definition of issues, departments to be linked and reasons for linkages must be grounded in the community's planning initiatives. Linkages forged at the state level must be a direct reflection of the needs voiced by both NGOs and CBOs at the district level and more so even at the village level. Community priorities need to be center-staged by the PAPP team in forging linkages. For example, tank repair has emerged as a priority area in most PAPP villages. This will not be covered by either JSYS or the WDD. Therefore if tanks are a priority then any intervention and funding on tanks must be planned independent of state institutions.

---

[39] The area which can be irrigated by the tank.
[40] This analysis is mainly from the perspective of BPF and some of the team members present for these meetings.

This is true for all other areas of intervention, namely aspects in forestry, income generation and sewage treatment that may not be funded by government. Thus alternative sources of flexible funding must be sourced to match project funds.

- Independence from Government: Timing of the state departments are often delayed and therefore complete reliance on state departments could be a mistake even in potential areas of duplication of funding. Many conflict areas such as corruption, inclusion of Panchayat members as lead actors, funding streams through Panchayati Raj institutions (highly politicized and potentially corrupt) can and in the past has resulted in the breakdown of collaboration between government and NGOs at any moment in time. These are ways in which NGOs establish boundaries and set the terms for interaction and hold the government accountable. Therefore given that the NGOs should not be made dependent on state agencies, it is recommended that state linkages are viewed in the following manner:

  - Planning of the project interventions such as watershed, tank restoration, income generation needs to be done independent of government linkages and institutions initially at least. As and when government or other resources come in, Action Plan budgets can be replanned.

  - Visibility of the project can be greatly enhanced through interaction with the State heads such as the Commissioner of the Water Shed Development, Industries and Commerce and with the Executive Directors of JSYS or KAWAD.

  - The interaction could inform policy of various state agencies and projects.

  - Government officials need to be trained in participatory methods and in learning how to involve the community in planning, monitoring and implementation. The strength of PAPP lies in its emphasis on participation and as a model for state and district actors.

  - Linkages with Government Especially on Livelihoods: A key recommendation therefore includes looking for alternative sources of funds and other inputs especially to cover areas not envisaged by the project such as

    - Sampark involvement for market intelligence

    - Actual infrastructure repair and construction such as toilets, tank restoration,

    - Income generation activities

    - Technical training and inputs

The issue of exploring alternative livelihoods for women and the landless is seen as a difficult task ahead for the team as this group is unable to articulate solutions. Many of the existing occupations of artisans and women are being eroded due to increased competition from plastic and rubber products and lack of access to raw materials (Photos 7.11 and 7.12). Thus additional emphasis is being placed on this aspect of the project.

In these explorations it has been found that the WDD will fund Sampark involvement and the income generation activities. Small tanks can also be funded by WDD. For tank restoration, some funding at the district level has been channeled towards the Mugad cluster only. It is recommended that the PAPP team puts together a brief overview on

what the project covers and what is left unfunded and that a funding strategy be designed and proposals written on the same.

Chapter 8: Finalization of the Action Plans Using Participatory Logframe Processes

In September 2001, action plans for Gabbur and Channapur were finalized. It was decided that the logframe design and training that took place for the project partners in June should at this stage be extended to the village community. These plans were to be presented to government representatives who would be taken to the villages.

As past experience in the diagnostic workshop and the state visit to Mugad revealed that government tends to dominate these discussions, the capacities of village representatives to articulate their issues in front of a government audience had to be built. In Channapur and Gabbur where the SHGs were fairly young and still being formed, unlike Mugad, representatives would need time to prepare their presentations to the government. Therefore project partners would spend time facilitating the creation of the logframe with the communities and practice presenting it to build their confidence and articulation skills.

8.1. Team Meetings

To facilitate a participatory logframe for the village community, the team had a refresher training on the logframe process. In this meeting it was also decided what parts of the logframe the community would develop and the team would do what parts of the logframe. Two preparatory meetings were held with the NGOs and University representatives to:

- Prepare the entire team for the action plan implementation, defining roles and responsibilities and defining timelines.

- Train the whole team on the logframe and preparing a methodology to use with the village representatives for their input in the preparation of the logframe

In Channapur the SHGs formed by BGSS had not developed beyond doing some thrift and credit activities and did not demonstrate the same level of strength and maturity of the Mugad groups. New groups had been formed by BAIF in Gabbur and Channapur villages. Therefore all these SHGs needed to prepare to dialogue with the TIs. Both men and women would be prepared to present their problems and solutions separately to the TIs so the different gender perspectives could become transparent to the TIs, the team and the village community.

Selected steps in the logframe would be developed with the village level representatives including:

- Issues and problems faced

- The expected outcome after 3 years

- Possible initiatives and activities to reach that outcome

- Indicators by which we can know how we have reached those outputs (examples of such indicators for women could include: school fees can now be paid, can pay for health, the number of meals per day, purchase of household articles among others)

This would be a first attempt to design a logframe with village participation.

8.2. Visit to villages for Participatory Logframe Analysis: Preparatory Meetings

Preparatory meetings were held in Gabbur and Channapur on 5 September with male and female representatives separately. In the morning in Gabbur two groups of men and women discussed the different steps for the logframe separately (Photos 8.1 and 8.2).

Women could not come up with any concrete livelihood alternatives but were clear that they wanted paid work at home. Women felt forming a sangha was one way to address alcoholism, gambling and increasing access and control over women's incomes (Photo 8.3).

In the joint meeting in Channapur women discussed the issue of alcoholism with men. The unfortunate outcome here was that the woman who presented this issue did not attend the official meeting held the next day as she was probably dissuaded. Gender issues that could cause potential conflict like alcoholism tend to be either suppressed or handled inappropriately, both of which do not benefit the community in the long run. NGOs have evolved different ways of handling such issues. One technique used by BAIF to stop alcoholism is spiritual development. After this meeting the entire team is exercising greater diligence to ensure that gender issues are addressed (Photo 8.4).

Solutions that emerged revolved around activities such as sangha formation and thrift and credit as first steps followed by animal husbandry, organic farming, soil and water conservation.

8.3. Presentation of Village Representatives to Target Institutions

On 6 September representatives from all three villages in the Mugad cluster presented the problems faced and possible initiatives to officials in a meeting held to get official reactions and to discuss linkages with government schemes on the action plans. The overall purpose of this meeting with the TIs was to create a dialogue forum between village community representatives and district officials on the action plans being designed by the village. It was hoped in this process that officials could react to the plans and provide information on possible schemes that could be linked to the plans.

8.3.1. The Mugad Dialogue

Mr. Shivaraiappa, a potter and GP representative (Photo 8.5), provided a brief background of the project. *"There have been a number of discussions with the village community and charts created have been displayed here for everyone to see. If we discuss and explain our problems to the team and the officials then we can see how these problems can be solved."* Mr. P. S. Vastrad, CEO, Zilla Panchayat, Dharwad explained the reasons for government presence saying that they were here to listen to their problems.

Access to the forests: *"We do not have much rain because the forests have been destroyed. Because the rain is less, there is less fodder and less yields. Because yields were less, people have started other occupations such as brick making and stone cutting. If provided access to the forests, the community can get firewood, fodder to improve diary and artisans will get access to their materials. Because there is less rain, water table has declined and there is no water in the borewells. In a diagnostic workshop, all*

the villagers linked to the project rated how each of these issues affects their village. For Mugad, the issue that got the highest points was the forest clearly making it the main priority. The forest department handed over the forests to the KFDC, which grew eucalyptus thanks to which there is no fodder. People do not have access to non-timber forest produce. Leaf plate makers do not have access to the leaves. When it rains soil is washed away into the lake."

One woman representative talked about forests. *"Earlier we had access to fruits from the forests, which we used to pick and eat. Now if we go anywhere near the forests, the officials catch us. If we collect firewood the officials ask us to pay Rs.30 and if we do not pay it they take away the firewood. So what are we poor women supposed to do. They have grown Eucalyptus under which nothing grows and it has spoilt the land. Earlier people from other villages used to come to collect firewood now we have to go to their villages to collect firewood."* Another woman representative said, *"We need rain for which we need the forests."* Several other women representatives reiterated how their problems have increased ever since they lost access to the forests. One woman said, *"You forest officials, please do not grow Eucalyptus."* One man said, *"We also have made mistakes. Instead of blaming others by saying they have grown Eucalyptus we have made the mistake of cutting whatever has been grown."* One male representative said that IDS years ago already formed sanghas and the joint forest committee (JFC) who used to meet every month and written letters to the Forest Department.

Mr. K. S. Naik, Assistant Conservator of Forests, said that importance was given to the issue of forests, while only 53 acres is under forests for this village and about 495 acres is attached to Belur, not to the Mugad area. All that area was already transferred to the KFDC and therefore the Mugad community cannot access it. Decentralized nurseries can provide work for women but he mentioned that in the past out of 20,000 plants raised only 10,000 plants were bought back by the Forest Department and payments were delayed. This could pose a problem to poor women who raise nurseries.

<u>Deweeding and desilting the tank</u>: One woman representative discussed water shortage and how soil erosion has resulted in the silting of the tanks. *"The weeds have created a problem for the fishermen. The cattle go into the tank and get caught in the weeds."* The community wanted the weeds removed from the lake.

Mr. Laxmipatti, the District Water Shed Development Officer, Dharwad said that Mugad and Daddi Kamalapur villages have been included in the World Bank funded watershed development project (Photo 8.6). The first phase is covering two talukas in Dharwad with IDS involved. In the second phase these villages will come under the scheme. Wherever the space is available bunds will be formed and along the bunds trees planted. This will increase the water table. So all the financial support is available under the WDD scheme. At present they can give technical inputs. For both technical and financial inputs people will have to wait till the second phase of the project. In the meantime the community can form an association working through IDS.

Ms. Anjana Devi. T., Fisheries Extension Officer said that there is a species of fish which will eat certain weeds. For manual weeding, the Irrigation Department can help. The Mugad tank is given to the Fisherman's Cooperative Society who has fishing rights and in return is supposed to maintain the tank. *"If so many people depend so much on the*

lake you should take better care of it. When the lake water decreases you should start desilting the lake." Mr. Shivaraippa responded saying that because of the weed the income from the fish has reduced to Rs. 20,000 a year[41], which is not enough to maintain the tank. The problem is also the water level where the weeds are located is always high and therefore is cannot be weeded. The grass is also deep rooted so it is impossible to do it manually.

The CEO mentioned that under the new scheme under JRY[42], a combination of grain (40 percent) and money (60%) is to be given in return for community labour and under this program the tank could be deweeded and desilted. Under this scheme, Rs. 44,000 worth of grain and Rs. 72,000 worth of cash is available.

Here a decision was made on the spot by the CEO to solve the tank problems by the innovative use of a new program. Thus the very creation of a forum like this allows for new and innovative solutions to come to the fore.

Livelihood issues for artisans: "*Poor women have nothing. We have to just sit quiet with folded hands. So if you can do something to find income generating activities it would be a great help for poor women."*

Dr. Rakesh Bangle, a veterinary officer suggested milk as an income generation activity due to the markets being easily available.

The CEO concluded the meeting, saying, "*You have been planning the action plans for the last six months through which we now know the priority based issues. All departments present announced programme linkages so wherever possible you can link these programmes to the plans. There are schemes at the district and taluka level. We can plan but implementation can take place only according to the funds available in the programmes in a particular year. Thus to complete the plans it will take 2-3 years. So you have to participate well. Not only us, but the World Bank has come forward and asked for your contribution. So whatever the scheme, now they are asking for your contribution because earlier schemes were not taken care of in a sustainable way. I promise that whatever is possible through your GP we will do our best to support it. Maybe we can implement the plans through JRY or the watershed development schemes."*

8.3.2. The Gabbur Dialogue

At the meeting on 7 September 2001, Prakash Bhat from BAIF said the government has a lot of programs and spends a lot of money but do not know what to prioritize and where to spend the money. The village community has to prioritize. This is a forum for the community to present their action plans and prioritize the issues especially since funds are limited. Various government departments are working with their own work plans. This is an effort to bring together officials and the villages to match their work plans with people's needs.

---

[41] Less than £300 a year.

[42] Jawahar Rozhgar Yojana, a government scheme for infrastructure.

The community representatives of Gabbur outlined three main issues (Photo 8.9):

Dairy: While there is a market for milk, access to fodder is a problem as is lack of knowledge about cross breeding and cattle rearing and reduced milk yields. Profit is declining and they have very little access to credit, as they fall within the Municipal Corporation boundary. Access to credit is possible through savings by forming SHGs. Veterinary facilities are a problem as centers are located in the city so cattle need to be taken there for treatment. They need better breeding services. Therefore if a para-vet is trained from the village he can conduct artificial insemination for the cows.

Dr. Rakesh Bangle, Dept. of Animal Husbandry, said that there are two problems with diary, land and market. The city is close by and advantageous for milk sales.   The problem is lack of land. *"Land no one can do anything about. If there is no land how can you do diary? Concerning veterinary services take the cattle to Hubli. The alternative is the village can decide on a day and the department can send a person to check on the animals. One person can also be trained to do the artificial insemination for the cows. For artificial insemination, it depends on the animal, which will determine the type of injection given"* (Photo 8.8).

The social forestry official suggested that plants be grown as access to fodder is a problem. There are departments present here which can provide saplings at a discount.

Sewage Irrigation: Sewage irrigation has led to more weeds and lower crop yields. Land surfaces have hardened due to use of sewage water and thus very few seeds sprout.

Dr. Rakesh Bangle said that sewage has chemicals, soaps and detergents mixed in it. To treat the sewage water he suggested two techniques. The first was to dig a canal next to the sewage to filter the seepage. Another technique is flood irrigation which will filter chemicals. The rain water is collected and the land flooded with that.

Agricultural labour: Maize and vegetables are the main crops and male labourers are preferred. Women agricultural workers get work for only 6 months out of the year at a low wage rate of Rs. 10–15 per day[43]. Women are engaged in weeding. While men said weeds are a problem, women said that if the weeds do not grow they will lose whatever little they are currently earning.

8.3.3 The Channapur Dialogue

Two main problems are health and animal health and access to credit for landless. Different people spoke about different issues:

- Eucalyptus has been grown in 500 out of the 800 acres of forest, under which nothing can grow. There is no firewood and very little fodder resulting in low milk yields.

- Both Channapur and Gabbur are dependent on dairy. Dairy currently has low productivity.

- Soil fertility has been lost especially due to undulating land where proper soil conservation methods are missing.

---

[43] At time of writing, £1 = Rs 68.

- A staff member from BGSS, a NGO working in Channapur, said that all the tanks are silted reducing water availability leading to low agricultural yields. Alcoholism is a major problem. Being close to Hubli city has greatly affected the villages.

- A woman representative spoke about the loan she got from her sangha from which she started a shop. However she did not touch on the issue of alcoholism.

The Channapur people want the forest department to give people access to the forests and for the department to reduce eucalyptus plantation (Photo 8.9).

Three initiatives were suggested:

- Tree based farming system with soil and water harvesting

- Dairy improvement activities

- Livelihood activities for the landless

Reactions of the Government and Banks

The CEO, Mr Vastrad, said he would work with BAIF to help the village. "The official from the animal husbandry department has said he will come and work with you in your village so you just give him a date. Vijaya Bank is the lead bank here so I will tell them about your problems. He recommended that Malaprabha Grahmeen Bank solve credit problems. As far as the forest is concerned we have the Social Forestry Department here but your issue comes under the Territorial Forest. We can think about handing over the land or growing different trees once the eucalyptus period is over."

Mr. R. N. Prabhu, Malaprabha Grahmeen Bank, said he would help them on the issue of credit.

Dr. Bhat said that agroforestry was also an option and asked if saplings could be provided by Social Forestry Department and the CEO responded saying that they would look into it.

The CEO, Mr, Vastrad concluded, "*I understand that you have got many more problems than those you have presented. Regarding training on dairy, though it is within city limits, we will depute 20 members for dairy training. As to fodder, plantation of fodder plants is envisaged. Just because we have come to listen to you this does not mean the dialogue is over. I suggest people follow up the assurances given by the officials by telephone or visiting our respective offices. Or you can get in touch with BAIF and we will help as much as possible.*"

8.4. Lessons Learnt from This Stage

Here the interaction with government and the community for the second time reinforced certain perceptions from the first interaction. Finally the participatory logframe process also provided insights into the process for replication of the same.

8.4.1. The Government-Community Interaction

Working Group Concept: From the dialogues it was apparent that the community needs to go through a community mobilization process and associated leadership training to dialogue effectively with the TIs. Therefore the original concept of the working groups

involving the TIs would have to wait in most villages until the SHGs are formed and capacity building has taken place.

TI Current attitudes on indigenous knowledge: Prevailing attitudes of the TIs that people do not know their problems nor do they have the solutions. This attitude needs to change either through the process of interaction or through separate training and orientation workshops with government. This is essential to prevent them from dominating the planning and implementation process.

TI Current attitudes on single issue focus: Another attitude of the government that needs to change is that people should focus on a single issue. This does not recognize the fact that the landless, women and landed may have different priorities which an action plan needs to accommodate and that some groups like women for example may have equally important and interrelated issues and priorities. Women in Mugad for example clearly saw forestry and livelihood issues are interrelated and linked and prioritized both.

Community Mobilization: This and past experience revealed that SHG formation among the poorest groups is a first step and only after that can the planning process not be dominated by the landed or the TIs.

Conscious strategy needed: The team needs to evolve a conscious strategy to deal with government at every level, village, district and state. This strategy needs to be grounded in community concerns at all times.

Commitment from Above: Having the cooperation of the CEO, Mr. Vastrad has made a substantive difference to the involvement and participation of the various district departments under him.

Increased Articulation and Other Skills: The community has become more cohesive in their presentations. For example, people in Mugad are more easily able to own up to their own mistakes in the past on the forest issue in front of the TIs. This preempts a confrontation between government and the community on these issues. On the issue of the tank as well, the Mugad representatives were seen to better field questions. Even for the other villages now that SHGs have been formed, leadership from these groups is emerging and women too are becoming more articulate in the preparatory meetings although not yet in the interactions with the TIs as was seen in the Channapur presentation. The representative from Channapur who spoke in the village was more articulate than the woman who finally presented although both belonged to sanghas organized two years ago by BGSS.   The Gabbur representative also indicated that new skills were evolving as a result of sangha formation. According to her after forming a sangha, sangha members were taking night classes to become literate.

Holding Government to their Commitments: Several commitments were made by various department heads in the meetings in front of the entire community. It is important that follow up work be done by the team to ensure that these commitments are a) at the very minimum put in writing and circulated with government and simplified for village community as well. b) ensure that the planning process integrates these commitments and ensure that government now delivers on those commitments. One method by which the team is trying to do this is through the newsletters.

8.4.2 Reflections on the Participatory Logframe Process

Logframe training of the Indian NGO Team: The first logframe for Mugad village was created based on village input of priorities and initiatives but without sitting with the village representatives to create the logframe itself. This was in part because the Indian team itself did not fully know how to create the logframe and was exposed to it only a day before the first logframe was due. Therefore the creation of the first logframe was a learning and training process for the Indian team representatives themselves. In order for the first logframe to have involved the village representatives more time should have been allocated by which the logframe could have been taken back to the village and recreated there (like in Channapur and Gabbur). In Mugad the action plan was taken back and discussed with the community.

Prioritization of Steps to be worked though at the Village Level: The second logframe was formed with the participation of the community. For this to happen preparation meetings with the team took place where they needed to be trained again on the logframe and to decide which steps could and could not involve the community.

Separate gender perspectives: The second logframe was created with women and men separately. This was one solution to the fact that women do not speak openly in front of the men and in the past only separate meetings with the women revealed that the plans formed by the men would not work for them.

Mistakes made: The women from Channapur village in the logframe process spent most of the meeting discussing alcoholism and the need to address it. While the issue of alcoholism will be addressed in the Action Plan itself and work to raise consciousness on the issue has already begun in BAIF yet perhaps the women presenting this issue to the men was a mistake. This was clear as the next day for the meeting with the TIs the woman who presented was not present and the other woman did not even discuss the issue and spoke very briefly. Therefore while it is important to raise gender issues such as alcoholism and make it transparent it is still not clear to the team how this issue has to be dealt with at the community level.

8.5. Key Recommendations

Formation of SHGs as a First Step: In future projects formation of SHGs and community mobilization especially of the poorest and most vulnerable sections of the community must be seen as a first step and as part of the planning process. About six months should be allocated to just that part of the process.

Government Training: Some separate training of government representatives is needed to change their perspectives on participatory holistic planning.

Separate Forums for Women: Participatory logframe formation has been attempted here for the first time where it was found that separate forums for men and women enhanced women's participation.

Strategy to Deal with Women's Concerns: As yet it is unclear how to integrate women's perspectives without preventing a back-lash and the team needs to evolve a clear strategy on how to deal with sensitive gender concerns like alcoholism.

<u>Written Commitments</u>: A version of reports on government interaction needs to be created and given back to state and district representatives to hold them to commitments made in public forums. A simplified version of these commitments needs to be also disseminated at the village level so they can hold officials accountable to the process.

Chapter 9:Outcomes

Listed in this chapter are the concrete products produced through the PAP project.   An analysis of outputs follows in the next chapter.

9.1. The Action Plans Compared

This section compares the three action plan in terms of their aims, activities and expected outputs. By March 2002, three plans of action had been produced (Annex D).

9.1.1. Comparison of Aims

Table 9.1 provides the aims of the two action plans

Table 9.1: Aims of Action Plans.

Mugad cluster	Channapur-Gabbur	Kotur
Improve livelihoods of the poor, particularly artisans and landless labourers, by improving their access to raw materials (notably a forest area) and to explore potential alternative livelihood options, where demand for products is declining. Rehabilitation of the watershed will be carried out on a pilot basis to contribute to better water management in the fields of marginal farmers and provide fodder and trees by planting on farms.	Improve livelihoods of the poor, particularly the landless and women, by enhancing the productivity and marketing efficiency of their current dairying activities and to explore alternative livelihoods for those without access to natural resources. Rehabilitation of the micro-watershed in Channapur will be carried out on a pilot basis to contribute to better water management in the fields of marginal farmers and provide fodder and trees by planting on farms.	Combat neglect of natural resources, particularly water for growing crops and drinking. Increase access to resources, employment, food, assets or credit for the poor, landless and women. Combat alcoholism and other influences that lead to social disharmony.

Aims are linked to the issues prioritized by the village communities.

In Mugad the forests and tanks are the main issues prioritized and thus aims include linking livelihood issues where possible to these natural resources and where not possible to explore new alternatives (Photos 9.1 and 9.2).

In Channapur poor land and less work, forests and water are the key issues. However interventions planned are around watershed development and agroforestry.   For livelihoods the intervention is to enhance the productivity and marketing of dairy activities (Photo 9.3). However for the landless and women and all those without access to natural resources, alternative livelihoods will be explored. In Gabbur the issues are lack of land, health issues due to sewage irrigation and dairy activities that can be enhanced. The intervention this is to enhance the productivity and marketing of dairy activities and for the landless and women, alternative livelihoods will be explored (Photos 9.4 and 9.5).

In Kotur the issues identified were extensive NR degradation, principally soil erosion and consequent siltation of the several irrigation tanks in that village. This had led to poor recharge of underground water, so drinking water has also become an issue. Alternative

income generation strategies, particularly for women and the illiterate, and method to counter forces leading to social fragmentation, were also highlighted.

9.1.2. Activities Compared

Table 9.2: Activities in Action Plans

Mugad cluster	Channapur-Gabbur	Kotur
The first activity will be to set up SHGs or re-activate existing SHGs. Exposure visits to Mugad SHGs will facilitate this. Exposure visits for Tis, Indian research staff and CBOs to best practices. Training will take several forms: a. For SHGs, on community development, livelihoods and NRM. b. Agencies like Sampark with expertise in identification and development of new livelihood opportunities for the poor, market intelligence and monitoring of livelihoods will train CBOs and NGOs. Forming strategic plans with primary beneficiaries for development of alternative NR dependent livelihoods; increased access to natural resources; and implementing NRM interventions. Physical action includes desilting tanks, rehabilitation of the watershed, planting trees and fodder along field boundaries, and livestock health activities like animal health camps. Research activities include participatory surveys monitoring gender implications. NGO staff and researchers can keep reflective diaries of their experiences to assess approaches that work and do not work coordinated and trained by BPF. Collation of information relating to this web of institutional relationships and the analysis of institution strengths, weaknesses	The activities for these two villages are essentially the same as for the Mugad cluster. The main difference will be the inclusion of one or more nearby villages into the action plan at the 15 month stage (start of 2003-4 financial year). This will take the form of the form of a small project to be bid for and run by Indian collaborators (or possible other parties from India who have shown an interest) over the last two years of the project. With appropriate stakeholders, nearby village(s) will be identified to where specific project activities could be extended. Specific learning from this activity will: How to set up a bidding process appropriate for the local context By that stage of the project, which are the appropriate stakeholders to decide to where the project should be extended and what criteria they use. What aspects of the 'main' project are taken up, which ones are modified and which are rejected, and reasons for all the foregoing (in other words, how has the 'thinking' of what constitute desirable interventions evolved during the course of the 'main' project?).	Catchment area treatment to improve natural resource management and improve livelihood options for the landed, landless and women: Broadly this includes watershed development, agro-forestry, enhancing agricultural activities, horticulture, forestry, fisheries and dairy development. Community development: This broadly means the formation of self help groups among the poor, women and landless and the building of their capacities to address problems. This will also help address the issue of alcoholism and increase women's access to and control over income. Improving employment opportunities for the poor, landless and women: this includes mobilization of these populations, market assessment of urban and local markets, assessment of products that can be produced from the human and natural resource base to sell in urban markets, conduct exposure visits to assess their options, awareness raising and training, capacity building to solve problems, building their skill base and providing them technical training, link these populations to the government and banks for credit to begin income generation.

and intra- and inter-relationships, and instrumental and policy gaps for the management of the peri-urban interface		
No expertise exists on participatory monitoring and evaluation so two Indian team members are being trained in the Philippines.		
The role of UK team is to ensure that the research assignment is completed to an internationally acceptable standard and passing these skills on to the Indian team.		

The activities include research and development related activities. The first step is seen as community mobilization. Exposure visits will facilitate this and are needed throughout the project for all actors. Training and capacity building is an essential part of the process for all players. These are common to both plans.

The actual physical interventions differ somewhat between the plans. In the Mugad cluster due to IDS's prior experience the intervention on forests will include formation of joint forest management committees (Photo 9.6). In Channapur the parallel activity here from BAIF's experience will be agroforestry. Watershed development will take place in all three plans (Photo 9.7). BAIF will lend its expertise on dairy and cattle breeding to the project in enhancing dairy related activities (Photo 9.8). In Kotur, rehabilitation of the micro-catchment, improvement of dairying enterprises and agroforestry will be the main physical activities. All plans aim to include the landless and women by exploring alternative livelihoods for these groups (Photo 9.9).

The research activities include surveys, monitoring of gender differences, capacity building of the team in documentation, participatory monitoring and evaluation and analysis of the political economy.

9.1.3. Outputs Compared

For sustainability, the first output is building the capacity of the community to create their own livelihood and natural resource management strategies and negotiate for resources from target institutions. This is identical across both plans.

The second set of outputs is about learning. For the community, this is learning about working collectively, conflict resolution, negotiation and accessing resources, design and implement their own solutions.

For the TIs it is learning a new facilitative way of working and interacting with communities that allows for their participation (Photos 9.10 and 9.11). Here the variation will stem from the following differences

a. Institutional approaches (UAS, IDS and BAIF)

b. Governance jurisdiction with HDMC operating in one village and PRIs in the others.

c. Differential access to the city with one village having less access due to poor roads.

Table 9.3: Outputs of Action Plans

Outputs	Mugad cluster	Channapur-Gabbur	Kotur
1. Increased capacity of the communities to achieve sustainable change to their livelihood strategies, through improved access to and management of NRs, and alternative livelihood strategies.	For sustainability capacity building of the target groups to diversify their own livelihood strategies and better control their own destinies rather than responding to changes in circumstances. New options which take advantage of city's proximity need to be explored. NR degradation will be addressed by project facilitated direct action and by negotiation with TIs (access to forested land and to Government personnel and material resources).	For sustainability capacity building of target groups to diversify their own livelihood strategies and better control their own destinies rather than respond to changing circumstances. New options taking advantage of city's proximity need to be explored. Building the poor's capacity to explore new options themselves. NR degradation will be addressed by project facilitated direct action and by negotiation with TIs (access to forested land and to Government personnel and material resources).	For sustainability capacity building of target groups to diversify their own livelihood strategies and better control their own destinies rather than respond to changing circumstances. New options taking advantage of city's proximity need to be explored. Building the poor's capacity to explore new options themselves. NR degradation will be addressed by project facilitated direct action and by negotiation with TIs.
2. All stakeholders, gain new insights from the action plan implementing process into: 2.1. Factors which facilitate cooperation between different stakeholders; 2.2. Effective and sustainable solutions to identified issues.	Primary beneficiaries should learn how to work together for mutual empowerment, resolve conflicts, diagnose and implement their own solutions, and find resources, services and expertise independently, without TIs dominating the process. TIs could learn other ways to 'top down' methods. Two State level TIs, expressed a strong interest in learning about participatory approaches and can potentially influence District TIs. Research team will learn how to facilitate changes in TIs attitudes. Lessons from Hubli-	Same insights as for Mugad. Additional insights include differences due to: Institutional approaches and expertise with BAIF and IDS. Governance jurisdiction with Gabbur falling under HDMC. Poorer road from Channapur decreasing access to the city	Same insights as for first two action plans. Additional insights include differences due to inclusion of UAS as a major player in action implementation, with IDS providing community development expertise. Peri-urban context differs from other two sites because presence of a large industrial estate nearby means that many landless have paid jobs and integration into a non-NR based economy is much more marked than in other action plan locations.

	Dharwad probably have relevance for other contexts.		
3. Transferable monitoring systems developed by project participants for changes in: a) Livelihood strategies b) NR base c) Degree of effective collaboration between stakeholders.	Various actors should be able to monitor the impact of the project. The indicators have to be simple but effective, believable by all and sustainable. Indicators for b) exist and are wide use. Indicators for a) were explored in R7867 Development of indicators for c) is going to be difficult and could include numbers of meeting and profile of attendance, but separate interviews to assess attitudinal changes is necessary. As with Output 2, lessons learned from the development of appropriate indicators will be widely disseminated.	Various actors should be able to monitor the impact of the project., as intended for the Mugad cluster. It will be interesting to observe the degree of similarity or otherwise of indicators arrived at by villagers in Gabbur and Channapur, compared to the Mugad cluster, for changes important to them such as well-being and the NR base. The criteria for selection of such indicators will be similar to those for the Mugad cluster, although there will be freedom for primary beneficiaries to select indicators meaningful to them.	Various actors should be able to monitor the impact of the project., as intended for the other two action plans. It will be interesting to observe the degree of similarity or otherwise of indicators arrived at by villagers in Kotur compared to Gabbur, Channapur and the Mugad cluster, for changes important to them such as well-being and the NR base. The criteria for selection of such indicators will be similar to those for other action plans, although there will be freedom for primary beneficiaries to select indicators meaningful to them.

d. Size of village lends to higher complexity of issues, organizing, populations, castes and occupational mixes. Mugad and Kotur are large villages compared to Gabbur, Mandihal, Dadikamalapur and Channapur, and so these will require different strategies, outputs and results.

e. Prior Organization: Mugad has a strong network of ever evolving SHGs. Channapur has 10 SHGs formed by BGSS but not very strong compared to Mugad. Gabbur, Mandihal and Dadikamalapur had no SHGs at the outset. Kotur has government founded sanghas (see footnote 33), but no NGO formed ones. This itself will lend to variation in learning capacities, motivational levels, capacity to carry out community based activities among other differences.

f. Prior Institutional History: IDS had a strong presence in the form of a ten year history and staff living in Mugad while BAIF does not in Channapur and Gabbur. Moreover, in Channapur BAIF has to work with another NGO with an existing set of relationships and different philosophy from BAIF which could constrain BAIF to some extent. The one positive factor is that people of Channapur are in contact with people from other BAIF project areas. None of the other villages had any contact with NGO prior to this project.

The third output is about creating participatory indicators and developing a participatory monitoring and evaluation system. This needs to be traced as it is new for the entire team.

9.2. Newsletters

Two newsletters were published by the Best Practices Foundation in August and February respectively (see Annex E). Though originally it was planned to have bilingual newsletters in Kannada and English, the budget did not allow for both. Furthermore the type of newsletter that had to be produced for the target institutions and for the community had to be completely different. Thus it was decided to prioritize the dissemination to target institutions this time around especially since there was no other documents to provide this information to TIs. Therefore the newsletters were written with the purpose of

- Informing state and district institutions about the project, its goals and activities.

- Keeping the institutions abreast of the developments in the project.

- To publish in writing some of the commitments made by target institutions.

The first newsletter focussed on the Mugad Action Plan as that was the main outcome by August. The second newsletter focussed on Gabbur and Channapur and on the participatory logframe processes that took place in these villages.

The process was BPF put together a first draft which was then reviewed by the team collectively in August and individually for the second newsletter (Photo 9.12).

9.3. Photography and Participatory Video

Through the process the need was felt to initiate a participatory communications process where people could represent their own needs, issues and solutions. Films and photos were seen as a more user friendly and more powerful media than written material.

IDS used photographs to stimulate discussions on peri-urban issues, as people of Mugad told IDS that photos graphs should be used to better communicate peri-urban problems. IDS then hired a professional photographer and the community helped the photographer find the images to best depict their issues. These photographs were then used in all training and also in major events to depict the problems in Mugad. IDS also used this technique in Kelageri as it was found to be more successful than training with the help of other means.

Box 9.1: The Participatory Video Technique

The purpose of participatory video or photographs is to provide participants with the tools and skills needed to operate the cameras for themselves. Further it is to provide them with the means to communicate their situation, in their own words and images. This is a technique that enables people to film their colleagues and peers about a particular problem that they face. People are encouraged to speak directly about the problem and to show what they wish to show about the origins and situation. The objective of encouraging villagers to use video or still cameras is to allow them to tell their story and produce films, posters and presentations that illustrate their main issues of concern.

For the participatory video, neither the team nor the community had the equipment or technical know-how on to produce films. To fill this need, capacity building was arranged between New York University, Department of Undergraduate Drama, Tisch School of the Arts and the Best Practices Foundation to send a trainer to train the local team. Shalini Kantayya conducted a one day introductory session on video making, created a process by which the team built the story line for the film and learnt the basics of video making.

The first session was on the basics of video making and the steps required in video making. The afternoon session was devoted to creating a story line, individually and then in groups, during which the story lines were combined. In groups formed based on organizations, story lines were translated into a series of shots required, as well as a brainstorming and listing of the location of these shots, the people to be interviewed and any sound or effects needed. A schedule was drawn up and then each organization went back to the community to inform and mobilize their participation in the video making process. The communities in all three villages chose the spaces and images that they wanted shot and presented the issues they thought were important.

On the second day in the morning in Mugad a few shots of the forest and lake from afar were taken on the way to Mugad. Then upon arrival the fishermen were waiting for the team and told the team what shots they wanted. They said they would go into the water where there were weeds and wanted a shot of them catching the fish there. After that an interview was conducted with an elderly fisherman, Mr. Malkappa. Mr. Malkappa suggested that a boat ride on the lake would provide a closer shot of the weeds. Therefore the team went on a boat into the lake where they took shots of the weeds (Photos 9.13 and 9.14).

Dhyamava, a woman SHG, member then took the team to a temple and an interview was conducted with her. She wanted to demonstrate how to make leaf plates so she went to a nearby tree plucked the leaves. She took the team to a household who make leaf plates and she along with two other ladies demonstrated how to make leaf plates and talked about the forest issue in this regard.

In the afternoon the entire team went to Kotur where two people were interviewed, one farmer and one woman who worked in the factories. The farmer talked about the tank issue and the lack of water. The woman talked about the lack of work in the village that forced them to seek work in the factories where the wages were low and out of a daily wage of 25 rupees they had to spend 8 rupees on bus fare alone. They were then taken to a tank with no water and a broken bund to show the lack of water. A shot was also taken of a woman trying to fill water. On the return journey the team took shots of the nearby factories. One problem that emerged was that women in Kotur expected to be paid for their participation in the video shooting, unlike the other villages. This type of precedent according to the NGOs would be difficult to change or overcome saying it would be difficult to now work in this village if people constantly expected to be paid for their participation.

On the third day, due to the lack of transportation only BAIF staff were present with their motorbikes to take BPF and Shalini to Gabbur. Here the farmers took the team to the sewage canal and to the fields where sewage irrigation was being used for cultivation. At

that time a tempo to transport the vegetables to the city had arrived and the team managed to get a shot of the vegetables being loaded for transportation. Later two interviews were conducted with one farmer and one woman. They talked about the sewage irrigation and the problems associated with it. On the way out milkmen taking their milk to the city for sale was filmed.

In the afternoon representatives from BPF, BAIF and IDS went through the raw footage to select the shots they wanted prioritized for the final promotional video that was going to be made from this shooting. UAS was contacted but were not in the office.

Team members from each institution were present at the video training and handled cameras for the first time. The next step would be getting the funds for equipment that could then be handed over to the community. This first step was a means to getting the project partners to learn basics of video and only once they are equipped with basic skills and some practice using a camera can they start to train the community. The trainer from NYU came in briefly and conducted a training of trainers rather than a direct training of the community mainly because of language barriers and a short time frame.

A short promotional video was produced to demonstrate the issues being addressed by the project and to show the capacity of videos to project the issues. This is appended on a CD with this FTR.

Chapter 10: Comparative Analysis Across Villages

Several rounds of analysis went into changing and refining the process. These included individual dialogues between different project partners, collective dialogues with the entire team and feedback from the villages which intrinsically shaped the entire project especially resulting in changes in the issues, interventions and goals. The analysis presented in this section covers several dimensions:

- By village

- By institution

- By Process and Outcome

Based on this analysis the key lessons learnt from this project and the recommendations are presented in the final chapter. This chapter presents the village wise analysis and process.

10.1. Village Analysis

The local team first listed factors that might potentially have enhanced or hindered the planning process. The range of factors examined included:

- Characteristics of the village including size, prior existence of self help groups among other factors.

- Peri-urban features like distance from the city, degree of influence by city, time, trust and attitude, immigrant population among others.

- Issues important to different populations such as women, landless and the lower castes.

- Interventions planned like watershed development, agro forestry, dairy and livelihood alternatives for each village.

These factors were then analysed collectively by the local team who then assessed each item based on team consensus and discussions in terms of how it affected planning in each village.

10.1.1. Characteristics of the Village

Main factors affecting the planning process (Table 10.1) included:

<u>Size of the village</u>: The bigger the village the harder it was to inform all concerned population and consequently the harder to involve everybody in the planning process. In bigger villages such as Mugad and Kotur when the team discussed the plans in the lower caste areas it was found that they were not aware about them (Photo 10.1).

Table 10.1: Characteristics of the Villages

	Mugad	**Chanapur**	**Gabbur[44]**	**Kotur**	**Kelageri**
I. Features of the Village					
Size No. of Households	Very big 1200	Small 241	Very Small 78	Big 500	Very big 1363
Strength of NGO organised SHGs	Strong	Weak	None	Government	None
NGO organized Women's groups	Yes	Yes	No	No	No
Government organised SHGs	Yes	Yes	Yes	Yes	Yes
Existing credibility[45]	++++	+	+	+	0
Transportation access	Good	Good	Poor	Good	Excellent
Information available[46]	H	M	H/M	M	H/M
Previous work	H (IDS) EPM[47]	L/M BAIF	L/M BAIF	M EPM	L/M (EPM)
Soil	Red	Red Rocky/ Sandy	Black/Red	Red	Black/Red
Potential for scaling up	H	L	L	L	M
Target institutions	PRI[48]	PRI	HDMC[49]	PRI	HDMC
Potential Links with Target Institutions	Forestry Agriculture Watershed Banks UAS DRDA[50]	Forestry Agriculture Watershed Banks Animal Husbandry	HDMC	Forestry Agriculture Watershed Banks UAS DRDA	HDMC

Caste: In Mugad some women from the lower caste had not heard about the action plans (Photo 10.2). This was despite the fact that they were organized and despite the fact that many lower caste women were in fact informed. In Gabbur and Channapur, which are smaller villages, the lower castes were involved. In Kotur there is a population of lower castes but they were not involved. Again size played a factor in integrating the lower

---

[44] This refers mainly to old Gabbur and not new Gabbur.
[45] Calculated on a scale of 1-4 with each plus representing a fourth
[46] H,L and M refer to high, low and medium respectively.
[47] EPM refers to a previous peri-urban project, R7209, funded by IUDD.
[48] Panchayati Raj Institutions
[49] HDMC refers to Hubli-Dharwad Municipal Corporation
[50] DRDA refers to District Rural Development Agency

castes. Wherever there are major conflicts between castes and classes it becomes potentially hard to integrate different populations in the planning.

Resources Available: To address the issue of size and lower caste involvement more than one staff in big villages could have integrated everyone in the planning process. For natural resource management issues and livelihood issues the entire population is targeted not just the poor. Unless everyone is met they cannot be included. Therefore more than one staff member is required for big villages. The thumb rule is one staff member for 400 families. This became an issue and was recognized by the team and consequently more staff was allocated in the larger villages.

Existence of Sanghas: The first plan of Mugad was due in just three months. This was only possible because sanghas already existed and IDS credibility established in Mugad. Otherwise it would have required a minimum of six months. One clear lesson that emerged was that community organisation and formation of sanghas had to precede the action planning process. In Channapur the prior existence of sanghas was a negative factor because the philosophy underlying them was different from that of BAIF. It was positive in the sense that it gave them a base to begin with. Though there are government organised sanghas in every village the system of organization within NGOs does not exist for other institutions including the UAS and the type of inputs given by NGOs are not given by other institutions, particularly government. Because the sanghas in Mugad had some prior exposure to government and interaction with outsiders, they were better equipped to interact with government in the planning fora on par with government officials. Nonetheless these sanghas were better able to deal with district and village level government functionaries than with state functionaries. There still needs to be capacity building for them to handle the state. The existence of government organized Stree Shakti Sanghas (see footnote 33) have not really contributed to the community's mobilization (Photo 10.3).

Prior Presence and Credibility: Sanghas in Mugad had faith in IDS and were thus willing to move forward even though the first action plan was evolved within a very short timeframe (Photo 10.4). However, this was not the case in Kelageri. In Kelageri there were no sanghas and IDS had to establish credibility there from scratch. In Kotur, UAS had prior credibility in terms of research and technology and some interaction with extension officer visiting the village. For BAIF both villages were new and they too started from scratch. However people in these villages had relatives in neighboring villages where BAIF worked, thus giving them some credibility. Consequently with the exception of Mugad no village was ready to plan within the first three months. Furthermore prior presence of UAS may have contributed to the better off sections of the village being attracted to the project as UAS, unlike an NGO, through its extension work has the image of a large government institution and a university with resources. Therefore the community's expectations of the UAS may have been different from a community's expectations from an NGO.

10.1.2. Peri-urban Features

Some peri-urban factors were seen as important to planning (Table 10.2):

Table 10.2: Assessment of peri-urban Features

	Mugad	Channapur	Gabbur[51]	Kotur	Kelageri
Proximity to city (kms)	12	11	0	12	0
Degree of influence by city[52]	++	+++	++	+++	++++
Rural values and character [53]	++++	++	+++	++	+
Immigrant population	0	0	0	+++	++++
Proximity to Highway & by pass	0	0	++++	+++	++++
Industrial development	0	0	0	+++	0
Commercialization	0	0	0	0	++++
Number of Shops	30	2	3	20	35
Arrack Shops Licensed	1	0	0	2	1
Arrack Shops Unlicensed	3	12	0	0	0
Alcoholism	+	++++	0	+++	++++
Gambling and other vices	+	++	+	++++	++++
Old traditions and practices	++++	++++	++++	++++	+
Change in Agricultural practices	Shift to Horticulture	0	Sewage used for vegetable growth.	0	Horticulture Brick making

Proximity (actual distance) to the city: The initial assumption was that the closer the village to the city, the more peri-urban its character. This was found to be not valid. Kelageri and Gabbur are zero distance from the city boundary, in fact, just inside it. While Kelageri had more urban characteristics, Gabbur retained its rural character. People in Kelageri were extremely difficult to organize and it was difficult to find solutions based on NRM issues and hence was finally dropped. Proximity to the city is also determined by road access not just physical distance. For example, Channapur has bad roads which restrict access to the city. Having easy access to transport to the city facilitates interaction with the city and its markets and employment opportunities (Photo 10.5).

Values and Rural Attitudes: Rural values can be looked at by attitudes, time available and trust. In rural areas people are interested in outsiders and in what they have to say. In peri-urban villages (like urban areas), people have less time and no trust. These are urban attitudes and behavior. In terms of trust and attitudes towards NGOs and willingness to work with NGOs, Gabbur is more rural and Kelageri more urban. In Kelageri, unlike Mugad, people were reluctant to give time to listen to NGOs or attend meetings. In

---

[51] This refers mainly to old Gabbur and not new Gabbur.
[52] Calculated on a scale of 1-4 with each plus representing a quarter.
[53] This refers to Time, Trust and Attitude.

Mugad people are willing to work with NGOs but this may also be due to a history of NGO activity as well. For planning this meant it was easier to organize people with rural values and attitudes.

Immigrant population: Kelageri's proximity to the city led to commuting for work. Massive in migration from rural and urban areas to Kelageri, has led to a lot of interaction and city influence. Immigrants have occupied space beyond Kelageri by becoming squatters and consist of sidhis (fortune tellers), vendors, domestic workers, construction workers, among others that service the city. IDS found it very difficult to work here as people simply had no time for them.

In Kotur, too, in-migration from other villages is related to the availability of work in the industrial belt. Therefore in Kotur, through NRM strategies (improved agricultural productivity and increased cultivation through water shed management), the landed may be able to provide jobs for these immigrants, typically landless populations, if unemployed. In Kelageri there has been enough space and land for expansion and therefore immigrant populations have been able to settle here. In Gabbur because of land unavailability and sewage irrigation, an unattractive environment (with sewage smells, mosquitoes and the consequent disease prevalence) has dissuaded in-migration. Since Gabbur is primarily a homogeneous population it was easier to organize and plan. Higher degrees of in-migration results in a lack of homogeneity and affinity in the population. Immigrant populations are often unavailable, inaccessible and uninterested in participating. There is also no clear ownership of natural resources or attachment to the village as their roots are elsewhere. Unless there is ownership of natural resources, people do not participate in planning especially around natural resources. Thus villages with higher immigrant populations are more difficult to organize.

Industrial Development and Proximity to Highway and By-pass: Kotur is influenced heavily by nearby industries and by the presence of a highway which exposes the village to outside influences. This changes the attitudes and values of the people and facilitates in-migration. Kelageri and Gabbur also are divided by the new by-pass. Kelageri and Kotur both have in-migration facilitated by this access. Though Gabbur has access there is no space for migrants to settle here and due to the sewage irrigation and consequent health problems does not attract migrants.

Commercialization: Sale of land to urban residents and its use for activities that cater to the city such as brick making and quarrying is strong in Kelageri (Photo 10.6). The level of commercialization can be assessed by the number of shops in a village balanced against the population these shops service. In Kelageri NRM strategies especially land based solutions were not attractive since these solutions could not compete with other more commercial land uses such as sales to the city, building of shops, new construction, brick making industry and so on (Photo 10.7). In Mandihal, 21 quarries exist from which stone and gravel is extracted for building in the city and for road construction (Photo 10.8).

Degree of Alcoholism, Gambling and other Urban Influences: Alcoholism and other influences caused by proximity to the city affect Kelageri, Kotur and Channapur more than Mugad and Gabbur. Though alcoholism is everywhere, it becomes a bigger issue when alcohol shops are in the village itself as in Channapur with 12 alcohol outlets. In

both Channapur and Kotur easy access to the cities allows alcohol to be brought into the village.   Therefore in villages with high alcoholism any intervention would not necessarily result in improved living standards for women and children. It could result in the flow of increased resources into the village but also into activities like gambling and alcohol consumption. This finding changed the action planning process fundamentally. Community mobilization became an overriding goal that spanned all action plans as it would empower women to address social issues through improved access and control over their own resources through thrift and credit activities and increased status in the family and the community. Additionally, livelihood issues specifically for women who did not own assets had to be looked at. Additionally BAIF intervened strongly on the issue of alcoholism and thus alcohol sale was consequently banned in the village through decisions made by the entire community.

10.1.3. Issues Relevant to Select Populations and Consequent Interventions

Different issues are relevant to different populations (Table 10.3).

Table 10.3 Issues village wise: Relevance to Select Populations

	Mugad	**Channapur**	**Gabbur**[54]	**Kotur**	**Kelageri**
Water for irrigation	Landed men	Landed men	Landed men	Landed men	Landed men
Drinking water access				Women	Women
Tank restoration	Landed, Potters Fishermen Livestock owners, women	Landed		Landed Livestock owners Women	Landed Women
Access to forests	Landless/artisans/women	Landless/ women		Landless/women	
Dairy and Access to Fodder		Livestock owners	Livestock owners	Livestock owners	
Sewage Irrigation			Farmers and Labourers		
Health			Farmers and workers		
Sanitation drainage	All	All	All	All	All
Sanitation toilets	Women	Women	Women	Women	Women
Livelihoods	Landless Women SC and ST	Landless Women SC and ST	Landless Women SC and ST	Landless Women SC and ST	Landless Women SC and ST
Alcoholism and social problems		Women	Women	Women	Women

---

[54] This refers mainly to old Gabbur and not new Gabbur.

Thus interventions have to be planned in a way that ensures the concerns of the different populations are addressed (Table 10.3b). Access to water concerns the entire population in different ways. Thus initiatives that increase access to water such as watershed development can benefit the entire village.

Different iterations of planning took place, initially with landed and later on specifically with women, lower castes and the landless. Agro-forestry typically benefits only the landed. One issue relevant to the landless, artisans, women and lower castes is the need for alternative livelihoods, since they do not have assets such as land or livestock. These issues were included later on as these populations were brought into the planning process. Gender specific issues also emerged such as the lack of access to toilets and alcoholism.

Table 10.3b: Interventions Village wise and Populations Concerned

	Mugad	**Channapur**	**Gabbur[55]**	**Kotur**	**Kelageri**
Landed	Watershed Agro forestry	Watershed Agro forestry	Agro forestry	Watershed Agro forestry	None
Landless and artisans	Access to forests Income generation Skill development Community Organization	Diary, goatery Income generation Skill development Community Organization	Diary Income generation Skill development Community Organization	Diary, goatery Income generation Skill development Community Organization	None
Women	Community Organization Alternative Livelihoods	Community Organization Alternative Livelihoods	Community Organization Alternative Livelihoods	Community Organization Alternative Livelihoods	None

<u>Water</u>: Water was an issue for everyone but drinking water was particularly the concern of women and while water for irrigation was of greater concern to men. The watershed development initiatives such as tank rehabilitation would increase the overall availability of water. This would benefit men, women, livestock owners, fishermen and the entire population. Thus increased water accessibility and repair of tanks would benefit almost all groups in the village (Photos 10.9 and 10.10).

<u>Access to Forests</u>: In Mugad, Channapur and Kotur, increased access to forests would benefit artisans' livelihoods by providing raw material. It would provide non timber forest produce for the landless and for women. Increased fodder availability would benefit livestock owners. Increased bio-mass availability would provide manure for the landed. All groups will have increased access to firewood, especially relevant for artisans like potters. Women can supplement their incomes by collecting leaves and sticks for leaf plates and broom sticks (Photo 10.11). Therefore organizing people towards addressing this issue through formation of village forest committees and working

---

[55] This refers mainly to old Gabbur and not new Gabbur.

with the government in the JFPM programme is one possible intervention being planned for villages with forestlands. Agro forestry is the alternative where there is no forest land.

Dairy: In Gabbur, Channapur and Kotur for those who owned livestock, productivity of diary had to be improved by improving animal health, using improved cattle breeding techniques and increasing fodder availability. UAS was planning to conduct research on fodder species that can grow in the summer and BAIF was planning interventions for improving animal health and cattle breeding (Photo 10.12).

Livelihood and Other Issues Raised by Women, Lower Castes and the Landless: Separate interviews conducted with women, lower castes and the landless revealed that the plans would not benefit them as they owned neither land nor livestock. These interviews raised the following issues:

- Alternative livelihoods: One common issue for the more vulnerable populations was the need for alternative livelihoods. Therefore for the landless, women, lower castes, and minority populations, experimentation on various income generation activities are being planned..

- Alcoholism: Alcoholism was raised as a concern by women from the very beginning. The plans were changed to incorporate this issue because men prioritize alcohol in their expenditure patterns over family consumption. Thus any increase in income due to the interventions planned need not actually benefit the family or increase their assets or standard of living. Instead it could potentially result in more alcoholism. Thus another major intervention designed to deal with alcoholism and other social issues especially as it linked to the goal of poverty alleviation, is the inclusion of community organization as a goal, which included building and strengthening sanghas, across villages in all plans.

- Inadequate toilets: In all the villages for the women, proper drainage and lack of toilets were key issues.

Inclusion of the Poor, the Landless and Women: Among the poor, some families will come forward and some will not and in every village there is a proportion of the population who will not participate. Reaching 50-60 percent of the poor would be considered a success. This group would then reach out to the remaining population. The identification of who are the poor and when they are available for participation has to be done by NGO staff living in the community and interacting with them at their convenience.

10.2 Process of Planning and Intervention

The earlier chapters provided a detailed description of the process. This section focuses more on the lessons learnt from the village level processes at every stage.

At the stage of the planning workshop Mugad, Kelageri, Kotur, Channapur and Inamveerapur were selected. Inamveerapur was dropped for Gabbur and since BAIF went through a rigorous process for village selection, work started slightly later. They also hired a person a little later because of the village selection process being longer.

For the initial orientation of the PAPP project and on the peri urban interface, the street plays proved to be an effective entry level activity and the most useful tool towards

raising awareness on peri-urban issues (relative to posters, pamphlets and other means). Thus in all villages this was the entry point activity. In all villages sangha formation began with the exception of Kotur because this is the entry level activity of most NGOs. In Kotur sangha formation happened more as an outcome of the exposure visits than through a conscious effort to organize sanghas. In Mugad due to existing sanghas no new sanghas were set up by IDS, yet new sanghas formed spontaneously due to renewed IDS presence. In Channapur there was already another NGO and sanghas and thus BAIF had to first come to some understanding with BGSS before working in the village. In fact, Bulla was placed in Gabbur and work began there before Channapur.

PRAs happened simultaneously across the villages and institutions. Through the PRAs because of the size of both villages, IDS had to conduct the same exercises many times in different parts of the village. People were uninformed about different parts of their village due to the size of the village. UAS used wealth ranking to ensure equal representation of different income groups in participation for the planning exercises. The NGOs typically use the PRA information along with household visits and surveys to identify the poor. NGOs typically facilitate the planning process with the poor and usually exclude the rich at this stage. UAS got equal number of representatives to work together in the planning process. Because at this stage SHGs are not organized and the poor are not equipped to plan at par with the landed, the plans were oriented more towards the needs of the landed.

At the diagnostic workshop and through the mid term review it was clear that in Kotur the landless needed to be included. First, there was a stark difference between the Mugad sangha women representatives and other villages in terms of their capacity to present, articulate their issues and deal with government in the diagnostic workshop. It was also clear that in Mugad women were able to clearly make the link between natural resources and livelihoods. At this point the plans in each village were more tailored to natural resources which women and the landless had no access to. Also certain natural resources which belonged to the public (such as forests and common lands) as opposed to private assets help the landless and women who normally do not own assets to access natural resources. Thus the forest issue in Mugad is more important to groups without assets than the tank issue which benefits mainly the landed and fishermen. In the other villages like in Gabbur and Channapur dairy activities only help those with cattle and typically those with some access to fodder. Water based interventions as in Kotur primarily help the landed.

In one interview women from one village clearly said that these strategies would not help them. Given this statement, after that a conscious effort was made to take all the plans to women and ensure that it made sense to them. Thus in all the villages separate interviews with women were conducted to seek these links, to understand if their issues were being incorporated and to ensure their livelihoods were also improved through the plans being designed. It was at this point of the process that three lessons were learnt and changes made accordingly.

First, the team realised that simply having women present in larger planning meetings with the men does not ensure that their issues enter the planning process. Secondly, in Channapur and Kotur separate interviews with women revealed that alcoholism was a major issue and stated clearly that nothing would help unless this issue was addressed.

Michael Mattingly at the mid term review responded to this saying that if alcoholism stood in the way of the goals then it should be addressed. Third women did not have any assets and thus did not know how to enhance their livelihoods. Therefore they were looking for alternative livelihoods as a means of improving their livelihoods. Thus new goals were incorporated into the plans.

In the initial meetings and the diagnostic workshop Mugad being organized and articulate and IDS being a strong presence with established credibility and trust allowed Mugad to form the first action plan. In September with another visit with Robert Brook, a participatory logframe process was put into place for the first time where aspects of the logframe were taken to the village for designing them. Interaction with the TIs and the community was also facilitated with presentations on the issues in three villages Mugad, Channapur and Gabbur.   After these events only did Gabbur and Channapur go forward in terms of submitting their full action plans.

In February 2002 IDS allocated one senior staff person to Kotur to ensure that all the earlier dynamics whereby elites were dominating the planning process were reversed. The next plan would be to ensure that IDS philosophy were put in place and the poor take the lead in the planning process in Kotur.

Chapter 11: Evolving Roles of Team Partners

Each partner made a substantive and distinct contribution to the project (Photo 11.1). The initial role of the partners in the project and the roles by the end of the project changed substantively.

11.1 The Partners: Changing Roles and Contributions

11.1.1. University of Agricultural Sciences:

The PAPP project is first and foremost grounded in the UAS administratively and technically (Photo 11.2). The UAS is playing the main role of communication and administration locally among the NGOs, target institutions and in terms of coordination with the UK team. The UAS is also expected to play a major role in coordination of the entire project and will be the key research partner in the implementation phase across all action plans. UAS played a key role in the involvement of district level government institutions in the planning process. In all the main planning events, the UAS was instrumental in facilitating government involvement and organizing these events. In Kotur village the UAS helped the community engage in the planning process.

The UAS was initially expected to play the role of communication, research and administration locally both among the NGOs as well as with the target institutions and internationally with the UK team players. However, at an early stage at the UAS team's request, the research team decided that UAS should mobilize the community in Kotur and it took on the role played by the other NGOs in the team. Since they did not have a system for SHG formation and capacity building nor the expertise to organize the community they decided to hand over this role to the NGOs.

By the end of the project and moving into the implementation phase the role of the UAS changed to now include being the overall co-ordinator and the main link between the two co-ordinating organisations, namely UAS and University of Wales Bangor (UWB)[56]. Co-ordination means facilitating links between the overall project and external institutions, organisation of workshops and conferences, exposure and training visits for project participants and personnel, central repository of all project data, maps and documents emanating from India. UAS is the main Indian research organisation, responsible for setting up monitoring systems and recording changes in natural resources and livelihoods. UAS employed research assistants and academics for the project. Community development is not the role of UAS but UAS personnel are encouraged to participate but under the auspices of the relevant NGO.

11.1.2. BAIF Development Research Foundation

As the NGO partner, BAIF was expected to mobilize people's active participation in the action planning process and is now expected to further facilitate their participation in the implementation phase in Gabbur and Channapur villages (Photo 11.3). Through

---

[56] However, as R7959 was ending and R8084 was commencing, Dr C. S. Hunshal, the Indian project co-ordinator, was posted by UAS to their Bijapur campus, some eight hours travelling time away. By negotiation with the University authorities it was agreed that Dr Hunshal should be allowed to spend one week per month back in Dharwad attending to project matters and act as UAS team leader. Accordingly, the role of Indian co-ordinator for R8084 was transferred to Best Practices Foundation.

conducting PRA and other rapport building exercises BAIF helped people identify and map resources, identify and prioritize issues and brain storm potential solutions. Finally one action plan was created through a participatory process and presented in parts to a larger audience at several forums held through PAP project. BAIF also organized eight Self Help Groups, of which seven are men's SHGs and one is a women's SHG.

When UAS decided to hand over Kotur to the NGOs BAIF turned down the work. This is because BAIF's policy is if and when the elite are involved (by BAIF staff or anyone else) it is hard to work in that village and better to withdraw from it. They felt it would be better to work in an entirely new village.

In the implementation phase, BAIF continues to be responsible for community development within action plan 2. This includes setting up of self-help groups and organisation of village level meetings and events. For implementation of the plan, BAID will be instrumental in the development of community enterprises and village level negotiations between SHGs and relevant TIs. BAIF will employ and place village development workers in the villages. The technical expertise of BAIF personnel is acknowledged and staff are encouraged to participate in research activities (NR and livelihoods monitoring) and in imparting technical advise where appropriate, but under the auspices of UAS and ultimately the relevant UK researchers. BAIF is expected to lend its expertise on watershed development, and agro-forestry in the implementation of the action plans across all villages.

11.1.3. India Development Service (IDS)

As another NGO partner, IDS like BAIF mobilized people's active participation in the action planning process in Mugad and a cluster of villages around Mugad. IDS also conducted PRA and other rapport building exercises to map resources, prioritize issues and brain storm potential solutions. The community here also presented these problems and possible solutions to key institutions both district and state in the PAP project. They helped build people's capacities to represent their villages in the larger workshops and other forums with TIs. The Mugad action plan was the first to be created through a participatory process, the implementation of which has already begun .

IDS was offered to take on the work in Kotur. IDS initially said it would train UAS staff to work in Kotur but would not do it themselves. This was because for IDS to put in place an entire system to conduct community mobilization, they needed to be fully in charge of the process. The UK team then decided to allocate fund for one personnel from IDS to stay in the village and take charge of the community mobilization there. Thus by February 2002, IDS was made fully in charge of Kotur and one senior personnel allocated to this village strong enough and experienced enough to reverse the dynamics of involving the landed to the landless and poor.

IDS is responsible for community development within action plans 1 and 3. This includes setting up of self-help groups, development of community enterprises, organisation of village level meetings and events, and village level negotiations between SHGs and relevant TIs.

At the time of writing, March 2002, IDS has just entered the implementation phase in the villages under the first action plan. IDS has a long history in Mugad and some history

through federating the other villages on the forest issue. As a result IDS is working with the existing 16 sanghas, mostly female, and also with the newly emerging sanghas. IDS will create new sanghas in Mandihal and Daddikamalapur and has assigned staff to live there. IDS is expected to lend its expertise in experimentation on income generation, joint forest management and social mobilization particularly with respect to women to the entire project.

11.1.4. Best Practices Foundation (BPF)

The expectation of BPF in PAPP was to conduct process documentation including recording and reporting on all major events. Furthermore the expectation was to engender the process by providing feedback to all partners on women's perspectives. It was further expected to provide an analysis of the factors that enhance and hinder the action planning process and to document the lessons learnt from it to add to a knowledge base that can be taken into future projects of a similar nature. BPF was expected to train the local team in Dharwad on research and documentation skills, which it was unable to do. During the project it became clear that video documentation and to liaison with state institutions was required. Thus in the second phase of the project BPF took on this role of arranging for video training and to liaison with state agencies (Photo 11.4).

11.1.5. UK Partners:

The primary roles of the UK personnel in PAPP are to take the knowledge from the ground and recast it for an international audience, give the project international credibility and provide a bridge between international agencies and players and the local team. These roles however are diverse and change based on the players.

University of Wales Bangor, (UWB) is the lead UK organisation, responsible to NRSP for successful execution of the project and ensuring that contractual obligations are met; formulation of the overall research plan; reporting to NRSP at specified intervals (quarterly, annually and finally); overall supervision of spending and disbursement of funds; central repository for all project data and documents; co-ordination of publications and dissemination of findings. The team leader is Dr Robert M. Brook, who is ultimately responsible for all project activities, and will also participate in conducting research into farming systems aspects of the project (Photo 11.5). Other personnel involved with the project were Bianca Ambrose-Oji (Photo 11.6) and Dr David Gibbon (Photo 11.8), who were responsible for organizing the diagnostic workshop and the first action for the Mugad cluster.

IDD, University of Birmingham and DPU, University College London: Dr Fiona Nunan and Adriana Allen will lead the target institutions aspects of the project (Photo 11.7). A central objective of the project will be changing perceptions, attitudes and modes of operation (*vis a vis* the PUI) of TIs which formulate policy and implement regulations, working towards development of policies which recognise the special nature of the PUI.

11.1.6. Community Based Organizations (CBOs):

The community based organizations where they exist and upon formation are expected to play a primary and central role in the planning process and in ensuring that the interests of diverse and the most vulnerable groups get represented in the planning process. Where they do not exist it is expected that they be formed to play this role in the future.

The role of target institutions is instrumental and special attention was paid to both changing their roles and documenting this. This information is presented in Chapter 12.

11.2. Growth and Changes in Partners Attitudes

Here the expectations, strengths and changes in attitudes are documented as per the observations of the team members of their own roles and of others in the team.

11.2.1. University of Agricultural Sciences:

The UAS has been involved with the PU projects over the last five years.

Discussing the changes in the UAS, one UK partner said, "*The UAS grown tremendously not just with this project but through this entire interaction. They represent a fairly typical government type of organization with the usual hierarchies and top down view of extending technologies to farmers. However, they have gone through a process of understanding that small scale and poor farmers usually have reasons for their actions and have increasingly taken on a more gender aware perspective. In the past in the PRA exercises the UAS always did the men first as they were the easiest and had to be told to include the women. Now they do not have to be told that. This is at the level of data collection and not yet at the level of understanding of the different gender roles and how to use that information.*" Learning how to utilize gender differentiated data is a strength the entire team needs to learn as despite knowing women need alternative occupations and are the ones with the least access to assets and natural resources, it is unclear how to help them. In fact, it is clear that the entire team would have to walk the extra step to understand how to incorporate women's needs into the action plan in a meaningful way. Another strength was its capacity to see that community mobilization should be left to the NGOs and withdraw from that role.

Strengths of UAS: They can open doors being a government organization. They have a lot of contacts with the municipal commissioner, the CEO and others. Dr. Hunshal, who heads the team in the UAS, has good networking and communications skills. He is a good administrator, good at organizing meetings, and at collecting data. Other members of UAS are good at scientific research and data collection. In this project it was intended for the UAS to work as an academic organization and the role they are currently playing is in fact in concordance with the original expectations (but see footnote 56).

For IDS, collaboration with UAS is a distinct advantage. Several people from UAS are on the board of IDS and there is a long history of interaction where both have worked closely together. For a nutrition project UAS was asked to identify a partner institution and it identified IDS. In the PUI, the UAS has been involved since 1996 and can play a role in technical help and interaction with the TIs. The UAS is for the other team players represents an easy link even to state institutions who would prefer to deal with the UAS it being a government agency itself.

Learning from the Project: The UAS understands its own role better and sees now that they cannot play the role of an NGO. Revisiting the different events of the project and their own transformation in the process Dr Hunshal said, "*There have been lots of changes. We did not know what we were doing. There are a number of problems. There has to be a process. In doing the PRA activities we have learnt a lot of things and it leads to a better interaction with farmers. This is not an opportunity given to all people. We*

have learnt how to work with farmers and how to convince them and the importance of rapport building." Reflecting on the diagnostic workshop he said, *"The diagnostic workshop helped the village develop. They knew we were listening to them and interacting with them."*

As a result of this interaction comparing the work of UAS to government institutions, Dr. Hunshal said, *"We can be better than the extension officers. The extension officers have no rapport with the village."* It was clear therefore that the PRA and group discussions had increased the level of interaction with the village and established some rapport between the UAS and some parts of the community. However according to Dr Anusuya Patil, UAS Dept. of Extension, women had not participated as much as the UAS would have liked. Often they would attend meetings but not say much. Thus more rapport needed to be built with the women.

Future learning potential: According to the UK partners, *"Several layers of technical capacity could be built, listening to farmers without the tendency to say this or that is what should be done. They are definitely learning to work with farmers and listening but these skills could be honed. It is the difference between participatory techniques where they are as opposed to a participatory approach."*

The UAS is a relatively environmentally aware organization and there is an acceptance of agro forestry techniques as important but there may be disagreement on who should implement these techniques. The UAS is aware and has learnt a lot from Surashettykoppa about what farmers can do for themselves. This learning has been clearly demonstrated by the fact that the UAS arranged an exposure visit for Kotur village representatives to Surashettykoppa in cooperation with BAIF.[57]

The UAS sees the need for a poverty focus and that it is far from automatic. The techniques it uses is more representative of the poor as opposed to center staging the poor. In fact this is where the main difference is envisioned between research institutions and NGOs. Most NGOs have evolved times tested techniques to identify the poor. Only after the poor are identified does the real work begin through organizing the poor into SHGs. Both identification of the poor and the organization of SHGs requires a great deal of past experience and the use of tested methods. Most NGO staff themselves have learnt from past mistakes on how to identify the poor and center stage them which may even mean consciously avoiding the wealthier elements until a later stage.

An organizational apparatus and trained staff is required to manage the formation, training and leadership inputs for SHG formation and sustenance. This organizational apparatus is what the NGOs use and when forming SHGs several staff including senior staff may be involved to organize the village in the initial stages. This type of an apparatus is what universities, research institutions and even government agencies lack. Thus it was decided that these roles especially the community mobilization and involvement of the poor be left to the NGOs while the research institutions both in UK and India, play the role of research partners, liaison with target institutions,

---

[57] BAIF is the implementing organisation for an EU funded rural development project based in a cluster of villages around Surashettykoppa, 20 km north of Hubli.

documentation, overall administration and communication for the entire project. In terms of including the poor and women they see it as the work of NGOs.

11.2.2. BAIF Development Research Foundation

According to the UK team, *"The main strength of BAIF lies in its natural resource management techniques. This strength it lends not only to the project but it can help educate the entire team on its process, and NRM strategies. Environment is one of the specialities of BAIF. Again it too has a very pro poor focus. Gender is there but not as well focussed. BAIF may be a little paternalistic and while very participatory in offering a repertoire of technologies rather than working together with farmers to create new technologies. BAIF recognizes there is a vast repository of indigenous knowledge and incorporating it is a different matter. The modern thinking of farmers as experimenters is not there and some of the work in Nepal is moving in that direction. On the international scale they are a long way along but still have a long way to go and we can take BAIF on international exposure visits where they can learn a lot. BAIF is more environmental than social in their focus while IDS is more social than environmental in its focus which is good as we do not want two NGOs which are similar. Thus while it has a large amount to contribute BAIF, perhaps could still learn more through international exposure."* However one reason why BAIF plays it safe with their work with the poor in terms of showing them only tried and tested techniques is because they do want the poor to bear any risk. Thus farmers as experimenters in principle is an egalitarian concept but in practice even an NGO is far better off than a poor farmer and better able to bear the risk of experimentation.

According to one UK partner, *"In terms of collaboration BAIF has been less open in attitude than IDS."* It nonetheless has in practice a long history of experience with government collaboration and thus is skeptical because of past difficulties with government especially on issues related to corruption. *"BAIF is a fairly self assured organization although possibly their attitude towards UAS is changing from a wariness to an acceptance rather than a full partnership. Again with government we see a reluctant acceptance of their role and a strong desire to change the target institutions. If there are exposure visits of government to Surashettykoppa then this change is possible."* In fact the first thing BAIF did was to invite the CEO to visit Surashettykoppa which it does as a matter of course with all top district officials however it is as yet unclear what strategy it would like to adopt with state level institutions and officials.

In the action plans drawn up when presented to women, were found to be not inclusive of their needs. This is reflective of the fact that BAIF needs to pay more attention to women's concerns. In their other projects, women's concerns are looked at in terms of reduction of drudgery which is necessary but not sufficient as a condition for women's empowerment. The missing element here in center staging women's concerns in their projects which is seen in very few Indian NGOs. The NGOs who do this are very few and these NGOs validate the fact that in women's lives issues are inter related and giving them the forum for decision making will ensure inclusiveness.

11.2.3. India Development Service (IDS)

According to the UK team, *"In a local context IDS is unquestionably strong on alternative livelihoods and they recognize the limitations of the market and they have*

their eyes wide open on that front. IDS is not an amateur organization and their relationship is strong with the Forestry Department. They would command the respect of any organization or agency they work with. I think we would rapidly generate a following among target institutions if IDS were involved. I do not know how strong their contacts are with the Depts. of Agriculture, Horticulture and Livestock etc and if they could work with them the same way as they have worked with the Forest Department. Once there is a recognition that this is not an amateur organization they will have enough weight with state institutions as well." In that sense IDS already has strong ties with some major institutions relevant to the project, DIC, Nabard, Forestry, the Watershed Development Department and JSYS. These existing relationships will prove instrumental in helping the project forge these linkages for the project areas.

Already a series of villages are being funded under the WDD department including

- Mugad is in the Ambalikoppa Watershed of Dharwad Taluka

- Dadikamalapura is in the Ambalikoppa Watershed in Dharwad Taluka,

- Gabbur is in the Devaragudihalla Watershed of Hubli Taluka,

- Channapur is in the Kuradikari Watershed of Hubli Taluka.

IDS and BAIF are both involved with IDS being the lead NGO in the WSD projects of the state department. However it is important to note here that despite expected funding from this department, like all state departments funding may not come in on time. Also despite it claiming to cover the watershed development related issues it does not cover tank restoration and the tank repair is in fact the real issue in some of the peri urban project villages.

According to Meera Halakatti, the cross-fertilization from other team members represented an area of growth potential. "*We are already working with BAIF in the World Bank project on watershed development. IDS has been involved with the government on water shed development but only in facilitating people's participation. BAIF has the experience in actual implementation in water shed development and we will now learn and develop that experience through collaboration with BAIF.*" She also indicated the advantages in learning agro-forestry from BAIF.

For IDS, the growth could lie in technologies with which they are unfamiliar like trees and farms with, which can be given to them through both BAIF and UAS. UAS, as scientists, is good at measuring bio-physical changes and can contribute that way and IDS would be happy to accept that help or work together with those contributions from other organizations. On joint forest management the IDS has vast experience and this is something BAIF could learn from IDS and that would be a valuable cross fertilization of ideas. Recording their processes is a key factor and IDS recognizes that. Whether their scientific recording capacity could be raised is a question and may not be necessary and can be done be UAS.

For some team members, the absence of BAIF leadership in many of the interactions was a disadvantage in terms of the learning that could have taken place. This sharing of BAIF's expertise could be of even greater value in the implementation phase. For BAIF leadership, the pressures of many other developmental projects was too great for them to

play a larger role in what they saw as a relatively small but extremely time consuming project.

For Meera Halakatti, the growth in the project lies in the fact that it is a research, development and experimental project. "*In this project we are combining three areas:*

- *Watershed development*

- *Forestry*

- *Livelihoods*

The experience is very good and our capacities will be enhanced as a consequence."

The second advantage was that here they would be dealing with the urban context by the very fact that this is a peri-urban project area. This would be a real challenge for IDS and BAIF both as both are seen as primarily organisations focussed on rural development.

11.2.4. Best Practices Foundation (BPF)

The expectation of BPF was to conduct process documentation and engender the process. BPF played the role of providing feedback wherever possible especially on gender concerns.

According to one UK partner, "*To date BPF mainly recorded the events and provided reports on the events. It is further expected to provide an analysis of the factors that enhance and hinder the action planning process and to document the lessons learnt from it to add to a knowledge base that can be taken into future projects of a similar nature. Therefore in the remaining part of the project it is expected that they provide an analysis by institution and by village of the differences, the learning and changes each village and institution goes through.*" Initially BPF did not know what else to do besides document the events and interview women to ensure their perspectives entered the process and provide this feedback to the team. The group dynamics were also noted, feedback given but nothing was written down for fear of it hurting the teams' working relationships.

BPF was then encouraged by the British team to write down its observations and findings and was provided direction on the type of feedback and analysis it should provide. Thus in the remaining half of the project BPF changed its data collection methods and its focus to collect the PRA, gather information about processes at the village level, gather data on institutional perspectives and differences. It conducted participatory reviews looking at the differences across villages and to look for changes in attitudes and perceptions. Finally it also looked at how to conduct capacity building through video.

Initially it worked with IDS and BAIF for one round to build capacities of one staff member assigned to it for this purpose. It encouraged UAS to take minutes once to provide feedback which they did. There was confusion however regarding who would play the role of documentation as BPF was assigned this role and two staff personnel were present at that event available to document and thus no one saw the need for others to document. Thus for any future capacity building on documentation a clear understanding needs to be arrived at in the team that BPF will no longer play this role of documentation and some method needs to be formally worked out by which this role can be transferred.

For different team members BPF has played different roles. For IDS, Meera Halakatti said, "*Discussions with BPF have clarified our thinking. Thinking aloud is what I call it. Looking at the other projects, BPF can relate its work there and bring it into this project. BPF was able to explain things to other team members that we wanted to but could not. It has acted as a bridge between the UK team and us.*" Partly this role of bridging the two different cultures was due to people not understanding the British accent. Partly it is due to politeness and not wanting to hurt anyone's feelings. For Dr Hunshal, UAS, "*BPF's contribution has been in providing visibility for UAS's work with state actors and in the state attention that is now being paid to the project and the team.*"

For BPF there has been a long growth curve through the project. Learning about the logframe, and participatory logframe development with the village input was new as it is for the whole Indian team. There has been increased learning on what gender issues are in a peri-urban context. Overall, transferring previous experience to a peri-urban project of providing visibility and promoting district level actors and local experience through newsletters and with state actors itself is new. In previous interactions, the areas of state level liaisons were primarily around livelihood issues and credit and involved Departments such as Industries and Commerce, Women and Child Development, Department of Labour, Rudsetti, Rural Development and Panchayat Raj and NABARD. This is the first time BPF has had the opportunity to deal with departments linked to natural resources such as Watershed Development, Tank Restoration and Forestry and this has proved to provide many new inroads and insights into furthering relationships with state departments. The possibilities of the combination of field experience and the access to research and theoretical literature from the UK team and partners provides avenues for more learning. The possibility for systematic training and capacity building again provides a serious opportunity for BPF to learn how to transfer these skills.

The future role of BPF includes conducting research into changes in perceptions and attitudes of target institutions and project personnel; documentation of project processes (but handing this over to relevant personnel in Hubli-Dharwad), analysis of processes (what works and does not work, and reasons for these). It will also include liaison between state level agencies and the Hubli-Dharwad and UK teams. Finally BPF will be responsible for the production of a project newsletter at a minimum of yearly intervals for dissemination of new project activities.

11.2.5. UK Partners

The primary roles of the UK personnel are to take the knowledge from the ground and recast it for an international audience, give the project international credibility and provide a bridge between international agencies and players and the local team. These roles however are diverse and change based on the players.

Giving this project an international credibility and putting forth the international ideas and making sure those are fed into the project is one role of the UK team. For example farmers experimentation and learning how to do their own breeding as an example of increasing the importance of farmers which organizations here may not have thought about.

The primary role to be played by the UK team would be raising capacity of Indian partners to play the role of generating knowledge and recasting knowledge. During the

whole program there will be an international symposium in Dharwad which has already been mentioned to the Vice Chancellor. One thing would be useful would be to share the state of the art of the knowledge on periurban. In an upcoming conference in November where the state of the art will be presented some of the Indian team will be represented and also presenting.

For IDS, the interaction and training from the UK team especially the logframe was new and we have passed on that knowledge to other IDS staff in our staff meetings. This has contributed to capacity building for IDS.

On the future roles to be played of the UK and Indian partners Robert Brook said, "*We want more devolution to the Indian team. A less involved role in the second and certainly the third action plan. We have discussed that the group here will go through the whole process here itself. We realize that some support is needed.*"

Chapter 12: The Process of Involvement and Changes in Target Institutions

The PAPP represents the planning phase of a longer process that aims to implement three action plans over a three year period towards improving natural resource management and enhancing livelihoods. To ensure sustainability of the project after the three-year period, linkages with other institutions are built into the planning. Being a research action project the main budgetary allocations are for research while the rest is for institutional support. In terms of actual development funds, the project expects to link to government departments and programmes, banks and other funders. Thus involving government is central to the project.

Building rapport with the government institutions is a slow process. Robert Brook stated the project's initial expectations, "*I hope we can build their capacity to engage by getting them more excited and that we can do with exposure trips but also to show and include them in forums where villagers are actively engaging in debating. One forum could be a round table equal partnership discussion with the right people, not skeptics and the more senior the better, though the more senior the less time they have. While we are creating the next two action plans we can bring them in. Now that the CEO has indicated his support, I think it will be much easier to bring in the right departments. We would need the Watershed, Agriculture and Livestock Departments involved in Channapur and for Gabbur, it would have to be HDMC.*" In the following months several events were held with the district and state officials that built in this interaction with the government, NGOs, universities and the communities.

12.1. Process of Interaction

Therefore, built in from the beginning are processes that bring in government input including presentations by the village representatives of their issues to district government officials in a forum, which invited their input and participation.[58] Working groups were formed with a combination of government, NGO, university and village representatives. Here each group conducted a problem tree analysis where problems and their causes and effects were traced. A parallel solution tree was also drawn up to identify the possible interventions and their impacts. This was the first time in the project that the village representatives were interacting with officials.

A second event brought together district officials and NGO representatives where the Mugad Action Plan was presented and two other tentative action plans were discussed. [59] Here officials discussed potential linkages with their particular departments. Specific programmes that could be linked to the different issues in each action plans were discussed with the team.

The CEO of the district, Mr. Vastrad led this process. Prior to this meeting separate meetings were held with this CEO who had recently been transferred into this post. Mr. Vastrad had some history of interaction with some team members on previous peri urban projects and was thus supportive of the PAPP project and the team. The CEO made a

---

[58] The Diagnostic Workshop, CEDOK, Dharwad, June, 2001.
[59] Meeting with Key Institutions, ZP Office, Dharwad, August, 2001.

commitment to involve all the department heads in this project and one outcome has been his active participation in at least major events since his commitment.

A third major event was village visits conducted by district officials and the team. Here, the Mugad action plan was presented to finalize the plan. Also two other plans were presented by Gabbur and Channapur representatives. Preparatory meetings were held in two villages Gabbur and Channapur on creation of a logframe through participatory techniques to be presented the following day to the government. Men and women separately worked on the logframes as well as presented the issues relevant to them separately to the government to demonstrate the different gender perspectives. Here in front of the entire community the officials made a series of commitments to help the community on issues related to water, forests, livelihoods, diary and so on. The CEO too committed to supporting the project and told the community to follow up on the commitments made by his officials by either directly contacting the officials or via the NGOs. The overall purpose of the September meeting with the government institutions was to create a dialogue forum between village community representatives and district officials on the action plans being designed by the village. It was hoped in this process that officials could react to the plans and provide information on possible schemes that could be linked to the plans.

Meetings were held at the state level with different team members first with IDS and then later by BPF, UAS and UK team members also facilitated active state interest in the PAPP. This was demonstrated by an official state visit of the Watershed Department to Mugad where village representatives presented the action plan to a team of state and district officials. In the state department visit, the State Commissioner expressing his interest said that the main purpose of the visit was to understand the participatory planning process and have his officials learn from the process and learn the techniques used. The issues from the ground have been raised with both state government agencies and NGOs to provide visibility and support to the project and to fill possible gaps in knowledge and training that may be required particularly with respect to livelihood issues and enterprise development.

12.1.1. Review of the Process of Interaction with Government Institutions

Previous collaboration between NGO and government has revealed several problems. The most pressing of these is that state agreements are not honored by government. The second issue is corruption at various levels. The third is government attitudes towards people and NGOs. These attitudes vary in degree but in essence it includes patron-clientelism, paternalistic attitudes, and those that stem from hierarchical structures. None of these attitudes are conducive to people's participation at any stage particularly in providing planning inputs.

One goal of the PAPP project was to change attitudes of the government officials. Attitudes typically takes a long time to change, especially in bureaucratic institutions. This project did not actually train officials. Instead it facilitated interaction of officials at various levels with the team and with the community both. Through out the PAPP project, the events provided opportunities for government officials to listen to people present their problems, interact with them and give their input. The project intended to assess attitudes and attitudinal change throughout PAPP as well later during

implementation where attitudinal change is more likely. As the PAPP project is of a limited duration and only involves planning and not implementation not much can be expected in terms of change. It is only in the implementation phase where people's participation can demonstrate the difference in ownership, quality and sustainability (relative to projects where people's participation is less) a stronger impact on government attitudes can be expected. This is reflected in government reactions where one official said while participatory planning is important and good, the real success lies in the implementation. Nonetheless attitudes were assessed and the impact analysed through interviews on government perceptions not at the beginning of PAPP but more towards the end. However these findings can be used later as a baseline for comparison in the next phase.

Two prevailing attitudes that government officials hold that emerged during the project included:

- People do not know their problems nor do they have the solutions to their problems. For this attitude to genuinely change separate training is necessary to prevent government from dominating the planning and implementation processes.

- A single issue focus on the part of government which does not recognize that the landless, women and landed may have different priorities. Any action plan needs to accommodate the concerns of all groups and the fact that some groups like women may have interrelated issues and equally important priorities. Women in Mugad for example clearly saw forestry and livelihood issues as interrelated and prioritized both.

12.1.2. Reactions to the Project

Overall government reactions to the project have been positive. Methods of participatory planning were new to some. Through attending workshops they felt it was a process that could work. According to Mr. S. L. Khoshti, Superintendent Engineer, Hubli Dharwad Municipal Corporation (HDMC), Dharwad, *"I found that this is very different but I was very happy. We got to listen to the people who are going through the problems. They came out with their problems and they made suggestions too. We found that the very concept* [of participatory planning] *was good. You are helping the people living in the development areas to sort out their problems and make a better living. The problems may be transportation, livelihoods or employment, aspects of people living the peri urban areas. I liked the way it was being done."*

Reversing the attitude on people knowing:

Commenting on the action planning process, officials were quick to point out what they found new. *"I have attended almost all the meetings. The way you have done PRAs, the way they have identified their needs, problems and even solutions have come from the people. They have given both the problems and the solutions. Our role is only to give technical guidance. When the problems and the solutions come from the beneficiaries it will be easy to implement. I have seen from one meeting to another meeting the frequency is going up. The ladies are also participating. Previously the ladies never used to participate among the gents or any public. The participation and the interest*

among the ladies is high."[60]   Clearly, officials were unused to situations were people were able to clearly articulate problems and even design their own solutions. Furthermore to see women actively involved came as a bigger surprise.

On participatory planning:

Most department personnel felt that this was a good process where the villagers can plan according to their needs. The usual method used by the government for planning is to design programmes at national, state and district levels, set targets, deadlines to meet those targets and then deliver the programmes to the people whether they actually need them or not. At no point in this process is people's participation sought. The Gram Panchayat, or village level government serves purely as an implementation agency. According to Mr. P.S. Vastrad, Chief Executive officer, Dharwad, "*Earlier when we did any government plans or schemes we have not involved the people. In a democracy it is said 'of the people, by the people, for the people'. Of the people it meant though the elected representatives. We thought they knew all the needs of the people so it was in their forum, in the general body meetings they expressed the views that the villages need water or so on. Earlier I said that all the government schemes are done by the people because their representatives have made the recommendations.*" In reality the views of elected representatives rarely represent those of the entire community particularly the poor, the landless and women. Hence, as these programmes are not planned with the village community they do not respond to the needs of the community or to different sections of the community.

Talking about grassroots involvement, the CEO said, "*At the real grassroots level they have not been involved earlier. Even when we said gram sabha[61] all the officers who go to the village talk about the government schemes and come back. Whether the people understood or not was not of interest to the officials. It was only the village Gowdas (village elite) who met with the village officers and the officer was happy if he could convince them. It was not demand driven. The customer was told this is what we are going to do. We are going to give two buffaloes or under agriculture we are going to give you these seeds. We never asked what seed they wanted. So with all projects it was one sided. When we have been told about participatory approach for more than ten years but we never really used a participatory approach because the officers did not want to do that hard work for a long time. Also because an officer has a bigger area to oversee and maybe he has been trained to do the same work, the same way. Participation meant going to the meetings and communicating the details of programs. Participatory approach never meant what has happened in this* [PAPP] *project. This is a real participatory approach where they* [people] *have been given the stage to talk and to decide.*"

Emphasizing the role played not just by the village community but by women in the PAPP project the CEO said, "*They have discussed everything threadbare and even an illiterate lady has been able to say what her issues are.*" Discussing government approach as a contrast, he said, "*When we did the schemes we too gave priority to roads*

---

[60] Mr. Laxmipathy, District Watershed Officer

[61] Gram sabha is a meeting held in villages where all may attend, held at least twice a year.

and to drinking water. But if we had asked the lady she would have said she wanted water nearer to her house because she is the one who has to fetch the water. Though we talked about participatory approach in theory we could not reach them. Now since we have included the NGOs because they are trained and they have in built education. They are able to reach the people fully."

Another major problem is that people do not know what programmes the government has, how it will benefit them and how to access these programmes. As Mr. Laxmipathy, District Watershed Officer, Dharwad explained, "W*e have been given so many schemes and funds. But people don't know what the structures and activities are and how it will benefit them. They think it is the government's activities and they do not bother about maintaining it."* A second problem identified is the tendency among people to neglect infrastructure built by the government as they see it as government property that the government should then look after. One example given was that if the government builds a check dam there are chances that the people would remove the stones for their own personal use. This they feel happens because the process is not participatory. Unless people feel the need for the dam, are involved in the planning and building and maintenance of the check dam they will not see any public asset as their own.

The officials thus feel that participatory planning is a new concept and represents new thinking which can be incorporated in government planning to facilitate people's ownership thereby build in sustainability. *"Once they analyze their problems and then give them what is needed in that area it will be better used. It is better than forcing them to use some system."[62]* The PAPP project aims to help people help themselves. The assumption here is that if the people are involved from the beginning, i.e. from the planning stage itself, and have contributed to the process at every stage, they will own it.

While the process of participatory planning was new to most government agencies, some, like the Department of Watershed Development, have been mandated to involve communities in their projects. *"We used to give programmes whether they needed them or not. Now days it is all changing. Even in our new project we have community participation. In the old projects it is still the same. If there is contribution and involvement by the people they will benefit more. The farmer's attitude has to change. The government programmes have to involve the beneficiaries in the programmes. This is new to us. After the World Bank scheme we have been told to do it in a participatory method."* [63]

People's contribution means different things to different people. For the Watershed Development Department as with other agencies there is a tendency to equate community participation with public contribution[64]. *"We have the beneficiaries contributing to the project. We have not yet decided what will be their contribution, as the project has not yet started. We have to think about it. The contribution will depend on the nature of the work, if it is community based or individual based, if it is low cost or high cost investment*

---

[62] Mr. K. M. Nagaraj, Environmental Officer, Karnataka Pollution Control Board, Dharwad

[63] Mr. Laxmipathy, District Watershed Officer

[64] Contribution here means a financial, labour or in-kind contribution towards public works and projects and can vary based on the family's situation and the extent to which it will benefit them and in what way.

and so on. Whatever it may be the contribution has to be around 8-10 percent. For community based it will be less, as it will help lot of people and individual based it will be more, as only one person will benefit from it. The amount is still tentative but some part has to be borne by the beneficiaries. The contribution does not have to be only cash, it can be cash, kind in the form of materials or in the form of labour." [65]

Contribution of the people demonstrates an intrinsic need for any public goods or services. Yet this in and of itself does not constitute participatory planning. Participatory planning has to include every section of the community and more importantly has to include the poor. The poor having the least to contribute in terms of time, cash or kind. By this barometer, in all likelihood the poor will not be included at all. Also this barometer will represent the needs of the better off more than the other sections.

Constraints to Participatory Planning:

Though participatory planning is something that government officials feel is useful, they also pointed out constraints, in planning and in government itself. *"We have a lot of problems in participatory planning because the people who have to give their opinions also have certain constraints. They are not able to voice their problems because of class and caste."*[66] Most department personnel also felt that the government itself would not be able to conduct participatory planning or implementation and that this would be where the NGOs came into the picture. The Watershed Development Department has got NGO partners through whom they will work. They feel that if they go to the village they will not get the same response that the NGOs who work in those villages will get. Also if a government agency goes to the village, the priorities identifies may be different. When you collectively involve the villages you know about their problems and based on their problems you can prepare your action plan.[67] Mr. Vastrad, CEO Dharwad feels that the NGOs involved in the project have spent time in the villages and that is why the villagers have been able to prioritize. *"When we want a village to become self-reliant or fully developed we may need one or two crores[68]. When you have only a few lakhs then only certain needs gets top priority."*

According to Mr. Laxmipathy, District Watershed Officer it is not possible for the government person to go to such extent. Certain rules and guidelines bind them and they cannot go out of that. He feels that the NGOs have more freedom than the government. The government has limitations and therefore their work cannot be compared to that of the NGOs.

Another problem is that of the frequent transfers of government officials. The officials and NGOs both feel that the transfer of officials would disrupt the project, as the new personnel may not be as interested in the project or as exposed to working in such projects. The CEO provided a different perspective. He said, *"If an officer is transferred he may be coming from another area where he may be already exposed to these kinds of things. He may have had better training in the other district so he can give additional*

---

[65] Mr. Laxmipathy, District Watershed Officer

[66] Madhu Sharma,

[67] Mr. K. M. Nagaraj, Environmental Officer, Karnataka Pollution Control Board, Dharwad

[68] One crore = 10 million. Rs. 1 crore = £150,000.

input. The official being transferred, if he is going to another area, is taking this with him." This is a more constructive view of transfers and of learning. Furthermore he felt that since an entire group of officials are involved, there could be peer learning and peer pressure for the newly transferred officials. *"If one person is not motivated we are in a group. We will come with the flock and he will not be left behind. If there is a lack anywhere I can join in. From bureaucrats there will be no problem."* Here the CEO made a clear commitment to his own contribution to the project.

On government involvement:

"Involving the government departments is useful. It will help better coordination. All the views should be integrated to get better ideas. They will also be more involved. Now you have to see what happens when you implement the project."[69]

Most officials felt that it was good to involve the departments from the beginning as it would ensure their participation because they would know how the project has evolved and what are the project needs. While some felt that too many cooks spoil the broth others felt that it was better to have every one involved from the beginning in the planning process. When it came to implementation they felt it was better to involve only the relevant people in the relevant areas.

"I think it is better to involve everyone from the beginning. If you have the agencies join in the end they won't know the amount of effort put in to come to this stage. Usually the government agencies have always been saying gram sabhas and that the decision should be made at the gram sabha. We have to answer to the people, have to read out the last accounts and reports. By the time this happens the people are already tired. You start reading the accounts they feel they have not been included in the planning. At that point of time the gram panchayat secretary and engineer do not know what work has to be done, if it is feasible, if can be really done, if it will help. If they are also not involved then it will be faulty. It is better if all the cook are there. It will not spoil the broth."[70]

The particular contribution this project aims at is in linking the work of different departments and having a coordinated integrated effort aimed at select villages. This perspective was validated by officials. *"There are so many people involved but they work independently. There is no linkage. If the departments are properly linked and there is a common platform to understand the issues it will give better results. Otherwise each department has its own views and priorities. If everyone gives feed back on the action plan it can be consolidated."*[71]

Role of the government:

Roles described by officials included that of facilitation, funding and technical guidance. Funding was difficult because many departments had small budgets. Also distinct roles were seen for NGOs and government agencies.

---

[69] Mr. K. M. Nagaraj, Environmental Officer, Karnataka Pollution Control Board, Dharwad

[70] Mr. Vastrad, CEO Dharwad

[71] Mr. K. M. Nagaraj, Environmental Officer, Karnataka Pollution Control Board, Dharwad

On the project, Mr. Laxmipathy said, "*What you are doing here will be given to the NGOs but we will attend and join them in the meetings. We, the district level government, the NGOs and the line departments are only facilitators. The district level will be giving the funds. The primary implementers, preparation of the action plan, maintenance will be the beneficiaries. We will give technical knowledge and will be the facilitators to carry out the work.* On similar projects he said, *We are giving the tasks of conducting PRA exercise, community organisation, mobility building, capacity building and preparation of action plans to the NGOs. That part we cannot do.*"

According to Mr S. L. Khoshti, HDMC, technical help was the primary role of government. "*Very few people have knowledge about the government departments and agencies. If I want to buy a cow or buffalo and make a living of it there are departments that can guide me on what kinds of cows or buffaloes I should buy so that I can get better yields. So the participation of government departments can help the lay man make the best use of the government programmes and help him have a better living.*"

On the PAPP workshops held, Mr S. L. Khoshti said, "*I found that the government departments and the banks were involved in the meetings. So many of the problems being faced by the people can be tackled. Everyone has problems but very few people try to find their own solutions. They continue to live with their problems unless they are guided properly. The government can guide them and they can came out of their problems by taking advantage of the government programmes and then start living their lives. The role of the government departments is by and large 75%, 25% is that of the beneficiaries. It is the beneficiary who has to be guided by these departments. The involvement of all the government agencies is a must for these people to come out of their problems.*"

<u>On the District Steering Committee</u>

The project team planned the concept of a District Steering Committee to oversee the project with all departments and institutions represented. Government officials at the highest levels in the district supported this concept.

For the CEO, Mr. P. S. Vastrad, "*Having a steering group will help because they will know where we are. Some schemes may come very slow and as you have time constraints it is good to have such a group. As it is a small project just one steering group at the district level is enough.*"

For Mr. Khoshti, HDMC, "*I think being part of a steering group is a good idea. People will be able to say that they have helped in at least 5% of the work. If I go for the meeting and say I have not done anything will feel bad about it. You know what are the problems in the villages you are working with. You should make a list of the departments that can be involved and how and pass on this information to the relevant departments. That will be something like and agenda. If some of the departments do not do anything but when they see others doing something they too will feel like doing something. We have different approaches but it will take sometime so you have to have patience.*"

For Madhu Sharma, Deputy Conservator of Forests, Social Forestry Division, Dharwad, having a district level committee to oversee the project was sufficient. "*You need not have a state level group, as it is a very small project. It will further dilute it. The more tiers you add the more unwieldy it will become. Having a group at the district level is*

enough. What will the people sitting in Bangalore know. They will send us a memo asking what are you doing. If you can do it at the taluk level then do it at that level. Even the district level is not required. If the people are motivated they will do their job. You can have district level officer is ok to monitor but you need the lower level who will do the work."

Learning from the project:

The officials felt that participating in the process would benefit them as they could learn from it and could also incorporate certain parts of it in their work. Most of them though still wanted to wait till the project was implemented to see the success of the project. Therefore implementation would be the final litmus test as to whether the participatory planning process worked or not.

According to the CEO, *"Too many discussions have taken place. I had promised to send some people for training. I am taking up SGSY schemes in Channapur. In Gabbur my agriculture and animal husbandry technical input I have already started. The initial euphoria is for a short time. You should make full use of it. You should have short term and long term schemes. If they see something being done then they will be interested to go ahead. What you have discussed in Mugad are all long-term plans. You have been discussing for two years now. You and I know that we have been collecting information. Think about the customer. Next time we go they will ask me why you have come. When the government car comes they have the right to ask. We should think of some quick return activities. If you have all long term for which they have to wait it makes it too heavy. It may get monotonous. Every time you meet you discuss the same thing. The important lesson here is that development activities should follow the planning process and build on it. To keep the momentum going development initiatives need to be staged, for the short term as much as for the medium and long term."*

For some officials, the dialogues were informative to their work, *"The real problems the people expressed have changed my outlook. It will help in preparing our own plans. It is good to have discussion in the initial stage before planning."*[72]

Mr. S. L. Khoshti, HDMC, said that, *"Most officers do not like going to the village. By going to the village they will understand their perspectives. We have to go to these places and try to understand their problems."*

Overall the government institutions reacted positively and seem to be interested in the project and the concept of participatory planning. While the initial enthusiasm is there it has to be seen how far this goes when the project is being implemented. Most of the departments though they are interested have only committed to technical help. The positive note is that they seem to be interested to participate to new ways of planning.

Attitudinal Change

The workshops and the interaction was not only new to some officials but was an eye opener for them. It demonstrated to them the ability of people to plan for themselves. It served to show how planning with participation can be a more careful and humane process than planning without.

---

[72] Mr. Chechedi, District Industrial Centre

Box 12.1

"The community is nothing but a group of beneficiaries. We struggle to make sure that the beneficiaries who are suffering are taken care of. It is a must. We have to change their attitude. In government departments things do not happen quickly. You have to pursue. If you want things to be done fast you have to chase. The community should chase the department concerned to get things done. In the workshop it was a rare thing for me. In my 30 years of service this was the first time I have seen such a workshop. We were never allowed or required to attend a meeting where the actual beneficiaries were there. Such things were not seen. I liked the way they could come out with their problems. They were able to explain every thing. Where are the problems and what could be the solutions. It is a novelty. This approach is new. This should be done in the government departments. We should send people to this kind of area. Gabbur is my village. A nala flows through the village with sewage from Hubli flows. I did not know about the problems. Only when I attend the workshop I knew. I felt that we the government department were so careless. The livestock and the people are suffering. We are living in the 21st century and people are still suffering like this. I think these exercises should get better publicity and the departments should be more involved. We should open our eyes to the problems in the peri urban areas".

Mr. S. L. Khoshti, Superintendent Engineer, Hubli Dharwad Municipal Corporation (HDMC), Dharwad

---

By simple demonstration of people's capacities to analyse and present their own problems to the government, had an impact by itself. Also only by putting people in direct contact with the government, were the problems given a human face.

These face-to-face interactions provide government with an incentive and the motivation to act. Mr. S. L. Khoshti describing long term plans of the HDMC said, "*Near Gabbur there is a nalla and people are using the water for agriculture. We have now sent a proposal for a treatment plant there so after treatment the water can be used. We also have sent a proposal to supply filter water to them. I asked the people to come and meet me. Frequent interaction would help. This is a real way of working. How many people can find their own solutions? You have to educate them. I feel this can really take off if the government departments extend their wholehearted cooperation. That is a must. Our attending meetings will help.*" These plans for a treatment plant have been in the pipeline for a long time. The interaction provides the government additional motivation and confirms people's need for the treatment plant.

NGO Perspectives on Government Involvement

First of all there is difference of understanding between how the Indian team understands and what they expects of government institutions and what the UK team understands and expects of government institutions. Typically NGOs work with the grassroots functionaries of the government and the UK team expectations were that the district level officials should be involved in planning. Second there needs to be a reality check on whether any of these expectations were realistic.

As the officials from the government departments involved in the planning were from much higher levels, district and state levels, what could be transferred was the project

concept and project ideology to a certain extent. One expectation was for them to participate in the whole process at all levels. The government should be involved at every level. Given the government machinery and working style of the government this is not possible at the higher levels of government as different levels have different functions. The higher level should be kept informed but the lower levels of government should be involved at the village levels.

Equal importance should be placed on involvement of the grassroots functionaries of the government, namely the Tehsil (block) or village level government functionaries. At the workshops for example, the ZP was involved and the district officials from the different departments such as watershed, agriculture and forest departments and the banks were involved. However when it came to participating in the action planning process the target institution representatives that should have been involved such as the agricultural assistants, the RFOs (reserve forest official), the gram sevaks (village field officials), and the local bank managers were not. These are the officials that know the modalities of the particular village and from the government perspective as well they are the real link of the village to the government. Even if we get the higher level to buy into the project the lower level officials may not accept the plans and their roles in them. This was not identified early on in the PAPP project.

The plus point is that the project now has the approval and support of the higher level. Having the cooperation of the CEO, Mr. Vastrad has made a substantive difference to the involvement of the various department representatives under him. Since then, his involvement has brought with him a much larger participation of department heads than previously seen at the workshops prior to his commitment to the project. Usually NGOs would not approach the higher level at all and would involve mainly the lower level. So the lower level alone cannot be involved especially if the higher level is not convinced. At the higher levels different skills are needed to convince them. However, every level needs to be involved. Every level of alliances built with the government requires a certain set of skills and rapport established. Without those skills those alliances cannot be achieved.

The perception of NGOs is that it is not easy to work with government institutions. From UAS experience working with government institutions has been a process which has been built up over time. We have created awareness with the government. They have realised that something is going on in the district. A large team is monitoring what is going on in a few villages. In these villages we will have everything in place. They would therefore have more confidence with the team. The principle of involving government institutions is very important.[73]

On State Involvement

Once the lower level of officials knows that there is a commitment and interest at the higher level, they will be motivated to work with the project. This commitment was demonstrated by the actual visits made by state level officials, which provided a green signal. Working with the top level can make things smoother. There is motivation for the

---

[73] Dr. Hunshal, UAS

district level to do the work.[74]   One example was the state Watershed Development Department official visit. Different officials are answerable to different levels of government. For example an official like Laxmipathy, District Development Watershed Officer is answerable primarily to the State Commissioner and less to the district head or the CEO. The presence of the CEO however made a difference to the GP secretary in a village. For example in the CEO's visit to Mugad the issue of ration cards was raised and the GP secretary present was made accountable for the ration cards not being issued to certain populations. At the implementation level, district and state visits will definitely have an impact. But in terms of involvement of officials in the planning process a different approach is needed.

The officials could have been involved in working out the logframe or PRA exercises with the people. However it needs to be clearly recognized that this is the plan of the people and all the rest are purely facilitators. In that sense it was appropriate that in certain exercises it was only the people who were involved, especially in those that led to prioritization of issues and defining solutions. For identifying solutions, only if the people are ready should the government be involved. Also if at certain stages the district or state level officials are involved and not the grassroots officials then people will not say a word. The village level government is part of the community and the community is familiar with this level. This level can suggest a more realistic solution from the government point of view. This has to be balanced against the consideration that in the first stages of planing people should be free to plan without any constraints. Planning itself should not be restricted. It must be kept in mind that government restrictions on people's planning will not be unbiased.

Another constraint on involvement of district and state level official is that high profile visits to the village should not happen often as it raises expectations and changes the behaviour of the people.[75]

NGO and Government Collaboration

NGOs and government have completely different perspectives, which can create problems in their collaboration. One example is the Watershed Development Department collaboration with IDS and BAIF. Despite extensive prior discussions where it was recommended that GP members not be placed in charge of the Micro Water Shed Groups for reasons of corruption, it was announced in a meeting held in Dharwad attended by the Action Plan team in the presence of all Panchayati Raj representatives, that two GP members will be given the posts of President and Vice President of the MWMGs.   This implies that while the poor may be involved in planning the GP members will now be in charge of these funds and have the final right to allocate them. This does not counter the corruption that can be expected and that NGOs were trying to prevent. This will have to be challenged and reversed at every level. This is just one example which is of direct relevance to the PAPP project as four of its villages are involved in this project. While there is much to be gained in NGO state collaboration a certain set of principles must form the basis of the linkages:

---

[74] Dr. Hunshal, UAS
[75] Prakash Bhatt. BAIF

- The definition of issues, departments to be linked and reasons for linkages must be grounded in the community's planning initiatives.

- The linkages forged at the state level must be a direct reflection of the needs as voiced by both the NGOs and the CBOs.

- Timing of the state departments are often delayed and therefore complete reliance on state departments and planning the Action Plan project according to their timing could be a mistake even in potential areas of duplication of funding.

- Many conflict areas such as corruption, inclusion of Panchayat members as lead actors, funding streams through Panchayati Raj institutions (highly politicized and known to be corrupt) and several such issues can and in the past has resulted in the breakdown of collaboration between government and NGOs at any moment in time. This needs to be kept in mind in implementation of the action plans.

This is seen as part of the learning process and ways in which NGOs establish boundaries and set the terms for interaction and hold the government accountable. Therefore given that the NGOs need to not be made dependent on the state agencies, it is recommended that state linkages are viewed in the following manner:

- Planning of the project areas for intervention such as watershed, tank restoration and the final deliverables of the Action Plan project needs to be done independent of government linkages and government institutions initially at least.

- As and when the government or other resources come in, it may be possible to replan the Action Plan budgets and withdrawal of the resources allocated for areas which the state is now funding or areas, which other funding agencies can cover.

- Visibility of the project can be greatly enhanced through interaction with the State heads such as the Commissioner of the Watershed Development and Industries and Commerce and with the Executive Directors of JSYS and KWDS (Karnataka Watershed Development Society).

- The interaction could inform policy of various state agencies and projects.

- Government officials need to be trained in participatory methods and in learning how to involve the community in planning, monitoring and implementation. The strength of the Action Plan project lies in its emphasis on participation and as a model for learning and informing the entire staff of government from the state to village levels at least in the district of operation. It can further serve as an example for other districts as and when their officials are brought in for exposure to the Action Plan project events and areas. In this way the government officials and attitudes can be shaped through involving them and exposing them to the project.

- Community priorities need to be center-staged by the Action Plan team in forging linkages. For example, tank repair has emerged as a priority area in most Action Plan villages. This will not be covered by either JSYS or the WSD department. Therefore if tanks are a priority then any intervention on tanks must be planned and included in the Action Plan project for funding independent of state institutions. This is true for all other areas of intervention, namely there may be aspects within community

priority areas of forestry, income generation, sewage treatment etc that may not be funded by the state departments. For instance, in income generation projects, state departments may not fund certain types of projects, which the community wants to start. They may fund only government priority areas (see list of priority areas of the Industries Department for example.) Therefore Action Plan planning needs to always keep this in mind while planning for linkages and alternative sources of flexible funding need to be sought to match the project funds.

<u>Factors that have helped the Planning Process</u>

- Community Organisation: It is important therefore to organise the community before they start planning and therefore also before they interact with the government. Their articulation capacities of their own issues and problems have to be built before they can communicate with the government. One danger of early interaction with the government is that the government can impose its views on the people.

- Increased Interaction: The community presentations to the government institutions, groups discussions have helped in creating an understanding between the community and the government on the issues. This has countered an existing bias against participatory planning on the part of the government that people do not know. It has increased the capacity of the people to articulate their needs to the government and thus their confidence.

  People have become more cohesive in their presentations. For example, people in Mugad are more easily able to own up to their own past mistakes made on the forest issue in from of the government institutions. This preempts a confrontation between government and the community on these types of issues. On the issue of the tank as well, the Mugad representatives were seen to better field questions on these issues. Even for the other villages now that SHGs have been formed, leadership from these groups is emerging and women too are becoming more articulate in the preparatory meetings although not yet in the interactions with the government institutions as was seen in the Channapur presentation. However the representative from Gabbur village was more articulate but she belonged to a sangha that had been organized about two years ago by BGSS. Therefore sangha representatives are far better prepared to deal with government that non-sangha representatives.

- Interaction at Different Levels: While there has to be interaction with all the different levels of the government the timing and the type of involvement at each level is different. For the village community the first stages of planning have to be unhindered by government involvement. After which the village level functionaries need to be involved in the planning with the community. At the district and state level the officials need to be kept informed and their support obtained. The roles of each level of government are different. It is essential to involve the village level government, as they are the main link to the other levels of government. For any lower level of government to be involved there has to be district sanction. For lessons from the PAPP and related projects to have a wider impact and reach it is essential to involve the state agencies. Cross-fertilization of government projects and these projects can happen primarily through state sanction.

- Holding Government Accountable: Often commitments are made by department officials which may or may not be honoured. Having forums where the officials make commitments in front of the entire community can create accountability mechanisms.

- Independence of NGOs from Government: To ensure that the NGOs are able to effectively bargain with government institutions they need to be independent of them. Therefore the entire funding for development activities cannot be entirely tied to government programmes. The NGOs should have some funds by which they can leverage people's contribution as well as government involvement.

- Government Machinery: Past experience has shown that government has target areas which may not cover the villages of the project and that those programmes that cover these areas may be prone to delays or even non delivery of public goods and services. Therefore there has to be some buffer to protect the plans and ensure implementation given these constraints.

12.1.3. Key Recommendations

- In future projects formation of SHGs and community mobilization especially of the poorest and most vulnerable sections of the community must be seen as a first step and part of the planning process and about six months allocated to just that part of the process.

- Some separate training of government representatives needs to be designed to change their perspectives on participatory holistic planning.

- Participatory logframe formation has been attempted here and separate forums for men and women are recommended to enhance women's participation. As yet it is unclear how to integrate women's perspectives without preventing a back-lash and the team needs to evolve a clear strategy on how to deal with sensitive gender concerns like alcoholism.

- A version of reports on government interaction needs to be created and given back to state and district representatives to hold them to commitments made in public forums. A simplified version of these commitments needs to be also disseminated at the village level so they can hold officials accountable to the process.

- A key recommendation includes looking for alternative sources of funds. On sourcing other resources it is recommended that the Action Plan team look at funding agencies in Delhi to cover areas not envisaged by the project and to provide the NGOs flexibility on the ground.

Chapter 13: Process and Outcome Analysis

A large number of institutions and partners were involved in PAPP and consequently various players reflected on the outcomes and the results are presented here. This chapter is based on interviews conducted by BPF on the outcomes with the local team and follows a similar methodology employed during the mid term review by Michael Mattingly which was to measure the outcomes according to the logframe outputs, by individual team members. The following sections therefore looks at each output in the logframe and analyses performance according to these outputs.

13.1. Output 1.

Enhanced capacity of research team to establish and facilitate participatory action plan development processes.

All organizations in the team learnt the importance of facilitation and playing that role at different levels. For UAS the entire experience of community mobilization, self help group formation and dealing with the landless was new. For the NGOs, the entire local team and the UK team as well the participatory logframe process was new and being tried for the first time. For the local team the video training where people presented their issues for dissemination at an international and national level was new. For the target institutions being involved first hand in a participatory action planning process was new.

Describing their experience in Kotur with PAPP, UAS personnel said, *"UAS has given a lot of attention to the farmers community. We visited villages once or twice in a week depending on the farmer's demand. All participatory approaches were conducted with farmers and UAS studied the whole village activities to build up the rapport, by staging a drama on natural resources management. Slowly UAS mobilized the jattis (traditionally communities involved with wrestling) and local community people. We developed trust in the area and with NGOs. Then after developing trust and confidence of the people, we started some intensive activities such as matrix ranking, matrix marking and assessing incomes of the people."*

In Kotur, UAS did not use SHG formation as a first step. According to them the entry point was through the panchayats. Their process was more workshop and event oriented and based on village meetings with groups of people. *"Existing SHGs are linked to the social welfare department where women were just saving and had not started any income generation activities. We facilitated and educated the people to take part in the action plan. We identified people's problems. Based on the priority of their problems, we made them form a group, we arranged consultation workshop for farmers, consultation workshop with the TIs. This workshop made us learn from the people and institutions the strength, weakness and deficiency of the particular groups. Based on this analysis we could prepare plans for particular villages."*

According to UAS, their focus was not on the landless. *"In Kotur, we carried out the similar steps to conduct the rapport building since Kotur is a new village for us. In Kotur many marginal and small farmers were there and there were few landless labourers in the groups. We did not concentrate on the landless labourers because they are factory workers going in the morning and coming in the evening. Kotur is a big village and we*

were staying in the village. Mr.Gaddi, a UAS research assistant, was staying in Kotur looking after the agricultural activity. He concentrated on small and marginal farmers. Local existing SHGs were tackled, separately for women. SHGs were formed in all the areas by the social welfare department. SHG members were saving Rs.10 to Rs.15, which consists of both landless and other rich members. They were just lending money to sangha members and collecting interest.   Other than that there was no income generation. I asked poor people why you have not joined the sangha. They told that they were not in a position to pay even Rs.10."

For NGOs, the focus was on the poor from day one and mobilization of the poor was a first step. For IDS using PRA information specifically for planning was new where unlike the past, PRA was not simply used to gather information about the village, to engage the people or as an entry point activity or even for organizers to understand the community, its resources, skills, needs and problems. Here PRA was used specifically to help communities plan. "*PRA was used for planning. The whole plan was based on the PRA information that was collected. Resource mapping, what is the condition of the forest, what people wanted to do and the issues around the tank, all that information was drawn from the PRA. We had discussions later with poor women's sanghas on livelihoods and that information was later included in the logframe. PRA includes social mapping and focus group discussions and the resultant modification of the project was done based on the PRA.*"

Another new aspect to participatory planning for IDS was the number of times people revisited the plans and the iterations of planning that took place with different groups. "*PRA with PAPP is different from other PRAs. In the earlier projects, we developed several activities through the PRA. We used to come back sit, work out the action plan and forget the PRA. Only at the end we used to look back what we have planned and looked at we have done. This was the procedure in almost all the projects. Whereas in PAPP we had sufficient time to look back even during planning. We had several occasions to go back to people and show them the plans and ask them if it is okay. Say these are the plans is it okay… these are the objectives, does it cover all the objectives we needed to achieve… these are the strategies we are adopting, does it work? Even the action plan was revised several times. During the whole period of the development of the action plan we had a chance to go back to the people, share with them, come back, revise the plan and go back. This was a unique project. This is not easily replicable. But the one time experience of doing PRA exercises and developing the action plan has taught us, now we know how to do it and it may not take such a long time. We know we need some time to discuss with the people and to come back to them and then develop the action plan. Now we have clearly understood the process. Collecting information from various people we normally do but what was new here we went back to these same groups of people, men, women, lower castes and landless and checked the plans.*"

For BAIF as well, *The other learning from the project was that the communities do not come out openly with the real problems at the first instance. The problems that emerge at first meeting will mainly be perceived problems and to trace out the real problems we need to repeat the process many times involving people from different categories. It was also observed that the perceptions of people of different castes, livelihoods, genders and economic status differ, many times due to conflicting interests. To get correct*

*information, it is necessary to conduct a series of sittings with these classes **separately** and validate the information to offset any bias in the information gathered."* Therefore for the entire team, planning as an iterative process was new and invaluable which has engrained the learning of how to get communities to participate in a long-term process before even funds are available and without any real tangibles.

Through these iterations several modifications were made to the plans, which benefited the poor and women. *"The Mugad action plan had three objectives i.e. water, forest and the livelihood. Later we added community organisation. Initially the goal of livelihoods was for artisans only and it was expanded to include women and later the landless. Another change we added was livelihoods based on natural resources and other alternatives also. All these modifications we added to the plans."*

Finally for IDS, the participatory logframe process was new and a capacity building initiative for IDS. *"For the whole team, R.B. Hiremath, Pawadshetty and me, we feel we can do it now. First for Mugad we did it, he was present at Gabbur and Channapur and so for Kotur he knows how to do it, he is ready. The capacity of the entire team has been built up especially in terms of the participatory logframe process."* BAIF has been exposed to the logframe concept in its past projects but bringing people into this logframe analysis was a first. "*The use of logframe in project document was not new to the team but the difference is that the staff used to develop the logframes on their own **using the data gathered by participatory methods**. In this project the team worked on the logframe along with people and developed the logframe for the project involving the people. This was a new experience."*

For BAIF, "T*he project gave BAIF an opportunity to understand the peri-urban concept and situation. BAIF has a rural focus in its programme implementation."*

Though BAIF emphasizes people's participation in their projects this was different because participation was elicited during the planning stages itself. "*BAIF knew the importance of people's participation in every stage of project life cycle and has been adopting this in its many projects. **But to do it even before a project was grounded was exciting.** The project provided an opportunity to work with the people right from the stage of project proposal writing. **This increased the capacity and confidence of the team in using participatory methods in action plan development.**"*

The capacity of BPF was enhanced in it being given the opportunity to document and provide internal feedback towards a participatory planning process (vs an implementation process). Furthermore BPF conducted collective participatory reflection with the team and with women in the villages which was fed back to the planning process which was new. Creating linkages with state level institutions for BPF was not new but working towards forming a resource group at the state level is new.

13.2. Output 2.1

Improved understanding of appropriate mechanisms for fostering interactions and continue participation between poor peri-urban stakeholders and those target institutions which formulate policy and implement regulations, to the point where action plans can be produced.

To engage the poor it was understood from observing the NGO process that community mobilization was a first step. To get training on community mobilization, UAS went to Myrada[76]. *"There we got the maximum exposure. It gave idea on how to form SHGs and how to involve people in income generating activities. They were excellent SHGs in the Myrada and they taught us about other aspects of action planning. Later Karen taught on how to formulate and finalize action plans. We all involved in the processes. Later we came to know that this process was better than the earlier. Myrada was concentrating on skew aspects of natural component or pentagon aspects. Pentagon is a natural physical social asset and financial asset. They were concentrating on that. Here we took intensive action for approaching livelihood aspects. When we analyzed we came to know that for poor people forming SHGs and only saving money does not help them. SHGs that have been in existence for some time do have any poor members. So we should form a SHG which has only poor members."*

Thus one appropriate mechanism learnt by the UAS to begin approaching participatory action planning involving the poorest is to form SHGs among the very poor. This strategy was already being made operational by the NGOs and SHG formation as a first step as is viewed standard modus operandi. Creating problem trees and solution trees were all done with the communities in all the villages as shown in previous chapters.

IDS, because of the concern that TIs would dominate the process did not include them except later on where communities presented the plans. *"We brought both the TIs and poor together after discussing it with the poor. We presented the action plan to the TIs but did not formulate it with the TIs. There was a clear fear that the TIs would dominate the process. Our involvement of the TIs was at the district level. Even at grassroots level there are TIs we could involve and we have not tried that. Grass root target institutions are present in the villages and they are the part of the community. These institutions can be involved in the action plan, they are also part of the government and have that information. These institutions know the situation of the village clearly."*

For BAIF, the experience with TIs was a refreshing change from the past. *"BAIF worked almost always alone in its projects. Linking with the government institutions were more of offshoots than the project mandates. Sporadic programmes where collaboration was tried were not very pleasing experiences. PAPP provided an opportunity afresh. Various methods like visits of TIs to villages, interaction meetings between villagers and TIs, workshops with TIs were tried in the project which gave good results. The response and the involvement of TIs in the project activities so far, is satisfactory and encouraging though it is very early to say whether the TIs will be really delivering as expected."*

The involvement of TIs in Dharwad district is at a higher level than can be expected from most other parts of the country. Thus while their engagement and interest is extremely heartening it is also unusual and not easily replicable. Yet given that there is a broader trend within government that is encouraging people's participation and given that the government typically does not know how to do this, this project provides several unique

---

[76] As part of the training for R7867, the Bangalore based NGO Myrada, with Adrienne Martin, NRI, conducted a training workshop for the Hubli-Dharwad project team (mostly UAS staff, with one from BAIF) on livelihood analysis and community mobilization. This was held at one of Myrada's field offices in south Karnataka.

opportunities to influence broader government-civil society interaction. It can act as a model to motivate both government and NGOs to demonstrate that government can in fact be responsive. It can motivate NGOs who are skeptical of government interaction by showing them that within certain limitations change within government is possible. It can motivate government within other districts to help them see how people's participation can enhance their own work and how this type of engagement is indeed possible within government structures.

13.3: Output 2.2

Improved understanding of factors which engender enabling environment for diagnosing problems/issues/constraints to livelihoods in PUI

In-depth and separate interviews right through were conducted with women from each village by BPF and IDS personnel where women's concerns were surfaced. Here women were asked whether the action plans worked for them. Findings surfaced that in fact they did not work for them and consequently the plans were reworked.

Thus it was clear that earlier processes of involving women in the larger planning meetings alone did not suffice. Separate interviews were needed with women, especially landless women to help them identify their problems which essentially concerned their livelihoods. When these groups were asked to formulate solutions it was found that they could not. Thus forming SHGs among poor women, taking them on exposure visits, conducting market intelligence surveys and building their capacities in myriad ways including building a literacy training component into the larger training programme are envisioned as an essential capacity building step. This resulted in building in two broad new goals into the project for the implementation phase including community mobilization and enhancing livelihoods for women and the landless.

The UAS felt that they had learnt how to bring women into the planning process. This included the formation of self help groups, addressing women separately and identifying the problems of women as some of the engendering processes. Taking the women's issues and making them speak publicly were also seen as some of the ways to facilitate their participation.

Past initiatives of the UAS did involve women but in more traditional ways as mothers or in family planning. The PAPP process allowed them to engage with women in a different capacity, namely as agents of change, as planners for their community and as equal stake holders in a larger community planning initiative. *"Prior to PAPP we were working with people in different ways. We had approaching people any districts of the area. We gather women separately for income-generating activities such as tailoring, and pregnant women are approached separately for educating them on mother and childcare."*

Further, the process allowed for a more holistic set of interventions as opposed to interest specific or issue specific types of interventions. *"Some women are approached for family planning and for specific interests. Natural resource was a broad terminology, whom to approach was the big question. There are many aspects involved for example water, land, natural resources, timber, forest produce, agricultural activities, dairying, fishing, sericulture and so on. So I thought how to address women particularly. With a*

target and motto we can go and talk with the selected people. When the mandate was given to create awareness on the natural resources it was very tough. Educating them and giving information them about our activities what we do thus we created awareness. Through a multidisciplinary approach it was possible. Through the NGOs we learnt how to approach and develop trust with different groups and not the whole village at a stretch. This we never had earlier."

IDS felt that the mid term review was the turning point in terms of gender concerns for PAPP[77]. *"It was clear that both separate meetings were required and that more time is required. Their organization and exposure visits were needed prior to planning because they did not know what solutions would work for them. Empowering the women is most important."*

Also IDS saw a strong link between gender and livelihood concerns. *"The issues of livelihoods were discussed in larger groups. The team felt that issues concerning to poor and women were not emerging out in the larger groups. So it was felt necessary to discuss in smaller groups having focus on issues of a particular section. This was a successful step. This could surface many issues concerning to women and poor which could not come up in larger meetings or were not allowed to be brought out.*

"BAIF has been organising people and mobilising them for development of the community in its projects. The same was tried here and it again proved to be most efficient way of implementing development projects and in getting desired results. Involving women in all activities and giving them opportunity to mix and interact with men and TIs empowers them and gives them confidence. This helps in building their capacity. We insisted on the involvement of women in all activities of the project like exposure visits, meetings, workshops etc. This has made them capable of speaking with outsiders boldly, articulate their problems and negotiate on solutions with TIs."

Overall the factors that engender the planning process included the following:

- Women, especially poor women have to be mobilized and SHGs formed.

- More time and effort is needed for poor women on the part of all stake holders. This has several other implications namely the revisiting of broader goals, new facilitative strategies that allow women the time space and flexibility that they will need to be able to plan for and implement solutions that work for them.

- Once women are in a better bargaining position there need to be dialogue forums between men and women and also between women and other institutional actors.

- Till this point, separate dialogue forums in the form of separate meetings and SHGs for women are needed to build women's capacities to make decisions, take leadership, discuss their concerns, handle money and build their asset base.

---

[77] This is a reference to the Mid Term Review when the reviewer and male members of the team took the men out of the community meeting for a walk round their fields. With the men out of the way the women felt much more able to open up to the remaining female members of the team (see Photo 7.4).

- There needs to be a broader recognition that women lack access and control of incomes, resources and assets and that the strategies and plans need to facilitate that access and control. Thus the two new goals introduced directly address this issue.

13.4: Output 2.3

Improved understanding of ways in which conflicts of interest can be identified and resolved.

According to the UAS, *"The basic conflict of interest arose when it was clear that the landless were not being involved in the process due to the lack of appropriate mechanisms to identify and involve the poor. People in the village itself do not know who are the poor. We found that people who are landless have factory jobs and a steady income. When we went house to house we realised people's perceptions were misleading and that people who were supposed to be backward lived in very posh houses. So at present village leaders are not bothered about who are the poor and are more worried about their own activities as agriculture is going down. Based on household surveys we finally identified who are the poor. We identified poor based on their physical assets, social assets, economic assets and natural assets. These are the important component taken for identifying the poor, not only these we identified them on comprehensive approach. Sometimes government benefits have not reached the poor. In the same village poor people did not know about the government schemes. Implementation was there but beneficiaries were not identified. Now I have better understanding of who are poor and conflicts of interest. In Kotur conflicts of interest are always there. Rich farmers always want benefits to come to them. The poor are always neglected because they are not organized. The rich wanted the benefits. This is an overall conflict where both want different things. We solved problems by convincing the big farmers saying that let the poor get benefited first and next time priority would be given to you and all will be benefited."* Here the role clarity based on skills and experience that NGOs possess in identifying and working with the poor was required and this was resolved along the way.

A second major conflict of interest arose during the diagnostic workshop when government officers tried to dominate the process in the working groups and when issues were seen as the basis for formulating working groups. Again this was resolved over time where the cluster approach was adopted and the working group concept dropped for the time being. Instead government involvement and interaction with stake holders in the form of a district steering committee was adopted.

For IDS, *"We understood that empowering the women is most important. Empowering means organizing, capacity building, women should have control over their resources. This is one way of solving the conflict of interest. Conflict of interest arises when one is taking over. When men take over women are neglected. So we have to build the capacity of the women. When it comes to rich and poor, we should build the capacities of the poor so they can take care of themselves. So their interests are protected. We should wait and see how the interests of the poor people could be protected."*

On the poor IDS spoke at length about the processes in place to work with the poor within IDS. *"Project staff have to stay in the village. Even if the university staff stays in the village, they don't go to the poor colony, they are oriented towards them. They will go the rich persons or panchayat because they speak the same language. Our staff stays*

in the village and the staff of NGOs know where to go. I have undergone both types of training. In family health and planning we did not go to the poor we went to the Panchayat office; that is the traditional training we had. The training we go through in IDS is an advantage to us. We have been trained in our office to go to the poor. There are several kinds of community activities and several social activities. We formed many kinds of organizations. We are aiming at who has been trained, what purpose he is trained. We have to keep in mind all these things. Usually in the traditional training, they train people to meet the panchayat member and explain its purpose. Panchayat members will help to identify the people. But this is the traditional training. But we need specific training. Unless one is clear about the objective of the program and objective of organizing.

"In the village we can easily identify the poor peoples house. Even in a Harijan colony there are rich houses and poor houses. First you have to go to the poor because once you are identified with the rich you cannot reach the poor. Our IDS philosophy is to identify the poor, live with them, love them, understand them, know what they have and build on what they have. We should go in search of poor, the poor will not come to you. We are doing this for 20-21 years. It is not simply a learning or understanding. There is an entire organizational framework in place in NGOs.

"We are not against rich, we want to uplift the poor. We are ready to help every one whom come to us, irrespective of poor and rich. But our concentration and work is with poor. We are there for that. We have certain ideologies. Our main objective is to organize poor, help them and work with them. In Kotur I have asked our staff to identify the poor and form sanghas.

"There are even sanghas, which consists of poor people and as well as rich. Our organizers attend rich sanghas meetings and help them whenever they call. But we will not seek them and work with them. But we don't work and organize them. Rich people definitely will come to us and need more of our time to work with them, but the poor will not come to us. Though poor need our help, they don't come to us. We have to put extra effort to organize them. Poor people are not aware of the benefits and they don't talk with us. Those who come to us are the rich as they are aware of the benefits.

"There are four groups of people in Kotur. Mixed sanghas are poor and rich together and this is based on affinity and the wide range will not be there. People with 10-20 acres will not mix with these people and the very rich will not mix either. People with 20-25 acres will see someone with 5 acres as poor but for a landless person the person with some land is rich. That wide gap will not be there.

"Now a small house and a hut is better than not having that. A house with some livestock is better off than no livestock. A house with some land is different form a house with no land. Though there is a sangha the intervention is at the family level especially if it is a mixed sangha. As far possible it is better to form a homogenous sanghas".

According to BAIF, *"Conflicts of interests are bound to arise whenever there is an outside developmental intervention. The more articulate and developed try to grab the opportunity for their benefits. This could be resolved in the project by organising people and giving them chance in decision making in identification of problems and finding*

solutions, planning activities for themselves. Organising separate meetings of groups having different interests could overcome the issue of conflict of interest."

In BAIF groups as well during the diagnostic workshop the TIs present tried to dominate the process. For example one official in this working group said that the problems should be verified by thorough research on it done by researchers before we moved into action planning by villagers. This indicated the lack of faith of government in the village community to identify their own problems accurately. According to BAIF, *"There were some traces of conflict of interest between the villagers and the TIs when work plans were being prepared in the diagnostic workshop. The TIs tried to dominate and influence the process saying that the issues raised are not the real problems and that the respective departments have various schemes to address these issues. The villagers felt the schemes are either not addressing the issue, or are not reaching the proper persons and /or are not giving the desired results. This conflict was resolved by formation of steering committee to streamline the process and overcome the problems in implementation of the proposed project activities. The other nature of conflict of interests, which surfaced during the first diagnostic workshop, was between the villagers within corporation limits and outside the corporation limits. They had different sets of problems and priorities. There were conflicts of interest among the villages within the corporation limits and also among the villages outside corporation due to the difference in natural resources, livelihoods and infrastructure available."*

Thus important ways to resolve conflict of interest include:

- Between rich and poor in the villagers to mobilize the poor and build their capacities to negotiate for their interests

- Between men and women to do the same but also for women to have separate spaces to grow and develop their skills.

- Between communities and TIs, building the communities capacities first and sensitization of government officials prior to the interaction on the importance of facilitation

- Within the team, creating an overall environment of facilitation by project managers which should translate to all other levels.

13.5. Output 3.

<u>Target institutions and PU stakeholders recognise what the NR management issues arising from change driven by urbanisation are, and their effects upon the PU poor.</u>

UAS describing the changes in the understanding of TIs said that, *"Target institutions have come to know that natural resources are degrading. In the last meeting we are supporting watershed management. Bore wells are drilled in the city areas. We improve the water table and this improves the situation in the urban areas. The urban areas take water by digging bore wells, where poor people cannot dig the bore well because of the lack of the money. Unknowingly poor are deprived of this activity. In urban areas, especially Hubli and Dharwad due to scarcity of water people get water in their taps once in eight days. So every house has bore well. Water is drained to urban areas from periurban areas. We are planning for water shed management, we are improving the*

water table which is helpful for the urban areas. At the same time number of borewells are increasing in the urban areas. Other issues are also now known to them, such as people are working in the factories and in cities and that agriculture is neglected. Now ZP is aware of the problems of the periurban because of PAPP."

According to the UAS, *"TIs have also understood better that the role they have to play in the action planning process. TIs role is to facilitate the actions of the thrust areas of the farmers. TIs especially the Zilla Panchayat has to take part."*

People and TIs in the district meeting are solving issues related to basic necessities. Describing the issues at the meetings the UAS said, *"We attended two district steering committee meetings, there we came to know that still natural resources are not developed. People's main area of focus is agroforestry, horticultural crops, vegetables, fruits and dairy. The committee is supporting these ideas. Other necessities such as construction of roads and literacy are not touched. They have not come to this level of thinking about capacity building on literacy. People want the procurement of plants and others for the end uses. Materials needs are there but there are no social needs. They want plants, and we are ready to give them 1,000 plants but why they need these plants and what are the broader issues that they do not know."*

According to the NGOs, both felt that the awareness among TIs had increased on the peri urban issues. IDS felt that, *"TIs have they understood the peri urban interface. Earlier TIs did not know about the problems of the peri urban. People who are closer to the cities are more affected and they are aware of the problems. With this program they have understood.* BAIF said that, *The TIs were not caring for natural resources, in particular they had no specific attention and plans for periurban area. They were treating it as urban area . They were of the opinion that the peri urban effect is a natural process and it is beyond their capacities to do any thing for this area. The involvement of the TIs in the planning process of the project has raised their interest in the peri urban area."*

13.6. Output 4.

<u>Knowledge of stakeholders' criteria for evaluating and prioritising issues identified, and any differences in prioritisation by various categories of stakeholders understood by all participants, through an interactive process.</u>

The UAS analysis of criteria for prioritization was as follows: *"Based on the existing resources people prioritize. Products with more market value get priority. In Kotur landless and the poor people prioritized alternative livelihoods. They said that they could sell vegetables, process food grains and goat rearing. One woman was selling milk products. Water was prioritized by the landed to produce more products. Main criteria is that people do not posses land. They can buy the locally available resources and sell it in the Dharwad market, which is near to their village. This is an income generating activity for them. The landless could also work as agricultural labor during season. Poor people know the techniques of the production and if more water is available to them they can produce more grains. They can involve in this activity when there is no water. If water is available throughout the year, they can engage in the farm activity. In the harvesting season, they can process food grains, clean them, pack them. Millets which*

grows more in this area has got more nutritional value. These ideas were given by the SHG members in order to improve their economic conditions."

BAIF said that, *"In Channapur alcoholism was major priority. Women told that if they start income generating activities there is no use until men stop drinking alcohol. Women were scared that if the same condition prevails, men might take all their earning and spent on drinking. Women wanted to make sure that they are capable of handling the situation. That is the main priority now. As I understand alcoholism is a priority because before we can create alternatives that generate income we should be sure it can be used and if the same situation continues it will be wasted. For the poor survival is the criteria and the resource base is being eroded. Because a larger and larger share of family disposable income is going to alcoholism. For poor and women income available for their livelihoods are to serve their basic needs. For the rich it is an increase in income but for the poor it is to meet their basic needs. When the basic needs itself are not met you cannot think of other things. For others it may be add on for the poor it is a basic necessity. Literacy is not an issue till it becomes a need. People have lived without signing and without reading so they do not see the need."*

BAIF said that, *"Interaction meetings between the community, TIs and the project gave an excellent platform for discussing the criteria for evaluating and prioritsing the issues identified. Differences in prioritisation were discussed in some issues and efforts were to arrive at consensus. Many times the project succeeded in steering clear the differences. This empowered the team in negotiations."*

The criteria for prioritizing issues on the part of the communities (rich or poor), was based on material benefits from the issues to be tackled and the interventions planned. When it came to selecting natural resource management issues such as tank restoration, watershed interventions, and access to forests all these issues were raised not to necessarily improve the environment but because dealing with these issues would improve the material conditions of the community and some interventions would improve the situation for some groups more than others. For groups like women and the landless who did not benefit from these interventions their participation initially was minimal and only when special attention was given to improving their livelihoods were they found to participate. The result was that interventions planned for them did not necessarily deal with natural resources. Women in prioritizing alcoholism were driven mainly by concerns dealing with the resultant decrease in income and thus dealing with alcoholism had to precede other interventions.

13.6. Output 5.

Plans of action produced by working groups consisting of poor peri-urban stakeholders and target institutions.

There were three plans of action produced but not by working groups (see Annex D). The working groups did not happen for the following reasons:

- The representatives from the TIs were always changing in the workshops, discussions or deliberations. That made consistency in working group formation difficult.

- There were common issues in all the action plans, water, forests, and the same representatives could not be in different groups.

- Skepticism about involvement because of TI domination

- Involvement of TI prior to community mobilization was not advisable and even in Mugad where the community was mobilized there was also a long absence where some of these groups had to be rejuvenated.

Chapter 14: Lessons Learnt and Recommendations

Right through the PAPP process the team surfaced lessons, which reflect right through the text. This chapter reflects on the entire process and surfaces the common threads running through these lessons. A summary of practical insights and recommendations in a more detailed form will also be provided. The following sections presents the lessons by the major factors that affected this project which represents a complex project with a wide range of institutional players.

14.1 Peri-Urban Influences

The first factor was the very location of the project being in a peri urban area shaped the project in interesting ways.

Urban attitudes made community mobilization more difficult and would require that an unlearning of these attitudes first take place before the project takes off. The core attitude that needed to be changed was a patron-client perspective where people were used to receiving favours and resources from the government in exchange for their participation. This went against the very grain of the project whose purpose was to ensure people's participation in planning within a self-help framework.

Urban influences such as greater prevalence of alcoholism, gambling, and other vices and easier access to these, has decreased family income disposal and directly affected the lives of women and children. Interventions thus planned meant that more income could mean increased alcoholism rather than improving the standard of living of the poor.

Urban opportunities such as larger markets overcomes one of the most difficult problems faced by SHGs which is the marketing of their produce. Options for earning incomes around the year in the city, and consequent migration, is an incentive for people to seek opportunities but also a disincentive for self help and for investing in their own villages. Migration and lack of roots adds to this because people would rather invest in areas where they own property and not in villages they have recently migrated to and where they may not settle in.

The range of institutions required were many more and therefore new strategies are needed to deal with institutions that typically do not work together and the jurisdiction of the villages under them were unclear.

Natural resources and livelihoods are linked, but not for all groups particularly for the landless. Natural resource management is easier than improving livelihoods for the poorest. NRM helps the livelihoods and improves living standards for a few and in select ways it helps the poorest and women as well (such as increased drinking water and more employment). However for the poorest and for women who do not own land or any other assets NRM alone was found to be inadequate and separate strategies and plans needed to be made with them to increase their incomes. For this an additional objective was added to PAPP, which was creating alternative livelihoods for women and the poor.

14.1.1. Countering Urban Influences

One clear indication of the fact that some communities like Kelageri village had not yet absorbed the concept of participatory planning was in interviews conducted with the

community. Here despite four visits conducted by the IDS personnel after the PRA to Kelageri, one woman representative said "If you do not do anything for us we will not come for the meeting." This statement which was substantiated by IDS staff where repeatedly in this village people asked them what was going to be done for them. This revealed that they had not yet fully bought into the concept of building their action plan and this is a particularly peri-urban characteristic. Villages that closest to the city are used to political influences whereby politicians, government and others promise goodies to the village in line with patron client relationships. This develops a charity mentality where people do not have an approach of self reliance but of dependency. Given this feature, even more time is needed to counter such a tendency in the rapport building component of the process. The lesson learnt here was strongest in the fact that because this time was not factored in Kelageri village had to be dropped from PAPP.

14.2. Poorest and Women

The poorest and women are found to be historically the groups that are the hardest to help. This is because they have no assets, very little time, are often unmotivated and fatalistic, and are so entrapped in their situations that they do not know how to get out of it and neither does anyone else. Thus these groups need special attention, far more capacity building, time and support and a lot more effort and initiative is required on the part of institutions working with them. Besides this since this is new territory a confluence of skills, institutions and technologies are needed to create these new alternatives.

The very first step towards working with these groups is to identify them. Here it was found that NGOs were more easily able to identify the poor as they have evolved time tested methods.

The second step is working with the poor. Given that they are the ones with the least time, staff has to work on their terms. This requires that staff live in the community and meet these groups when they are free which is often late at night. If the village is large with a large population of poor then one staff person may not be adequate who can only handle 500 households.

The most important factor here is that these groups will need more time to plan and then implement their solutions. Often it has been found that funders require results to be shown in three years and this further results in NGOs working with groups that can show these results in that time period. This leads to a vicious circle of the poorest and most marginalized groups being constantly left out.

14.2.1. Organization Building

"The interaction between the villagers brought in the sense of formation of SHGs." [78] Due to the presence of sangha representatives and NGOs both, communities began to understand the importance of forming collectives and building their own organizations. One of the most significant contributions of PAPP is leaving behind within the communities a strong base of SHGs based on which the implementation is going to take off. Thus these six villages have a base of close to 60 new and existing SHGs each of

---

[78] Communication from UAS on feedback from villagers, June 2001.

which has a membership of 10-20 people approximating a total of 1,000 people who are organized, most of whom are poor and most of whom are women.

14.3. Multiple Institutional Inputs

The strength of the project lies in a strong team which despite different skills and perspectives were able to facilitate a large scale planning process as a team involving communities and government. Yet there were some lessons that emerged on group dynamics.

Role clarity from the inception is necessary. Here because Kotur was not organized by the NGOs the landed became a strong player in the planning process and consequently this has become a difficult dynamic to undo. Despite various attempts to bring in the poor and women, the landed today remain a focus. This mistake had several positive repercussions. For one the stark lack of participation of the landless and women in Kotur in the initial stages forced the team to meet separately with these groups to bring their perspectives and needs into the planning process. This then resulted in similar meetings being held in all villages which then made the team realize that everywhere though women were involved the plans did not necessarily benefit them in terms of improving their livelihoods. Thus a new process emerged and new goals which has provided a distinct space in the plans for women and the landless.

The strength of the project also lay in having a very facilitative team leader which set the tone right through. However some other UK personnel need to develop the same skills in order to ensure the team has the space to develop their own set of relationships and for their creativity to emerge. This is particularly important when working with well established organizations with strong leadership.

Another major issue that was of concern to the NGOs in particular was the complete lack of development funds for the communities. While there is institutional support for staff there is no funds for the community even to use to leverage other funds. Similarly another issue that emerged was the lack of funds for exposure visits, now seen as an essential part of the project.

14.4. Staging the Planning Process

PAPP process as originally envisioned included stages such as:

- Engagement which included the PRA exercises and rapport building
- Situation analysis
- Presentation of issues and solutions
- Creation of working groups to take these plans further

The actual process took the following shape

- Staff were placed in the villages
- Initial engagement of staff with the community
- PRA and exposure visits
- Situation analysis and presenting of issues

- SHG formation

Ideally exposure visits, PRA and SHG formation should have taken place right at the beginning to build the capacities of the poor and women to plan. This resulted in their being left out initially and additional effort was needed to now try to correct this situation. Furthermore serious capacity building initiatives are needed to expose the poorest to ideas and skills by which they can assess their options before planning. After this the situation analysis, prioritization and presentation of issues and potential solutions can take place. Only once the poor are able to articulate their concerns and solutions and once their communication and negotiation skills have been built does it make sense to bring in the target institutions.

14.5. Target Institutions

In general the involvement of target institutions needs to be a flexible multi dimensional process. This process must first and foremost acknowledge that the Indian state is a complex entity which thus needs not one set of strategies and concepts but multiple strategies at various levels of the state to engage with its institutions.

Target institutions were brought in too early and at too high a level as was seen by the fact that with the exception of Mugad they tended to dominate the discussions. Also even later once their capacity is built, grassroots communities should be engaged with grassroots functionaries of the government in the form of working groups.

At district and state levels it was found that different strategies and therefore structures are needed such as the district steering committee and state resource group. The District Steering Committee's function is to monitor activities, a space for sharing, a peer pressure group among government. It is a platform where all departments converge where the communities can discuss multiple issues that they face and departments too can work together to address these concerns. The state resource group has been conceptualized but is not yet in place but will emerge as the needs from the ground become clearer. Currently the state Watershed Development Department is planning to fund rehabilitation work in some of the PAPP villages and besides this department other linkages which are being envisioned are the Ministry of Science and Technology, Department of Industries and Commerce and the Women and Child Department. Once the needs emerge from below these linkages will be sought and then an informal state resource group will meet to review progress and discuss bottlenecks and possible solutions.

At the district level, there has been a tremendous amount of support from the district administration for the project. There has been a strong turnout of officials from various departments in most of the project events led by the Chief Executive Officer for the district whose commitment to the project has made a major difference. Replication therefore of this process would not be easy without the same level of commitment.

14.6. Overall

PRA here was used as a planning tool which was new for the NGOs who in the past used PRA as an entry point activity and for rapport building. Information from the PRA was used to compare the situation of the community before and after the interventions. Thus

the NGOs learnt here how to help the communities utilize the information from PRA towards defining their own issues, presenting these issues and then for them to engage in participatory action planning.

A second new participatory planning process was the number of iterations the planning cycle took to integrate the perspectives of the most vulnerable populations. This has ensured that all sections were included, its replication would be difficult. Yet NGOs felt that they have understood the process and the next time this may not take so long. The planning phase extended for a period of a year and this resulted in restlessness on the part of government and communities both of whom wanted to see some action. Thus short term development initiatives should have been built into the process.

In going through the various exercises before and during the workshop communities organized by all three organizations said that the process helped the communities identify their problems. *"The villages became empowered to think about their problems and find out solutions for them on their own instead of blaming others for the problems."* [79]

In allowing a planning process by which the village community representatives presented their own problems there was a greater feeling of participation and ownership over the process. For Mugad women being a part of the planning built a strong sense of ownership, *"We feel that since the plan is developed by us, we are ready to implement it."* It also built certain expectations, *"We expect that the implementation of the plan will be facilitated."* For Kotur village representatives, *"If these action plans were implemented it would be more sustainable in years to come without depending too much on the external funding and we would be self-sufficient."* They also felt that these things could happen through their participation.

An important feature of PAPP was the serious attempt of the entire team to build in a clear gender perspective into the process. The lesson learnt here was despite a serious commitment made and efforts to ensure the participation of women, the team realized how difficult it was to actually ensure this. In the process of engendering the action plans, women were interviewed separately, which surfaced two broad, albeit distinct, gender concerns which are essentially the lack of access to and control over income. The first concern related to livelihoods and the fact that women did not own land, livestock or any form of assets. They therefore had no access to credit and hence were caught in a vicious cycle of poverty. Thus increasing women's access to incomes and assets became one focus of the project, because it simultaneously understood by the team that women could not see a way out of this situation of poverty. Discussion after discussion with every single poor women's group revealed that these women had nothing, could not envision a solution and nor could the team.

Today in India, NGOs, banks and government alike face a major barrier of understanding how to address rapidly rising poverty among women, despite the fact that many of them are organized. This is a crucial point in history where old solutions are failing despite a strong demand from poor women for incomes and employment. This issue therefore is not new but often organizations give up with this sector of the population. Equally clear therefore was that if this sector was to be helped, it would be breaking new ground and a

---

[79] Communication from BAIF on feedback from villagers, June 2001.

whole set of new strategies, skills and effort would be needed to actually address their livelihood concerns. Thus the third goal included was that of sourcing alternative livelihoods for women and the landless.

The second broad concern relates to what are seen as women's issues but what was conceptualized in this instance as women having no control over their incomes. These included peri-urban effects such as easy availability of alcohol and greater prevalence therefore of alcoholism, gambling and other habits that resulted in the decrease of family disposable incomes. Men spent income on hotels, theatres and so on, and women had no say over this expenditure. Typically in India, community mobilization means organizing people into self help groups and in general most SHGs (90 percent) consist of women. Thus it was felt that organizing women into sanghas or SHGs would give them the support and confidence to tackle such issues collectively. One woman presented the issue of alcoholism and had to face the consequences of raising this issue. Thus the team had to learn how to integrate women's perspectives without a backlash. BAIF intervened on the issue of alcoholism with a clear spiritual strategy it has used elsewhere and managed to eradicate the sale of alcohol. Through community mobilization women came together to deal with the issue. Thus the fourth goal included in the action plans was to mobilize the community.

14.6.1. Recommendations for the research team

- The most important part of building rapport between an NGO and the community requires the following

    o A staff person live in that village especially to reach the poor and women

    o PRA exercises as a participatory planning tool when complemented by focus groups discussions with separate groups of people, such as men, women, lower castes, landless and the poor.

    o Formation of SHGs among the poorest and most marginalized communities is a necessary first step to build their capacities to plan and to participate, in general.

- Exposure visits are extremely useful as motivational tools, for building trust and establishing organizational credibility and are an essential part of rapport building. Exposure visits help overcome apathetic or fatalistic attitudes and demonstrate to the poorest situations where others like them have helped themselves. It helps demonstrate the self help concept and facilitates peer exchanges of ideas and learning.

- More time and resources is needed to reverse urban attitudes in peri urban areas. In villages that are more peri-urban in character there is a lot of unlearning that needs to take place first (especially of patron client type relationships) and thus mobilization may take far more time than in less peri-urban villages in the initial stages.

- A separate strategy is needed for the most vulnerable groups to improve their livelihoods and standard of living.

    - There needs to be a clear process in place for engaging the poor and women. These include a process for identification of the poor, working with the poor (on their timings and as per their convenience), and mobilizing the poor.

- To engage women there is a need for separate interviews with women at every stage to surface a gender perspective. With very poor women, there needs to be a great deal of capacity building in the initial stages prior to engaging them in planning as they do not know the solutions to their problems.

- For the poorest and most vulnerable groups to help themselves, a minimum period of five years is needed. NGOs should be the ones that identify and work with these groups.

- Eradication of alcoholism and other urban influences is a necessary part of the overall strategy.

- Strategies to empower women are necessary to improve the standard of living of the entire family.

14.6.2. Recommendations for the Involvement of the Target Institutions

- First the definition of issues and linkages with government must be grounded in the community's planning initiatives and in their needs and priorities. Linkages thus forged at the state and district levels must be a direct reflection of the needs voiced by both NGOs and CBOs in their villages.

- Timing of involvement of the government is important in that the community particularly the capacity and skills of women and the poor need to be built to be able to negotiate with the government on their terms.

- Working Group concept needs to be open ended to accommodate different levels of government. Thus it could take the form of a district steering committee or state resource group at higher levels. At the grassroots level a clear strategy for the involvement of grassroots functionaries of the state is still in the process of development and time is needed for this to emerge based on the readiness of the groups to deal with government. Here, the purpose of the working group needs to be defined to also be able to determine its structure and level.

- Government Training: Separate training of government representatives is needed to change their perspectives on participatory holistic planning, to understand their roles as facilitators and to orient them towards the entire process. Government officials need to be trained in participatory methods and in learning how to involve the community in planning, monitoring and implementation. There should also be some provision for gender sensitization for officials.

- Linkages with Government Especially on Livelihoods: A key recommendation therefore includes either ensuring provisions for development activities or finding alternative sources of funds to cover areas not envisaged by the project such as

  - Market intelligence

  - Actual infrastructure repair and construction such as toilets, tank restoration,

  - Income generation activities

  - Technical training and inputs and transfer of technologies