SECURING WATER TO ENHANCE LOCAL LIVELIHOODS (SWELL):

GUIDELINES FOR IMPLEMENTING A WATER AND LIVELIHOODS PLANNING PROCESS

WHiRL

AWARD
**Association for Water
and Rural Development**

care

Acknowledgements

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These guidelines can be downloaded at

www.nri.org/whirl/

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Dear Guidelines File Users…

Why A File?
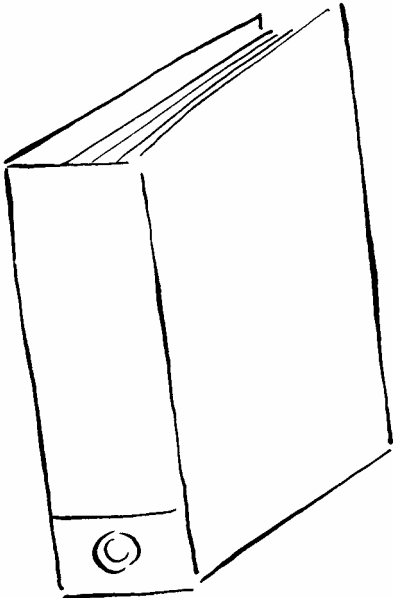
- To make it easier for you to find the section you want!
- The file offers ideas, shares experiences, and gives information. It is not a recipe book that tells you what to do. It aims to stimulate discussion.
- So you can add to it as you work with it:
  - We are developing the methodology further, and may produce new sheets to be added
  - You can add your own notes from your own experience and reflections

What's In The File?

It is designed for easy access to the information and guidance offered. Dividers indicate the main sections, as follows:

A: Before we begin…

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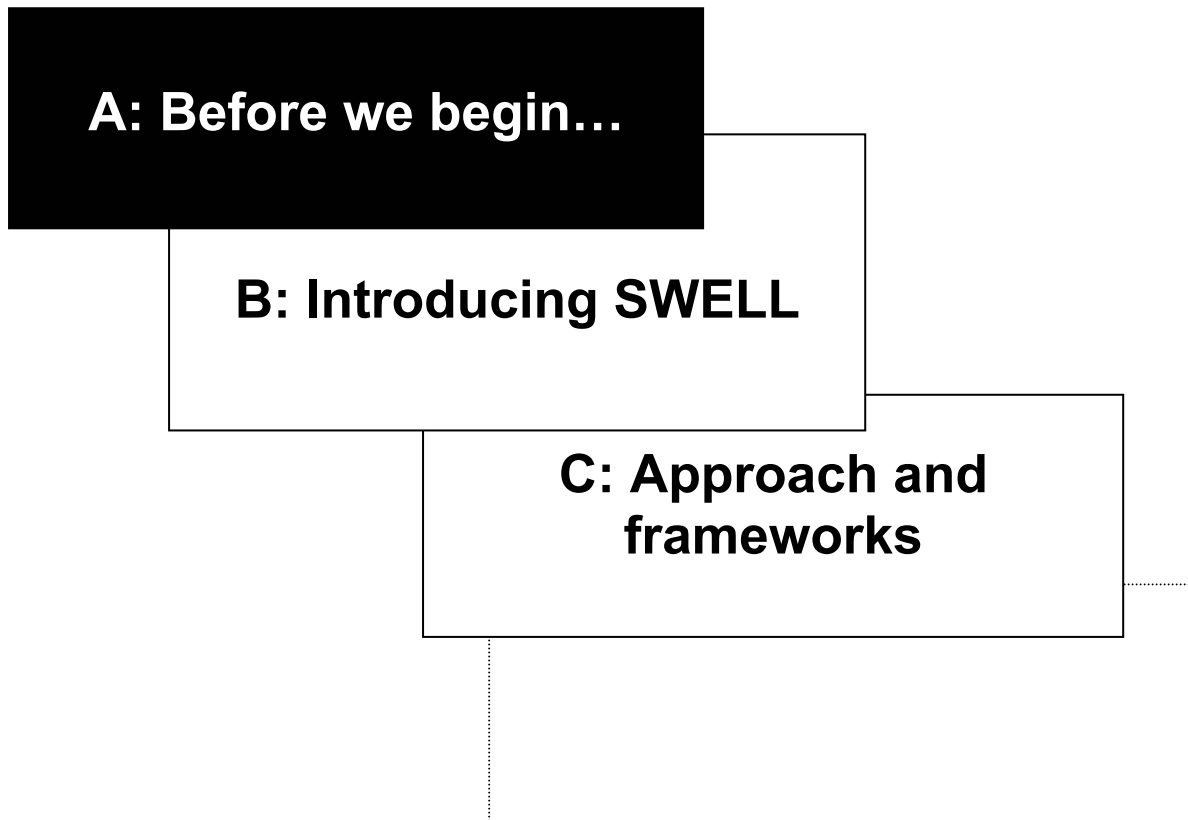
A list of **ABBREVIATIONS** and **DEFINITIONS** of the key concepts used in the File are presented at the front of the File.

The contents are based on the experience of implementing a pilot process in Bushbuckridge area, Bohlabela District, Limpopo province, South Africa, in 2003.

How To Use The File

- Go straight to the section that grabs your interest
- Refer to other sections as you get more interested
- Read through the methodology and tools sections for ideas and guidance when preparing a process with villagers or stakeholders
- Refer to the references and resources section if you want to dig deeper
- Add to the file as you come across more useful ideas and case studies
- Make the file work for you!

Who Is The File For?

This file is designed for use by water sector and rural development practitioners:

- Middle level officers of relevant government departments
- NGO project managers
- Researchers
- Experienced grassroots community development workers

The file producers assume that the reader/user is involved in some way with people, planning, development and water, or some mix of these.

We hope this file will stimulate ideas, discussion, action, reflection and sharing around water and livelihoods in rural villages.

Best wishes for enjoyable and successful work from the SWELL Team!

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Water, Households and Rural Livelihoods (WHiRL) project
You can find out more information about the WHiRL project and download this document at:
www.nri.org/whirl

ABBREVIATIONS
(Glossary of Acronyms)

AWARD	Association for Water And Rural Development
DFID	Department for International Development (United Kingdom)
DM	District Municipality
DWAF	Department of Water Affairs and Forestry
HLSA	Household Livelihoods Security Assessment
IDP	Integrated Development Plan
IRC	IRC International Water & Sanitation Centre (Netherlands)
IWRM	Integrated Water Resources Management
LM	Local Municipality
NRI	Natural Resources Institute (United Kingdom)
OD	Organisational Development
PAR	Participatory Action Research
PRA	Participatory Rapid Appraisal
SWELL	Securing Water to Enhance Local Livelihoods
UNDP	United Nations Development Programme
VWSC	Village Water & Sanitation Committee
WaLPP	Water and Livelihoods Planning Process
WHiRL	Water, Households and Rural Livelihoods Project
WSDP	Water Services Development Plan

TERMINOLOGY AND DEFINITIONS

ACCESS Getting the rights different people have to available resources.

ACTION RESEARCH and an **ACTION RESEARCH TEAM:** There are often strong negative experiences and perceptions about "research". In WaLPP, these terms are used because the process is based on both action and learning, with each informing the other.

ASSETS Resources for getting a livelihood. These include material and social assets. Some livelihoods frameworks divide assets more specifically, for example DFID normally identifies 5 kinds of assets, namely social, human, natural, physical, and financial.

CAPABILITIES The combined knowledge, skills, state of health and ability to work or use the labour of a household.

COMMUNITY The people of an area considered together or collectively. In rural situations this often means the people of a village, but it can be used to refer to the people of any area. (In the context of WaLPP, the term village is preferred when referring to the specific geographic and governance entity of the village, because it is clearer.)

COMMUNITY DEVELOPMENT FORUM A village structure elected by the villagers with responsibility to co-ordinate village development activities and processes and represent the village's development interests with external stakeholders.

COPING STRATEGIES Temporary adjustments to respond to change, or a short-term modification of livelihood activities to deal with a shock or stress

CORE TEAM These are the partners who lead and undertake planning, implementation and reflection. They have different and some converging interests, and take up different responsibilities.

DIFFERENTIATE Explore the differences between things, for example, between households

DISTRICT A geographically defined area that elects its own councillors. A statutory geographic and governance entity defined in relevant legislation (Municipal Demarcation, Structures and Systems Acts).

DYNAMIC Characterised by constant change; having energy and new ideas. The situation and people's needs and priorities are always changing in small or bigger ways, for example if there are big shocks like floods, or stresses like a drought.

DYNAMICS The forces which stimulate change or development within a system or process.

EMPOWER To give power, confidence, or authority to individuals or to a group of people. For example, people need be have knowledge of their rights and be able to exercise their rights and apply their capabilities.

FRAMEWORKS An essential underlying or supporting structure.

GENDER Socially constructed roles for males and females (as opposed to sex, which specifies the biological distinction between males and females). The roles are learnt, and change over time.

HOUSEHOLD A dwelling and its occupants regarded as a social unit. People who eat together, share resources and live under the same roof.

INSTITUTIONS Functioning social systems. These may be underpinned by government and law or by local culture and tradition.

INTEGRATED (or multi-sectoral) Bringing parts together into a whole or a system. For example, social (health, welfare, education, social security), economic (agriculture, tourism, forestry, commerce, industry), and environment (waste management, natural resources management, conservation) dimensions of development must go hand in hand.

LIVELIHOOD How people survive; their means of securing the necessities of life. "A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living." (Carney, D., 1999)

MATRIX (PLURAL: MATRICES) A grid of horizontal lines and vertical columns used to analyse or show relationships between elements of something.

METHODOLOGY A system of methods used in a particular field. Wallop, the water and Livelihoods planning process, is an example of a methodology.

MULTI-LEVELLED Processes or structures operating or found at different geographic or institutional or social levels. For example, development process like planning and implementation must nest within each other, from village, ward, local municipality, district municipality, province to national levels, and beyond where overseas donors or companies are involved.

MULTIPLE SOURCES Using many different sources of water. Sometimes a machine that pumps water from a borehole breaks down. It is useful to have a back-up source, like a rainwater tank.

MUNICIPALITY A district or area that has its own local government.

PEOPLE CENTRED The most important people are those who live in rural villages whose lives should benefit most from implementing Wallop.

PARTICIPATION By participation we mean actively working with the facilitators of the process in setting the agenda, in giving and collecting information, in analysing this and developing plans. In WaLPP the participation of villagers and other stakeholders and roleplayers is essential.

PARTICIPATORY PLANNING A development approach and processes that provide opportunities and support for people to feed into the planning of how collective resources will be used for development. It is normally linked to a system of decentralisation, bringing development and governance processes closer to people in local areas.

PARTICPATORY RURAL APPRAISAL (PRA) An approach to planning that values listening, participatory methods that empower, and co-learning and analysis

PARTNERSHIPS An association of two or more people or structures. People working together across organisational or institutional boundaries, based on some shared interests.

PRODUCTIVE USE Activities that involve producing money income or goods for consumption. Use of resources for improving livelihoods or economic situation or getting a financial return. For example, using water for cultivation, livestock, beer brewing, brick making, or catering services.

RESILIENCE Being able to withstand or recover from negative influences. The extent to which a household, group or individual is able to successfully use its assets, capabilities and activities to avoid the potentially negative influences of the external environment, or disruption within the household.

SEASONALITY Things that are related to the seasons.

SHOCKS Sudden, unexpected events that undermine household livelihoods. For example, a flood, or death of a household breadwinner, or retrenchment from work of a household breadwinner.

SOCIAL ASSETS Intangible benefits (as opposed to material assets) that come through relationships with people and institutions and access to resources that are determined by local social group rules.

STAKEHOLDERS External organisations with either responsibilities or interests in the development of the village. These can be government or non-government.

STRESSES Long-term, ongoing difficulties that constrain households and individuals as they undertake livelihood activities. For example, long-term food insecurity and limited access to essential services like water and health, or the

degrading of the natural environment that people use to get household needs, e.g. firewood for cooking.

SUSTAINABLE Changes resulting from development activities that can be sustained into the medium and long term future.

SUSTAINABLE LIVELIHOODS   A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable if it can cope with and recover from stress and shocks, maintain and enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generations.

TOOLS Activities done with people, most often in groups (but including with individuals, as in key informant or household interviews), to achieve developmental purposes quickly and in an empowering way. Examples of developmental purposes are collecting information, learning about a situation, generating ideas for solutions, understanding how systems work, analysing information, or planning.

VILLAGE (VILLAGERS) A rural settlement that is a defined spatial or geographic and governance entity. (We decided to use these terms rather than 'community', which is a less specific term, and can lead to loss of clarity of meaning.)

VILLAGE STRUCTURES Organisational structures in a village, like committees, forum, community based organisations, farmers associations, burial societies, and religious groups. These can either emerge from internal or local initiatives, or as part of externally initiated institutional arrangements.

VULNERABILITY A situation of lack of defences or means to deal with shocks or stresses.

WARD A geographically defined and administrative unit within a local government area or municipality.

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Introducing SWELL

Why A Water And Livelihoods Planning Process?

SWELL is about *better participatory planning to use water to reduce poverty and to increase water security for households and villages.*
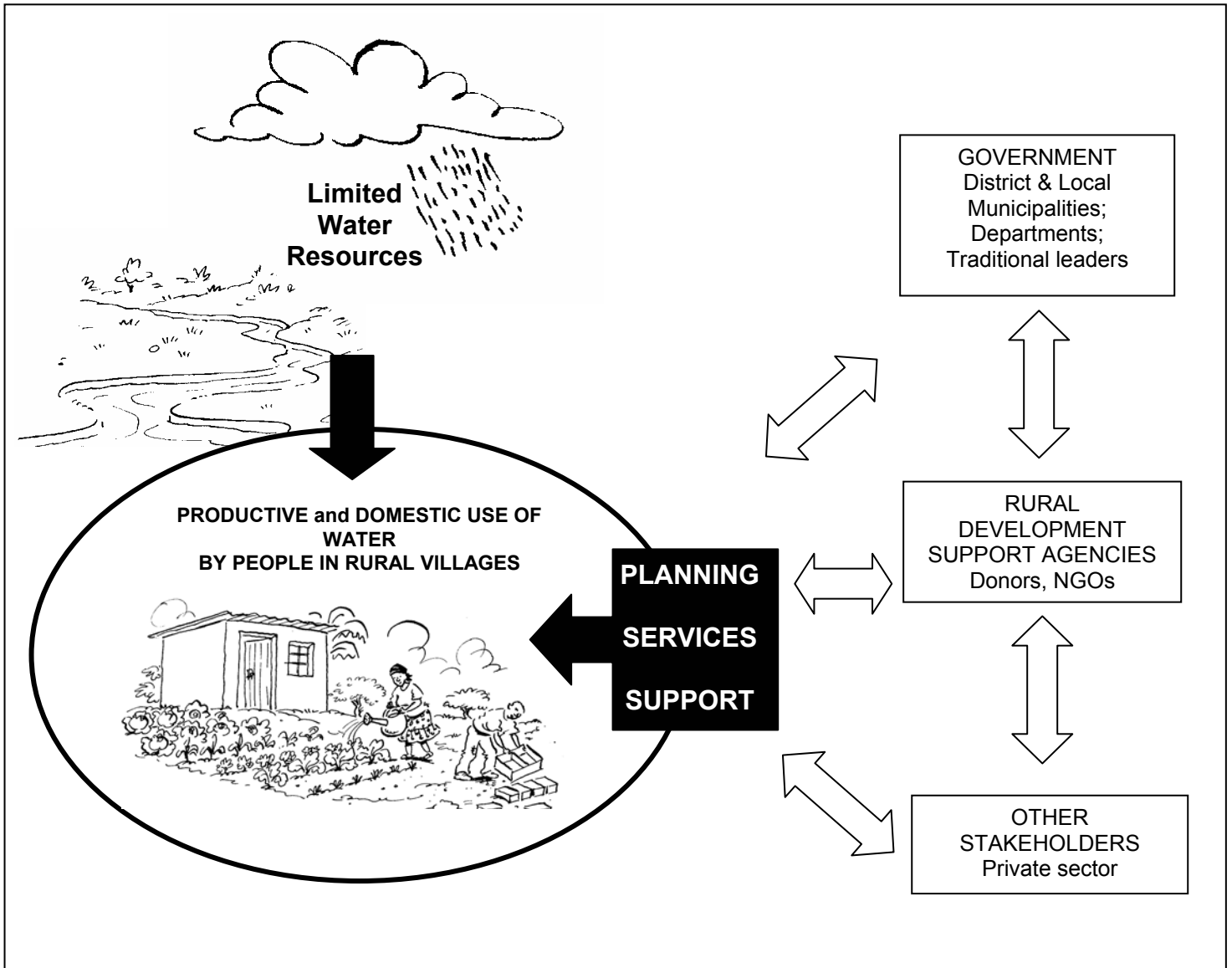
SWELL involves rural village people in planning and getting water for productive and domestic uses through engaging with government and other support

The SWELL team is seeking, in this project, to develop a way to work with villagers that will enable them to:

- Think about and plan for water more broadly than for basic domestic needs only, but also for how they use water, or could use it, to improve their livelihoods – e.g. for growing food to eat or sell, or to undertake small business enterprises that require water (*multiple uses)*
- Think about the past, current and potential future sources they can get water from (*multiple sources)*
- Assess what sources are good for what uses, the pros and cons of various sources, and how they may want to and can develop or improve these
- Think about their water security, as households and as a village, and how they can best secure their water over time, through the dry and wet times *("some water, for everyone, for ever")*
- Introduce villagers to the technologies and financial opportunities available to them, and explain (within the livelihoods context) the options that exist for them
- Bring together needs, abilities, and resources (including water) in a commonly agreed and realistic planning process, based on a shared future vision. At least some of the planning process should be for immediate, concrete, short-term actions
- Promote the interests and needs of the poorer and more vulnerable people in the village in relation to water and livelihood security.

"Our **vision** and hope is that in future planning does happen in a more holistic, participatory way within the village, and with other agencies, and this aspect of the SWELL methodology is critical to us- to learn what the blockages and enabling factors to achieving this are in practice."

AWARD Director, Tessa Cousins

SWELL Aim - Reducing rural poverty

The aim of SWELL is to help alleviate rural poverty by developing, in partnership with a selected community and water sector roleplayers, a methodology which enables improved allocation and use of **water resources** for **water-using livelihoods**.

We believe that by better matching different water supplies to people's differing needs, specifically those relating to livelihood strategies, and planning, implementing and monitoring accordingly, we can significantly improve levels of wellbeing within local communities, both in Bushbuckridge and further afield.

SWELL Objective - Developing a practical tool to better secure water supplies to meet livelihoods based needs

The objective is to develop a methodology, which allows for the flexible identification of and planning for **multiple water sources** for **multiple uses** within **a workable planning, implementation and monitoring framework**.

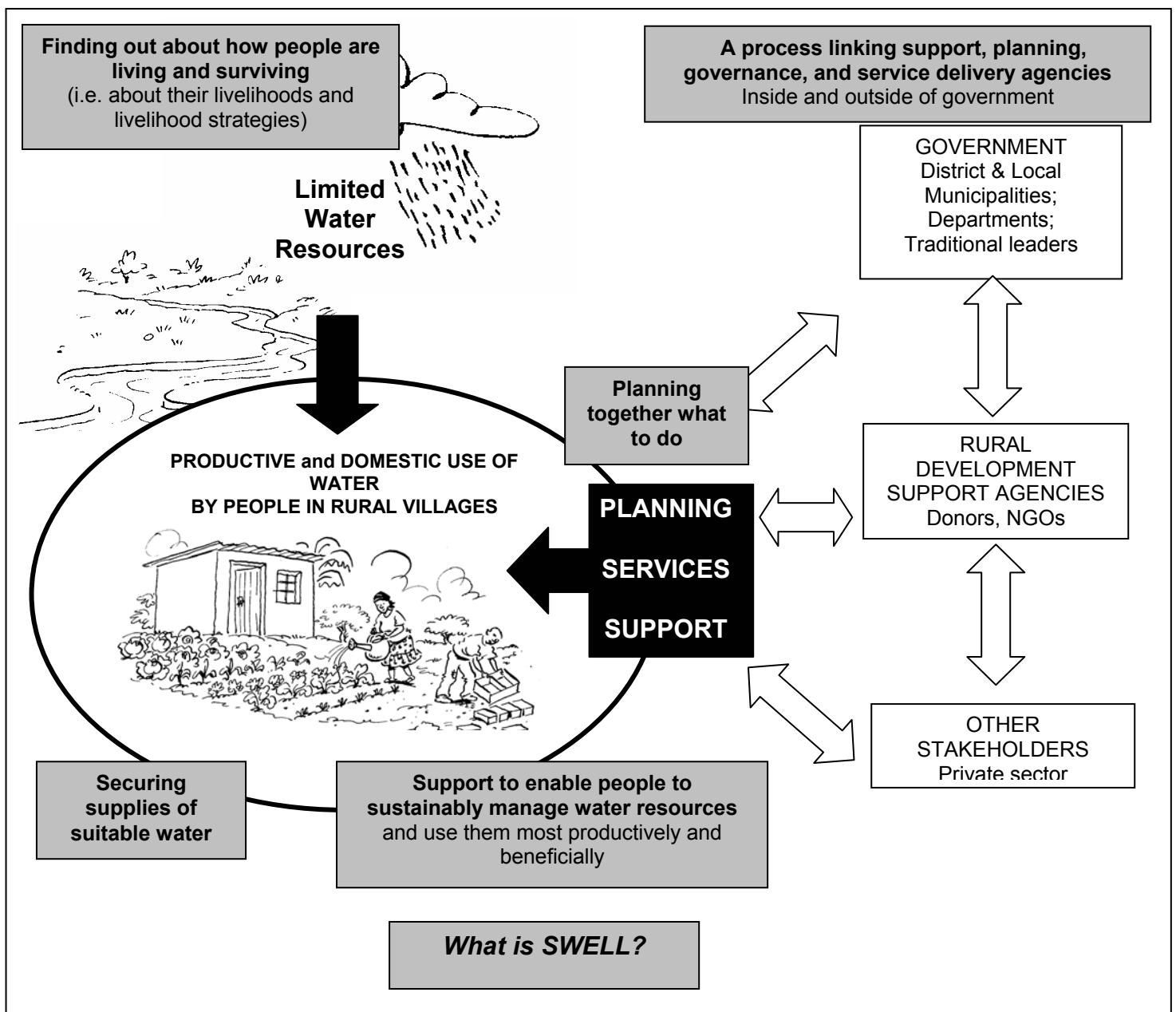In more detail, SWELL is needed to address:

- **Limited water resources**: Water for rural users comes from surface water (rivers, dams, streams, springs), rainwater, and groundwater (water from underground sources brought to the surface through boreholes). These resources are limited and there are increasing demands on them because of more people, animals, and agricultural, forestry, industry and tourism use.

- **People's current situation and basic needs**: Poverty is crushing people's lives in both urban and rural households and communities in South Africa, in other African countries, and in other less developed countries. 89% of Limpopo Province is rural and underdeveloped. The rate of unemployment in the province is above the national average - 46% as compared with 33.9%. Approximately 41% of employed people earn R500 per month or less. Limpopo Province has the highest number of households using wood for cooking and has the lowest percentage of households with a tap outside the dwelling. People experience many difficulties and much work, time and expense to get limited amounts of water to points of use.

- **Policy and rights:** The South African Constitution section 27 (1) (b) states "Everyone has the right to have access to sufficient food and water". The Water Act (Act 36 of 1998) states how water resources (surface and groundwater) must be protected, used, developed, conserved, managed and controlled. The National Water Resource Strategy of 2002 says how South Africa will try to achieve integrated water resource management. The Water Services Act (Act 108 of 1997) states how municipalities have responsibility for providing water supply and sanitation services. Each municipality must have a Water Service Development Plan. There is a 'free basic water provision' policy, that everyone should get 25 litres of water per day. The amount is up to the local municipality. In some areas they may provide more, in other areas only a smaller amount may be possible. Each Water Services Authority must set its own free basic water policy and method of implementation.

- **Integrating water and livelihoods**: The existing water policies are concerned with water for domestic needs, for drinking, cooking, washing and hygiene. Water is also needed, especially by poorer households, for many productive purposes, like food gardening, animals, catering services, brick making, beer brewing, car washes, and health services including traditional healers.

- **Integrating planning**: The Municipal Systems Act (Act 32 of 2000) requires that each district and local municipality must establish an Integrated Development Plan (IDP) for every 5-year period, and must update this annually. The Water Sector Development Plan must form part of the infrastructure development component of the IDP. The infrastructure plan must align with the economic, social, environmental and institutional development parts of the IDP.

- **Integrating enabling and support agencies**: Often government agencies, NGOs, private sector, and community structures plan and implement without linking effectively. There are many overlaps or big gaps. NGOs have implemented water schemes in villages without informing or linking with DWAF or the Department of Agriculture. Engagement and partnership processes are needed to ensure that planning and implementation by all support agencies fits together, without overlaps or big gaps. The Water Sector Development Plan can provide a planning framework to support this, but each agency must engage with the others to make this happen.

- **Linking enabling and support agencies**: With community based structures. The Bohlabela District municipality requires that each village establish a Community Development Forum (CDF). The CDF has representation on the Ward Committee, which is required in terms of the Municipal Systems Act. The Water Services Act requires that each village elect a Village Water and Sanitation Committee. The Local Councillor, municipalities and all support agencies and outside stakeholders must link with these village level structures.

What is SWELL?

In brief:

- SWELL is an initiative to develop a good way of supporting rural people in villages to get water for use in productive activities that can improve their livelihoods. That is, for uses beyond domestic drinking, cooking, washing and hygiene needs.

- People in a focus village or area develop, in partnership with water roleplayers and stakeholders, a greater and shared understanding of the ways in which village water resources might be better allocated and their productive use sustainably enhanced

Finding out about how people are living and surviving
(i.e. about their livelihoods and livelihood strategies)

A process linking support, planning, governance, and service delivery agencies
Inside and outside of government

GOVERNMENT
District & Local Municipalities;
Departments;
Traditional leaders

Limited Water Resources

PRODUCTIVE and DOMESTIC USE OF WATER
BY PEOPLE IN RURAL VILLAGES

Planning together what to do

PLANNING

SERVICES

SUPPORT

RURAL DEVELOPMENT SUPPORT AGENCIES
Donors, NGOs

OTHER STAKEHOLDERS
Private sector

Securing supplies of suitable water

Support to enable people to sustainably manage water resources
and use them most productively and beneficially

What is SWELL?

Origins, Design and Implementation

- A partnership of NGOs came together early in 2003 and developed the concept and outline design for a project called WaLPP which later became SWELL.
- The SWELL methodology has been piloted at a village level in Bohlabela District in 2003. The next phase will pilot SWELL at a ward level.

SWELL grew out of previous research by Award and WHiRL in 2001 to 2002 into aspects of integrated water resources management in the Sand River catchment. This showed the importance of water, for both health and hygiene and for poverty-focused water-using livelihoods.

Some milestones in thinking on water and livelihoods
An increasing number of meetings and workshops since the late -1990s have developed thinking on relationships between water and livelihoods. Some of these included:

- *The 'water and livelihoods' workshop in Harare in 1997 organised by Save-the-Children (Nicol, 1998)*
- *DfID water and livelihoods seminar in 2001 (reported in Waterlines special issue)*
- *A workshop on 'livelihoods, water resources and WATSAN' at the 27th WEDC Conference, in Lusaka in 2001 (Moriarty, 2001)*
- *The 'Water and Livelihoods: the linkages between access and livelihood outcomes' seminar in 2002 organised by DfID in London (Allen & Sattaur, 2002)*
- *An international symposium held in Johannesburg in 2003 on 'water, poverty and productive uses of water at the household level' (Moriarty et al., 2003)*

(based on Moriarty, P. (Dr.) (IRC), Butterworth, J. Dr., (NRI), 2003, page 11)

Further stimulation came form a symposium on water for productive uses and livelihoods held in South Africa in January 2003. The participants produced a 'Symposium Statement on Poverty, Water, and Productive Uses at the household level'.

The initiating WaLPP (later SWELL) team met in February 2003 to conceptualise and develop the outline design for the project. Here is an extract from the record of that meeting:

Approach and methodology: Action research
*During the six months or so of the project, we will develop, by doing it, a methodology that guides villagers and external agencies through the process of developing practical and achievable implementation plans. We will focus on developing a framework that allows the flexible identification and planning of **multiple sources to meet multiple uses**. In doing so we will keep in mind the need to think about scaling up our approach. In practice this will mean meticulous documentation of the costs of each stage of the process, as well as the involvement of key stakeholders, and making sure that what we do in our pilot village falls within wider South African policy and legislative frameworks. We want our tool to be widely used and will attempt to work to ensure that the best of both NGO (people and process focussed) and Government/Private sector (implementation at scale) approaches are used – and that the methodology is appropriate for both user groups. However we are aware that there may be a need to advocate the need for process and empowerment to be given the necessary weight. Our guiding principle will be practicality: we want to develop a tool that other people use and want to use."*
From 'WaLPP is born' founding document: February 2003

AWARD staff engaged with and consulted villagers and stakeholder in the next two to three months.

The village of Utah in Ward 16 of Bushbuckridge Local Municipality, Bohlabela District, was selected for the first testing of the SWELL methodology, for the following reasons:

- Utah had successfully developed ways of maintaining a local water supply system, including local contributions by villagers
- AWARD had developed relationships with village structures and with village and local leaders.
- Utah is remote and many of its people are struggling with poverty.

The preparation phase culminated in a Stakeholder Meeting in May 2003.

The table below shows the phases as they were implemented in the pilot WaLPP implemented in Utah village (appendix 2 provides a detailed record of these processes).

OVERVIEW OF WaLPP PROCESS

PHASE	WHAT	WHY
1. Preparation	-Identify the village to work in -Consolidate previous research - history, water (re)sources and livelihoods -Plan the process -Get external stakeholders and the community on board	-To develop a new methodology to share in S.A and worldwide

2. Assessment
 	
(4.5 days' training, 4.5 days' assessment)
	-Training the field team in HLSA – (Award, field staff of Depts of Water and Agriculture, local government representative, Tsogang)
	  - Understand concepts around livelihoods and water for productive us, and the linkages between them
	  - Getting tools to use in assessing
	-Carry out the assessment in the participating community
	-Document and carry out initial analysis of information gathered
		-Understand the particular village's water and livelihood situation
		-Explore the link to see how water can contribute to improved sustainable livelihoods
		-Share and validate the information and analysis with the villagers and external stakeholders

3. Village Synthesis (2 days)	-Present findings of the assessment to villagers - Villagers identify factors that threaten or potentially improve the community's local water and livelihoods situation - Villagers develop a visualised envisioned future water and livelihoods situation - Villagers prepare a presentation to stakeholders synthesis meeting.	-Enable villagers to engage water sector roleplayers empowered with their own evidence and analysis
4. Stakeholders' synthesis (5 days)	- Stakeholders analyse the assessment information - Villagers present their assessment findings and analysis - Stakeholders identify where they can contribute best, and how they can best relate to each other - Stakeholders decide and make commitments on the next steps	-Empower village in relationship with water sector roleplayers -Enable informed decisions based on participatory (community and stakeholder) assessment -Establish an agreed implementation, monitoring and communication framework

In the Stakeholder Synthesis workshop, stakeholders agreed that:

- The SWELL methodology should be developed further and applied elsewhere
- AWARD should co-ordinate and facilitate further stakeholder interactions
- AWARD should consider developing and implementing SWELL at a *ward level*, that is where a number of villages are combined in one small local governance unit.

AWARD has accepted and committed itself to the coordination role, and is pursuing the process of developing WaLPP at the ward level.

AWARD is monitoring the inputs required to implement SWELL.

SWELL Core Partners

Association for Water and Rural Development (AWARD): AWARD has 10 years experience of implementing rural water supply and conservation programmes in the region. They are currently in a process of change, moving away from a role as implementer towards one of facilitator and researcher (both policy and practical). AWARD brings its knowledge of the communities in the Sand River Catchment, and strong relationships with structures at all levels. It also brings the goodwill of communities who have over the years become partners. AWARD hopes that SWELL will provide a practical methodology to improve its own work, by making it more focussed, integrated and sustainable, and promote use of the lessons and methodology in South Africa and elsewhere.

Care SA-Lesotho: Care SA-Lesotho are involved in organisational development (OD) and the implementation of their own Household Livelihoods Security Assessment (that they have recently finished working with Mvula in the Eastern Cape).   They were interested in supporting AWARD as part of their mission to develop capacity in local NGOs, but were also interested in taking part in developing a specifically water focused livelihoods based tool. Through its global and local network Care will be able to support the wide dissemination of the methodology.

IRC International Water and Sanitation Centre: IRC's mission is to ensure that poor men and women in developing countries have access to affordable water and sanitation. It addresses this mission principally through facilitating the flow of knowledge and information through its own work and that of its network of partners. It also undertakes research and advocacy to develop and encourage the use of new knowledge and information to fill gaps. The productive use of household water is one such area. An outline methodology for water and livelihoods has been developed and published as a Thematic Overview Paper. This methodology together with the HLSA formed the basis

of SWELL. IRC will ensure the dissemination of the methodology outside South Africa.

Water, Households and Rural Livelihoods (WHiRL) project: The WHiRL project involved AWARD, IRC, NRI and other partners. It was funded by DFiD and supported much of the previous work that underpins the development of SWELL. The project ended in March 2004 and the SWELL methodology is a key output.

Natural Resources Institute (NRI): NRI is a specialised institute at the University of Greenwich in the United Kingdom. NRIs mission is to provide distinctive, high quality and relevant research, consultancy, training and advice in support of sustainable development, economic growth and poverty reduction. Sustainable water management is one focus area of the Livelihoods and Institutions Group at the institute. NRI coordinated the WHiRL project.

C: Approach and frameworks

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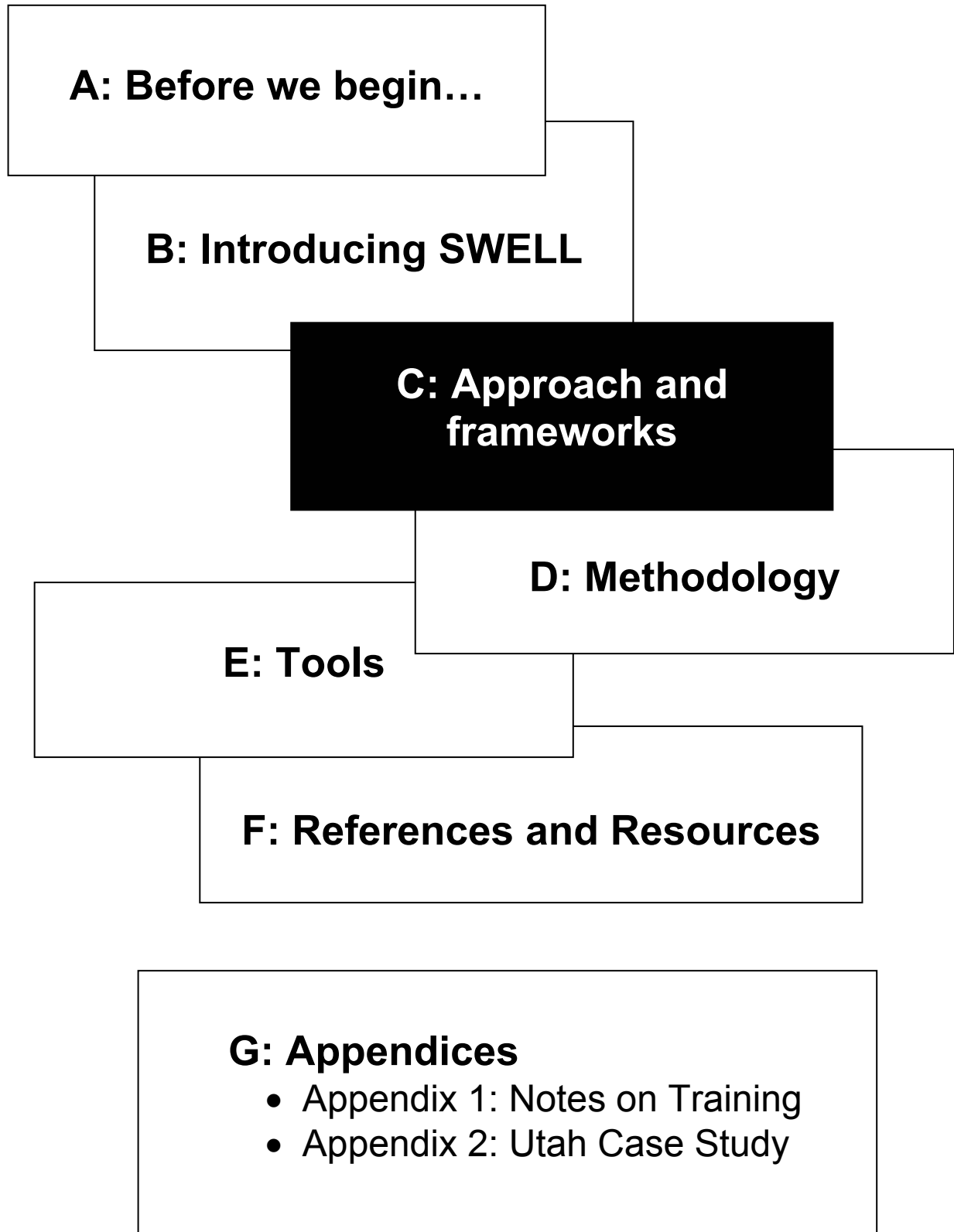
Approach and frameworks

In developing the SWELL **approach**, the SWELL team drew on many existing approaches and frameworks. There was also recognition that the SWELL approach is a departure from the usual village water supply planning, which has tended to assume a piped supply to meet basic domestic needs for the entire village. In practice experience has shown that piped supplies can be unreliable as they require operation and maintenance by an institution outside of the village, and in these days of transitional institutional arrangements and responsibilities, these are frequently not functioning well. Moreover poorer sections of villages are often left without water. Unplanned connections from pipes frequently favour some households at the expense of others.

Despite the realities, there is a strong expectation that free piped water is a right that should come to people, which, while it may be valid in terms of our policies, has negative impacts. It does not engender village level creative thinking and action around water, or the understanding that water is a scarce resource that needs to be, and can be, sourced and managed in multiple ways for multiple purposes.

The SWELL team engaged in the process with **some tools and assumptions**:

- That working with an understanding of livelihoods and vulnerabilities is helpful as it enables support agency staff and villagers to think about the multiple uses of water, and to articulate and so be able to work with the multiple factors that impact on people's choices and strategies
- That visual (PRA-type) tools are powerful in enabling collective information gathering, articulation of complex realities, analysis of these, and planning
- That these tools enable different interests, with different amounts of power, in the village, to be articulated and not marginalised
- That these tools enable "outsiders" to hear peoples' complex realities, and to plan with these in mind, and also to plan with villagers
- Because realising the village vision will require support from outside agencies, and because coordinated, integrated interventions are important, it is good to involve those agencies in facilitating the village processes
- AWARD and other stakeholders will work out the best ways of working with villagers and with each other to implement what is planned and carry forward the process around water and livelihoods.

This section gives an outline of the most important frameworks or approaches that the SWELL methodology has drawn on. To avoid confusion with the SWELL approach, they are here referred to as **frameworks**. Different frameworks have different strengths. For example, use of visual PRA techniques can help more vulnerable villagers participate meaningfully. The sustainable livelihoods frameworks includes an analytical framework, which

helps all involved to understand the different factors that threaten or improve people's livelihoods at the household level.

In the SWELL context:
APPROACH = *Principles & Values + Frameworks + Methodology + Tools*

Principles and Values + Frameworks

Methodology + Tools
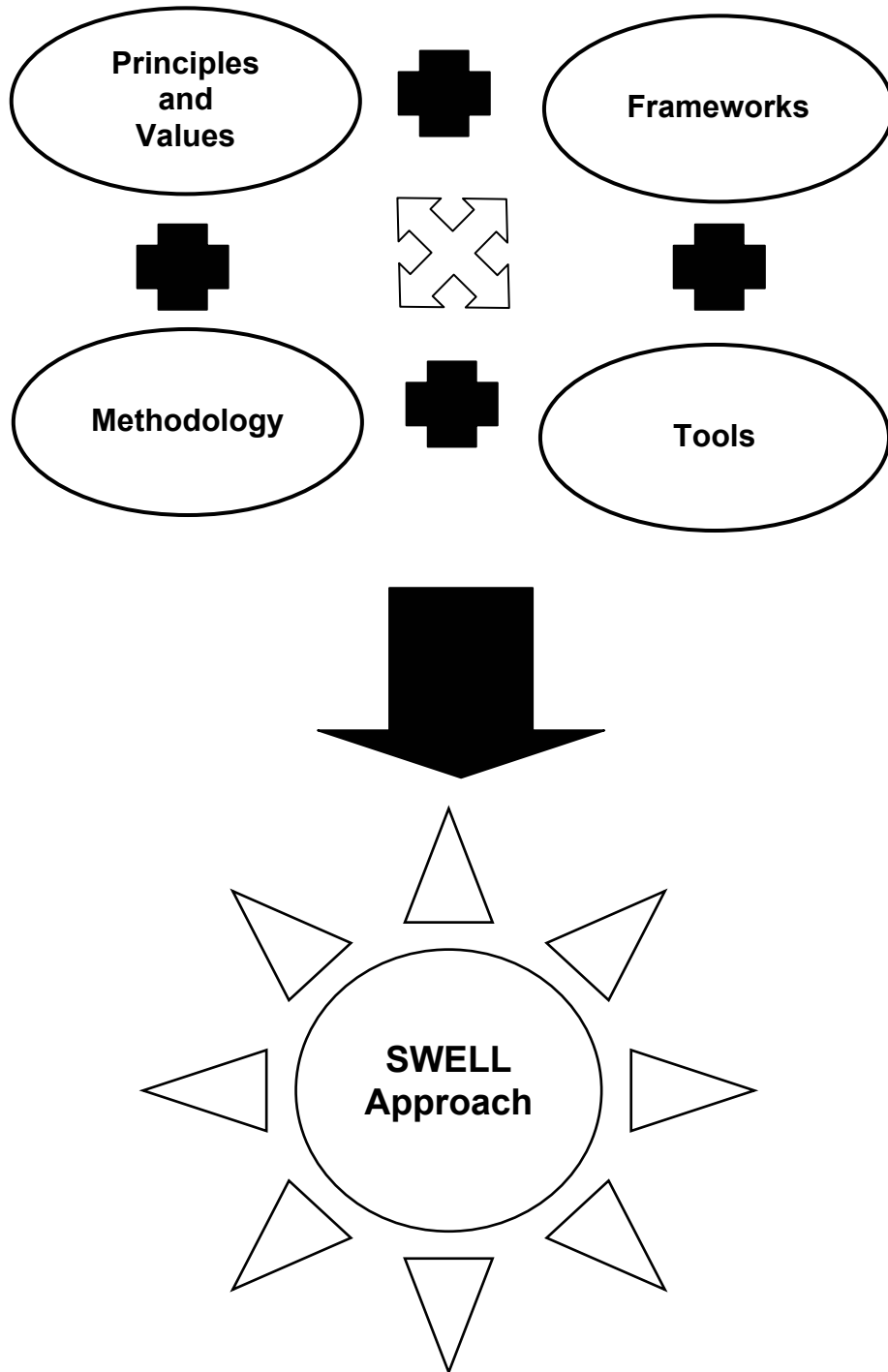
SWELL Approach

The values, principles, frameworks, methodology, and tools are all essential parts of the approach.

Principles and Values

The ***PRINCIPLES AND VALUES*** that guide SWELL implementers are:

- **People centred**: The most important people are those who live in rural villages whose lives should benefit most from implementing SWELL
- **Participation**: Villagers need to be actively engaged in SWELL, so they can have direct influence on what is planned and done. Other stakeholders and role players in water and development work also need to be involved
- **Empowering**: People need to have knowledge of their rights and be able to exercise their rights and apply their capabilities.
- **Gender and equity:** The impacts of interventions on vulnerable groups such as women and children from poorer households, women headed households, widows, and other marginalised individuals and households are seen as important and are explored and engaged with
- **Integrated or multi-sectoral**: Social (health, welfare, education, social security), economic (agriculture, tourism, forestry, commerce, industry), and environment (waste management, natural resources management, conservation) dimensions of development must go hand in hand
- **Multi-levelled**: Development process like planning and implementation must nest within each other, from village, ward, local municipality, district municipality, province to national levels, and beyond where overseas donors or companies are involved
- **Partnerships**: People working together across organisational or institutional boundaries
- **Dynamic**: The situation and people's needs and priorities are always changing in small or bigger ways, for example if there are big shocks like floods, or stresses like a drought
- **Sustainable**: The process needs to increase likelihood of social, economic and environmental benefits that can be sustained into the medium and long term future
- **Multiple Sources**: Using many different sources of water. Sometimes a machine that pumps water from a borehole breaks down. It is useful to have a back-up source, like a rainwater tank

Frameworks

The **FRAMEWORKS** that SWELL uses are:

1. Participatory Action Research
2. Sustainable Livelihoods Approach
3. Water for Productive uses
4. Participatory Planning
5. Rights-Based Approach
6. Participatory Rural Appraisal

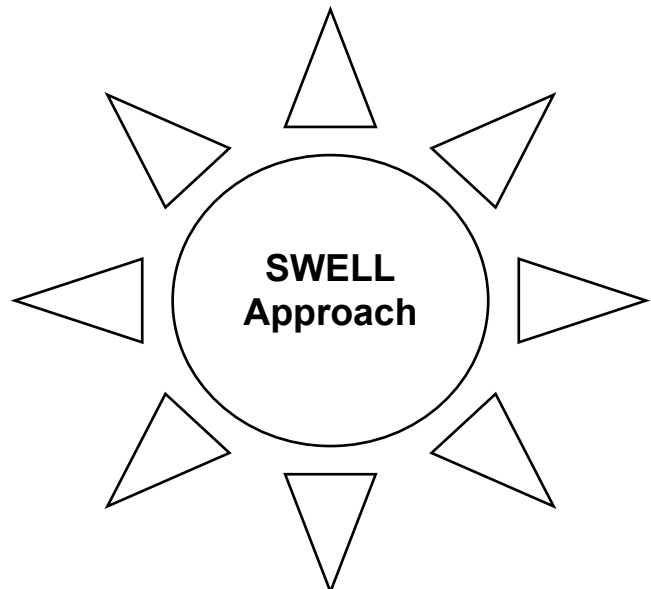Each of these frameworks is discussed in more detail, in this section below.

Methodology

Tools

METHODOLOGY and **TOOLS** are discussed in sections D and E.

Thus a full description of the **SWELL APPROACH** is contained in sections C, D and E.

SWELL Approach

Framework 1: Participatory Action Research

In Participatory Action Research, stakeholders and villagers are involved in the processes outlined below:

The cycle of Participatory Action Research
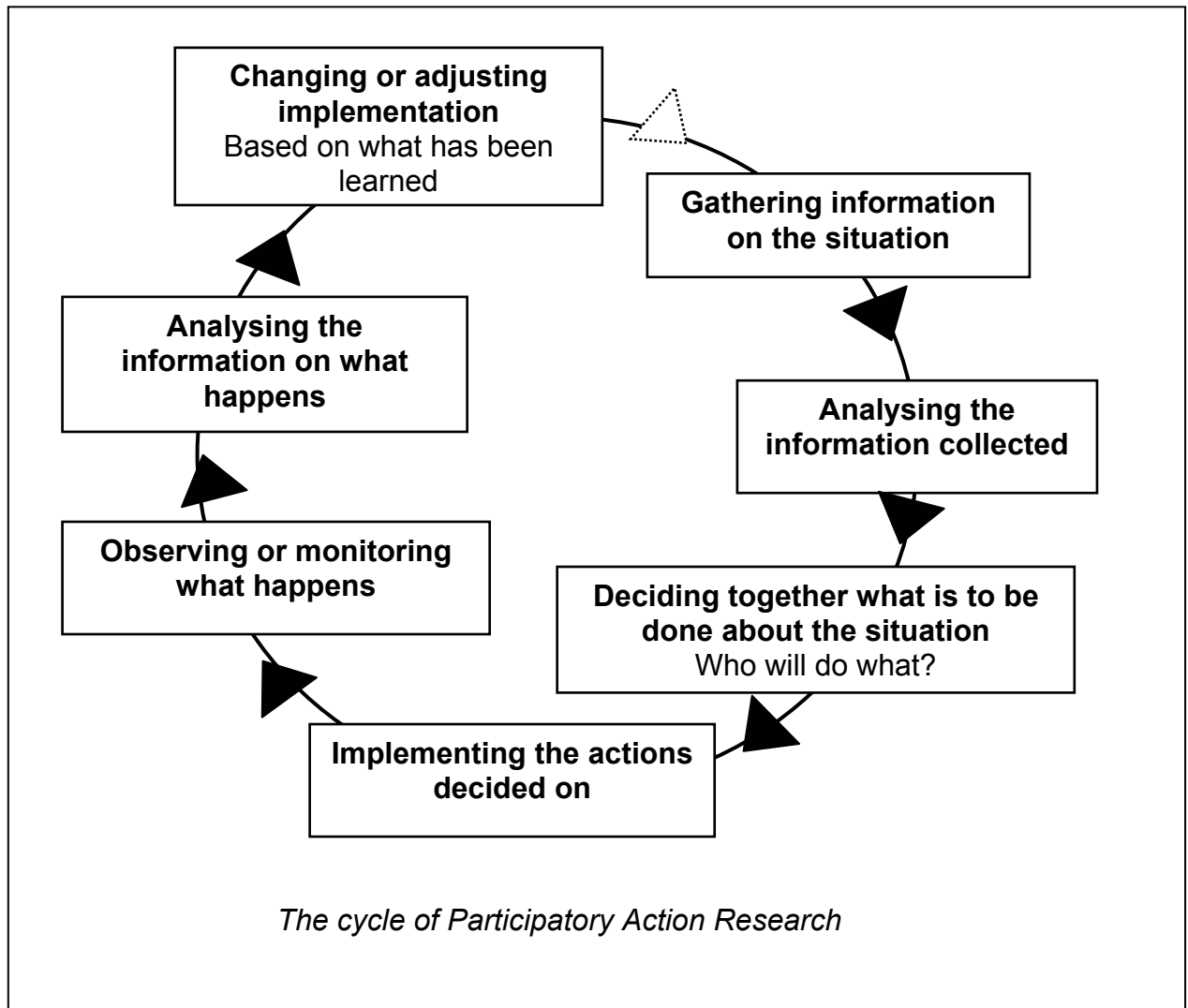
This is different from academic or normal scientific research because:

- People are involved in collecting the information, in deciding what is to be done, in some implementation activities, and in monitoring what happens
- Action and knowledge creation are directly linked
- The process is interactive, not extractive: new information is brought to the surface and shared

Participatory Action Research is different from Participatory Rural Appraisal (PRA) in that:
- Participatory Action Research implies a process, which continues over a period of weeks, months or years, so that changes can be monitored, and impact of interventions assessed

- Participatory Action Research normally tries to measure change by contrasting what happens in one or more communities where an intervention has been implemented with one or more 'control' communities where the intervention has not been implemented

PRA normally refers to a particular process or set of processes that is done over a number of days (See Framework 5 below).

Framework 2: Sustainable Livelihoods Approach

Livelihoods approaches have emerged, along with other participatory and people centred concepts, as a key element of development thinking over the last ten years. From DFID's Sustainable Livelihoods Framework, to CARE's Household Livelihood Security or UNDP's sustainable human development, they are seen, by a range of agencies, as a practical tool for implementing pro-poor and poverty focussed development.

> ***What is a Livelihood?***
> *'**A livelihood is …***the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base'*
> *(Chambers & Conway, 1992).*

> *A **Household** is often defined as ' People who eat together, share resources and live under the same roof;' or as 'A dwelling and its occupants regarded as a social unit'.*

Points to note about households:

- They are specific to a community
- They can change when circumstances change
- They come in different shapes and sizes
- They may be different at different times in the year

> **Essential Points of the livelihoods approach:**
>
> - The **household** and **individuals** are at the centre of the livelihoods approach. (*Service delivery and support should adjust to the priorities, demands and needs of the households.*)
> - The household's **capabilities, activities** and **resources ("CAR")** are the focus of interest. *(The livelihoods approach **builds on the strengths** of the household, individuals, communities and local areas.)*
> - The levels of **village, ward, district, province, country** and **wider world** have impact on household livelihoods. *(An analysis of **linkages** is needed to show which levels offer opportunities or have blockages.)*

- Different **spheres** or **dimensions** of influence that can either help or hinder the household's livelihoods are the **economic, political, social** and **physical/environmental** spheres.
- The household's 'CAR' and context of different spheres influence the household's **vulnerability**, how easy or difficult it is for the household to deal with and survive **shocks** and **stresses.**

The 'Wheel' of Livelihoods

Political

Capabilities

Economic

Social

Household

Activities   Resources

Village

District/province

National

International

Physical
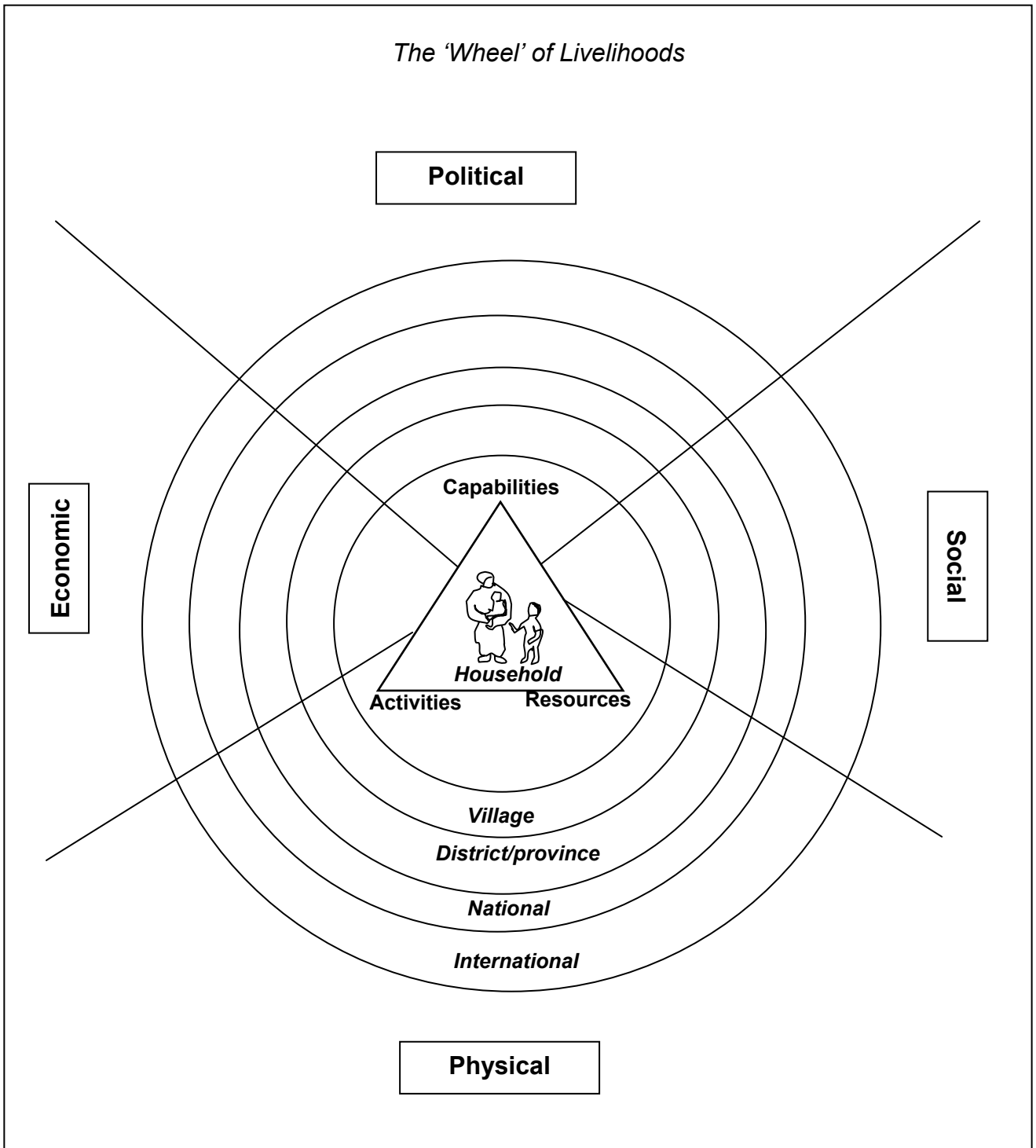
Additional key points of the sustainable livelihoods approach:

- Livelihoods approaches strive to be **holistic** and **people centred**.
- They recognise that situations are never static and so build in **dynamics**, **stresses** and **shocks**.
- They try to identify and **build on strengths**, while also identifying and removing obstacles and weaknesses.
- **Sustainability** is a key focus, because vulnerability is a key dimension of poverty.

A key point in **applying** the sustainable livelihoods approach:

- The household and village livelihoods security assessment gives a broad understanding of the 'CARs' of households, their context and vulnerability: the next step is to decide where there is the greatest opportunity for making the biggest difference: deciding what to do.

Many development practitioners and staff of government and NGO agencies think about their work within the framework of their particular sector only (water, agriculture, health, local economic development, etc.). A key strength of a livelihoods approach is that it encourages broad thinking. It is based upon a comprehensive framework that simplifies, but avoids oversimplifying, the realities of the world in which people live. It is flexible and has been adapted to suit a wide range of situations by different agencies.

CARE, who are involved in developing SWELL, have developed a model called Household Livelihood Security Assessment (HLSA) that has informed a number of water supply and multi-sector projects.

A livelihoods approach recognises that most people do many things to secure the income, food and other things they desire, and that most people have clear strategies to achieve their goals. The focus on assets is closely related to a vision of poverty as a multi-dimensional situation: a poor villager is poor not just because he or she has no money, but because he or she has limited access to education, or natural resources, or political representation.

Livelihoods and Water
Perhaps the greatest value of adopting a livelihoods approach to water supply is that it leads to identification of the many and complex ways in which water supply directly affects peoples abilities to pursue an overall sustainable livelihood, or to better cope with shocks and stresses. A greater understanding of such issues and their linkages helps to identify bottlenecks and prioritise activities. By adopting a livelihoods approach, actions are facilitated which are more likely to respond to (and be driven by) peoples needs and that are more likely to achieve real impacts on poverty.

While the focus of the WaLPP methodology is the issue of domestic and productive use of water, the multi stakeholder process may also identify other opportunities for complementary development interventions.

Important related approaches

Community management: Community management is, in rural areas at least, the driving paradigm for the water and sanitation sector. Community management is all about putting communities in charge of developing systems that respond to their needs. Water for productive uses is high on this list – frequently even higher than treated water for domestic use. On the downside, not taking likely productive use into account can lead to system under-design and, in turn, to failure. Livelihoods approaches, which emphasise the capabilities as well as the needs of people and take into consideration the complex nature of communities and intra-community relationships, can help optimise the community involvement in system design and implementation.

Demand responsive approaches: Similarly to community management (with which they are frequently linked), demand responsive approaches are all about matching systems to people with the primary goal of achieving sustainability. As noted above, livelihoods approaches can help to identify needs.

Cost recovery: Productive uses of water have a crucial role to play in turning water into the cash with which to buy spare parts and pay for routine maintenance. Clearly establishing the link between water supply and economic benefits also seems to increase people's willingness to pay for their water in the first place.

Integrated water resources management (IWRM) and rights based approaches: The link between our topic and IWRM is covered in more detail later in the document. Productive uses of domestic water and a livelihoods-centred approach to domestic supply both answer directly the call of IWRM for a more holistic approach to water resource development and the breaking down of sub-sectoral barriers within the water sector. In addition, and perhaps more importantly, an analysis that recognises the crucial role of productive water in the livelihoods of the poor will inevitably lead to the need for 'non-domestic' water to be covered in the rights based approaches that are currently limited to domestic supplies alone. The productive users we talk about are small scale, scattered, poorly represented and largely ignored in the 'catchment' level decision making that is currently the most visible aspect of IWRM. Ensuring that their voice is heard and that their right to a fair share of the total resource is recognised are two of the greatest challenges to those implementing IWRM. At the same time developing the local water management structures necessary to support widespread productive uses offers a genuine potential for bottom up IWRM of the type advocated in the Dublin principles (WMO, 1992).

Moriarty, P. (IRC), Butterworth, J. (NRI), Page 15

Framework 3: Water For Productive Uses

This approach grows out of recognising that:

- Productive use of water at the household level by poor people reduces poverty
- People need more than their domestic water needs to be productive
- Productive use improves the sustainability of water supply systems and services
- People need local solutions and multiple sources for multiple uses
- An integrated approach is essential to achieve significant impacts on poverty

Some productive uses of household water supplies are:

- **Cultivation**: vegetables, fruit trees
- **Livestock:** poultry, goats and sheep, stall-fed cattle
- **Agro-processing**: brewing beer
- **Cottage industries**: clay pot making, grass weaving
- **Construction**: Brick making, building and
- **Services**: traditional healers, hair salons, tea shops

Commercial or productive water use in villages can range from moderate to large scale commercial utilisation by builders and cement brick makers, to use by the informal sector in mud brick making, beer brewing, hair saloons, livestock watering, car washes, laundries and irrigation for fruit and vegetable gardens.

In non-commercial livelihood activities, water is productively used in household vegetable and fruit gardening and construction.

Policy recognising productive water uses

In the recent draft white paper on water services in South Africa, economic activities are explicitly recognised: 'Municipalities do not, and should not, only provide water services necessary for basic health and hygiene. It is important that municipalities undertake health education, facilitate the provision of higher levels of services for domestic users and provide services which support the economic development and well-being of communities.'

Moriarty, P. (Dr.) (IRC), Butterworth, J. Dr., (NRI), The Productive Use of Domestic Water Supplies: How water supplies can play a wider role in livelihood improvement and poverty reduction; Thematic Overview Paper, May 2003, IRC International Water & Sanitation Center, page 15

How 'domestic' water fits into productive livelihoods: a case study from Zimbabwe

In rural Zimbabwe the cultivation of vegetables, fruits and other crops in family gardens has a long tradition. Gardens support food security and improve nutrition of course. But in a place where there are few sources of cash income for rural families, the relatively small but regular sums of cash that can be earned from sale of vegetables from gardens are also important.

Not everyone has access to land and a garden in a suitable place close to a water source, and many of the water sources are not very reliable. They dry up during the winter season and after years of poor rainfall. A water supply project – 'the collector wells project' – aimed to develop reliable community sources that could meet the needs for safe, domestic water but also provide enough water to irrigate a community garden.

These productive water points needed to yield more water than most conventional boreholes - 15m 3 /day. This was achieved by digging large diameter wells, and drilling horizontal boreholes to exploit the shallow groundwater table caused by local geology. In these hard rock areas, it was decided that deep boreholes would not provide enough water. (Moriarty, P. (Dr.) (IRC), Butterworth, J. Dr., (NRI), op. cit., page 18)

In other places and situations, higher yields for multi-purpose supplies can be achieved in alternative ways (and cheaper conventional boreholes with lower per capita costs have proved easier to scale-up). Reliability of the sources is a key factor though. During a severe drought in 1992, garden members at the first scheme were able to benefit from higher prices for irrigated vegetables

Framework 4: Participatory Planning

The Participatory Planning approach is linked to policies that favour:

- *Decentralisation*
- *Participation*

Policies and legislation in South Africa that promote decentralisation and participation are:

- The Municipal Systems Act (Act 32 of 2000) provides for a unified system of decentralised planning. Each municipality must produce an **Integrated Development Plan** (IDP). The IDP incorporates sections on infrastructural development (roads, bulk water, electrification, etc.), local economic development, health and welfare, institutional development, communication, etc. IDPs must be produced with participation of the public. Ward level planning is where participation can happen most effectively, with important roles played by Ward

Councillors and Ward Committees. (See Part 3 references under Participatory Planning). In practice, meaningful participation is often not achieved. The IDP produced for a five-year period, and must be updated annually.

- In terms of the Local Government Laws amendment Act of 2002, the Water Service Authority function, including potable water systems and domestic sewage and wastewater, is allocated to the District Municipality or Local Municipalities.

- In the water sector, the **Water Services Act** establishes institutional arrangements for water services provision.

  - **Responsibilities** are specified for Water Service Authorities (normally the district municipality), the Water Service Provider (normally a municipality or a private company or partnership), a Water Board (that provides water to other water sector institutions) and a Water Service Committee (that can be appointed by the Minister if the Water services authority fails in its duty; not a community based organisation).
  - The district municipalities must prepare a **Water Services Development Plan (WSDP)** for its area. This forms part of the IDP. The plan gives details on existing and future water services provision, industrial use, and disposal of industrial effluent. The WSDP must be prepared with consultation of the population served.

Framework 5: Rights-Based Approach

Adopting a rights based approach can change the way a person behaves, as compared with how he or she might behave if following a needs-based approach.

ASPECT AFFECTED	RIGHTS-BASED	NEEDS-BASED
FOCUS is on:	An acceptable/preferred situation	The status quo: the existing situation
ATTITUDES are:	Empowered, with dignity	Victim, dependency mentality
ACTIVITY is:	Collective: people affected by an issue acting together to get the best outcomes	Individual: Each individual or unit in society in competition with others
POWER RELATIONS are:	Inequalities can be reduced	Inequalities are mostly increased
ACCOUNTABILITY is:	More easily enforceable	Less enforceable

Elements in a rights-based approach
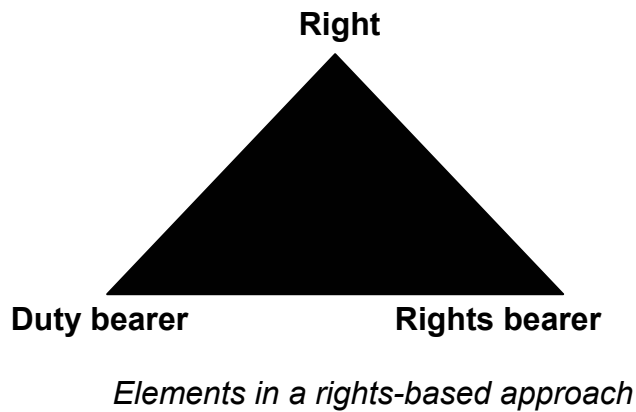
Rights are:

- **Inalienable:** for example, free basic water is a right in terms of policy and legislation. No one can take the right from any citizen.
- **Contractual:** Figure above indicates the contractual nature of the link between the right, the rights bearer (who has the right), and the duty bearer (the one who carries the responsibility for servicing the right)

A rights-based approach emphasises *action* from the rights bearer and support agencies to get a fair deal for all rights bearers:
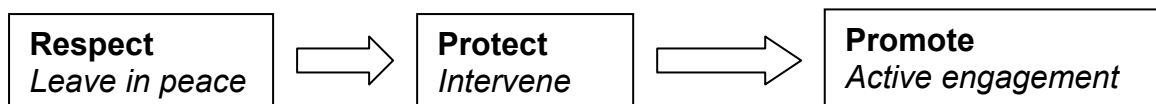
An essential principle in a introducing and applying a rights-based approach is putting the same amount of emphasis on **RIGHTS <u>AND</u> RESPONSIBILITIES.** Emphasising only rights is likely to disempower people if they stop looking at their own capabilities and resources, and what they can do to improve their livelihoods using these.

Important *human rights* documents are:

- *Universal Declaration of Human Rights*, adopted by the United Nations General Assembly in 1948
- *South African Bill of Rights,* South African Constitution, adopted in 1996

In South Africa the Water Services Act includes a Free Basic Water Provision Policy, which says that all citizens should get 25 litres per person per day. Local authorities have some discretion over this amount. This focuses on the minimum for healthy living including only water for domestic use.

The 2002 draft white paper on water services in South Africa, says that:

'Municipalities do not, and should not, only provide water services necessary for basic health and hygiene. It is important that municipalities undertake health education, facilitate the provision of higher levels of services for domestic users and *provide services which support the economic development and well-being of communities*.'

Framework 6: Participatory Rural Appraisal (PRA)

PRA is an **approach to planning that values listening, participatory methods that empower, and co-learning and analysis.**

PRA grew out of a concern about the way survey-based research always took time of people and information away from them, but most often did not give anything in return.

PRA comprises three main elements:

- **Values** and **principles**
- The "How" of PRA: **processes, behaviours**, and ways of working in communities that are needed to show proper respect in the interaction between 'outsiders' and community members, and to get the most useful information and understanding of the issues and concerns focussed on
- A range of **tools** that are used by skilled facilitators with community members

The **values** and **principles** informing PRA are similar to the values and principles discussed for WaLPP above.

Some comments from participants in a PRA training through MIDNET in KwaZulu-Natal in 1993 were:

> *"PRA happens in the moment."*
> *"PRA is empowering."*
> *"PRA enables you to accept the mystery of people's lives."*
> *"Learning from village people."*
> *"PRA transforms development from an imposition to a rich learning experience."*
> *"PRA is exhausting."*

In PRA, **PROCESS** is a primary concern:

How we get there

Is as important as

What comes out
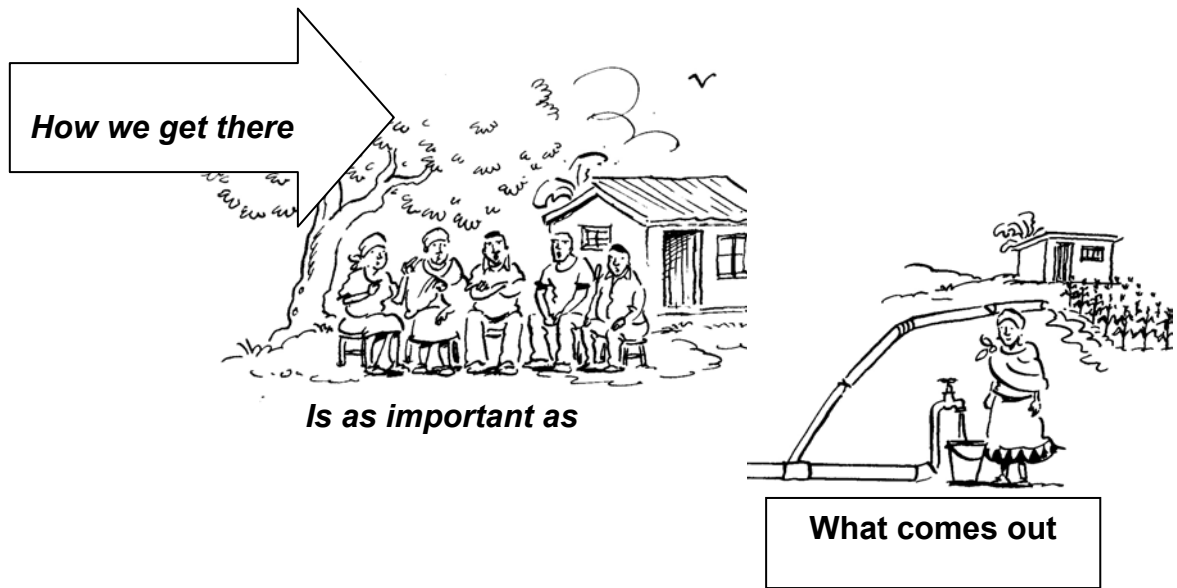
It makes a big difference if something (like a road or a water supply system) is built with people's participation, or without it. If people have been consulted or have provided labour or other inputs into deciding where and how to build the system, they will have a sense of ownership, and may maintain the system better.

Tools used in PRA are specifically designed to optimise participation of community members, in particular those who have been disempowered, for example through having little or no formal education, being unable to read and write, or through gender discrimination against women and girls.
Most of the tools involve participants in group work. Participants generate information from amongst themselves. Often they use visual means to symbolise the issues being explored.

Examples of PRA tools are: time lines; transects; mapping; matrices; time trendS; and seasonal diagramming.

SWELL used these tools, and others, as is discussed further in sections D and E.

D: Methodology

A: Before we begin…

B: Introducing SWELL

C: Approach and frameworks

D: Methodology

E: Tools

F: References and Resources

G: Appendices
- Appendix 1: Notes on Training
- Appendix 2: Utah Case Study

Methodology

In this section of the Guidelines File, we are looking into **HOW** the water and livelihoods planning process has been implemented.

The sub-sections of section D follow the implementation structure of SWELL, as it was implemented in Utah village in Bushbuckridge in the period between May and July 2003:

April to May	1. **PREPARATION PHASE**
June	2. **ASSESSMENT PHASE**
July	3. **VILLAGE SYNTHESIS**
July	4. **STAKEHOLDER SYNTHESIS**

For each phase:

- The **process** i.e. the field experience of what we did is outlined

- **Reflections** by the core team on their experience are shared

The **Tools** used during each of these phases are described in section E.

Reflections are separated out from the text in special boxes:

> *Reflections*
>
>

Overview of SWELL Implementation Process
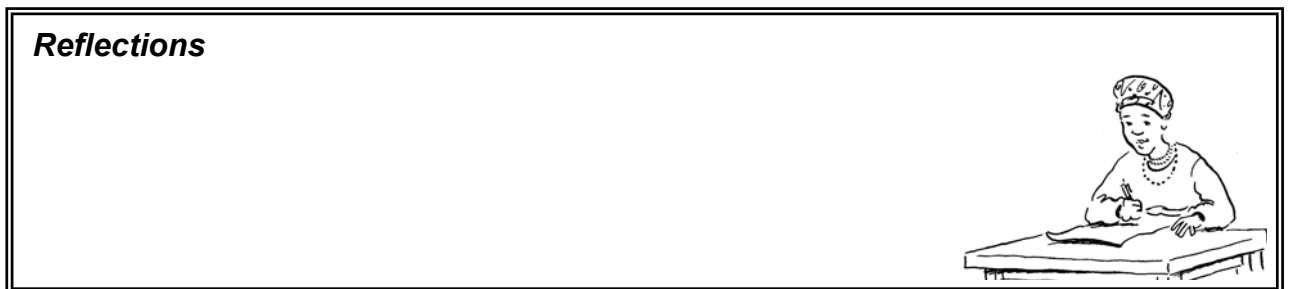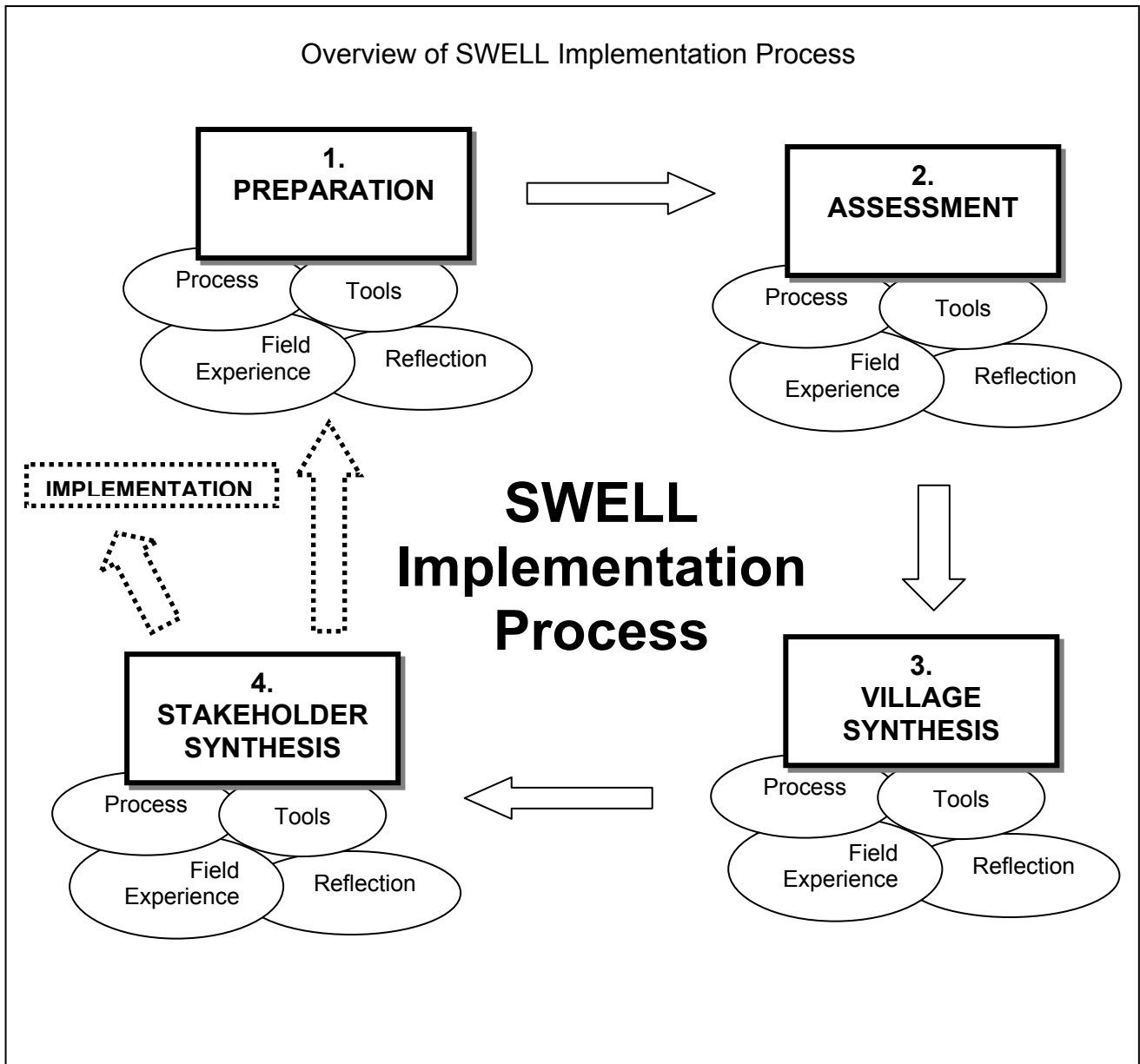
1. Preparation Phase

Overview of the Preparation Phase

All stakeholders were identified, including the village organisations and external stakeholders. A thorough process of communication was undertaken with Utah village – contacting the principle institutions, explaining the project, its purpose and the process of its implementation. This was done over a few months to ensure both good understanding and to prepare for the HLSA. External stakeholders were invited to an orientation forum, which laid the foundation for their participation in the 10-day HLSA training and fieldwork and secured commitments to attend.

Establishing the Core Team

We held a two-day planning session, in which we developed a clear mutual understanding of the objectives and the approach, and of each organisation's interests and resources. We documented this carefully and set out a plan for implementation based on these, which guided and coordinated the work. We agreed on roles and communication lines; AWARD led and coordinated the team.

Village Engagement

We selected to work with Utah as AWARD had a previous working relationship with Utah, research for the WHiRL project had been carried out in this community, and the community were willing to work with us on this pilot project. Over a few months we made sure that we understood all the village institutions, and some of the important dynamics; that people were informed about and understood what we wanted to do, and that there was an agreed plan with villagers. We held meetings with village leaders, and also had a general community meeting, making sure the project was well understood and agreed to.

Stakeholder Engagement

As the approach was seeking an integrated and holistic approach to water, we wanted to have the active participation of all the stakeholders who have a role to play in this regard in the village. These were a mix of government, non-government or private sector organisations. Over a three-month period we made contact with people in the institutions we had identified, seeking the right people to talk to, and informing them of the project's intentions. We wrote a short information sheet to send or leave with people.

We then held a workshop to which all were invited to allow for a collective interaction and planning on participation in the village process; the stakeholder orientation workshop. In this workshop we developed a *matrix (see Section E)* to set out our various roles and involvements, as the basis for understanding each other. We then produced another matrix on what organisations could and would bring to the process. After this workshop we continued to communicate progress to those who had not come to the workshop or were not actively participating, and participation increased as we went along.

Reflections…

The Core Team
Good quality early planning that was properly documented into a project plan was very important. While there were some potentially disruptive staff changes during the life of this project, the team managed these changes well and the focus remained clear. Other key factors that helped were:

- Having a "host" organisation (AWARD in this case)
- Understanding of the context
- Connections to stakeholders and village
- Commitment was secured
- There was capacity to replace people who left

Village Engagement
The relationship AWARD had with village already was useful. The previous research generated situational information, but it is possible to undertake a SWELL process in a village without having done prior research. What was important and helpful was that villagers had a felt problem, and also the experience of interventions that did not sustain, and so were interested to try a new approach. We still needed to give attention to getting very wide participation in the process, which we did here by ensuring all the various village level organisations were identified and included – and this way a range of interests were represented. We decided it was important not only to work with representatives but also to hold village meetings, and to at all times encourage wide participation.

Stakeholder Engagement
The orientation workshop was not as well attended as we hoped: people came from 4 out of the 8 organisations invited. Of those, two committed to participate for two weeks of training and village assessment. As these were departmental staff this was an important commitment, and was enough to be able to implement the project successful.
An improvement would have been to dedicate more senior team time into more senior level liaison. It would also have strengthened the team's interactions to have had a better understanding of the various departmental as well as local government work processes and plans regarding this village or area.

Stakeholder identification will have to be done in each village and ward. For example In the case of Utah the privately owned game reserve adjoining the village is an important private sector stakeholder.

2. Assessment Phase

Overview of the Village Water and Livelihoods Security Assessment (VWLSA)

This intensive process took place over 6 days, and was carried out along with training of the action-research team. This team included staff from the Departments of Water Affairs and Agriculture (3 from each), from AWARD (3) and the NGO Tsogang (1), and a representative of the local municipal councillor. The trainers accompanied the team to the field and helped them to reflect on the day and prepare for the coming day. While the training and the field research were intimately intertwined in Utah, the training aspect is documented separately (see appendix 1), as this will clearly not take place each time a SWELL process is carried out.

The VWLSA

The process we used is outlined in the table on pages D9-D10. Information was collected at three levels:

- The village
- Inter-household
- Intra-household

There were 5 days of information gathering. Each day of group work was designed not to be too demanding of time for villagers, which also allowed the team to capture the information from the day, to reflect together and adjust the plan for the next day, and for teams to prepare for the next exercises.

In describing the process here we have not included the details of some of the important elements that we were sure to include to ensure that the people who we worked with knew about the processes they were engaging in: a careful, clear introduction each day, going through the process to come and its purpose; and proper closure.

Village level

During the first two days we gathered information on the village as a whole. The focus was on understanding broad trends and patterns in the village across the socio-economic spectrum. Participatory, visual tools used were:

- **Mapping** of Utah village, and specifically the water situation.
- An **income and expenditure tree** indicating the sources of income and expenditure in the community and which of these activities require water.
- A **timeline** to set out the history of Utah's water situation.
- **Task and role players' matrix** to look at water related tasks and the roles local institutions play in these
- **Sources and uses table** which set out the various sources of water for Utah, and what water from each source is used for.
- **Daily activity chart** to see time allocation to daily tasks

> *See section E for a detailed description of these tools*

For each of these two days the action-research team was divided into three teams, while community members divided into three groups. Groups were comprised of both men and women, as well as people from different age groups.

Each team worked with a group on a different exercise, at the same time. Afterwards each group's work was reported to the whole meeting. This allowed us to work with groups of reasonable size, to engage in a lot of activities and so be more productive, and to have a chance for everyone to understand and check the information emerging form group work.

After reflecting on what emerged from the first day, it was agreed that one team member would take the Induna on a walk to clarify some issues around the Utah water system that were still unclear to the team, while the rest of the villagers carried out the next set of exercises. This also served the dual purpose of improving the information and taking him out of the group, as his presence was inhibiting the participation of group members.

Inter-household level

Here the aim was to understand socio-economic differences between households within the community. Tools used:

- **Social mapping**, to set out all the households and basic information about them as an introduction to discuss inequalities, social problems and coping strategies in the village
- **Well-being ranking**, which drew on the social map, and used local criteria to categorise well-being groups. This enables deeper discussion on inequlities and degrees of vulnerability

For the social mapping villagers divided themselves into 2 groups, depending on which part of the village they lived in. Each group worked on a different part of the village, mapping out:
- Some key features of that section e.g. main roads, some beacons e.g. shops, clinics, schools.
- The arrangement of households within that section of the village.
- Key features of each household:
  - name and type of the household head (gender, age)
  - number of people per household
  - major income source
  - children going to school
  - household with people with chronic illness
  - livestock
  - land holding
  - water source
  - toilets.

On the following day the well being exercise was carried out simultaneously by the same two groups of villagers, drawing on the base information from the

day before. In reporting back the categories were compared and the issues arising about relative vulnerability were discussed

Once this was completed and shared, households were identified for the team to interview the following day, ensuring that a cross section of well-being groups would be identified, and people willing and available.

Intra-household level
A series of semi-structured interviews were held on the last day of field assessment. Team members worked in pairs, and each conducted four interviews. The focus at this level was on understanding household livelihood strategies, water use, and how factors such as age and gender affect vulnerability and resilience of households, in relation to the wealth status of the family.

Feedback and wrap up
The following day a general community meeting of the village was held. The information from the previous days was summarised and presented to villagers by the team. This provided an overview, a chance to verify or change information, to reflect and to discuss and clarify the next steps. A lunch was organised for all to share, to mark and celebrate the end of the intensive work.

Villagers and the action research team were very positive and excited by the process – the only cautionary note on all sides being concern regarding sustained participation by all.

Reflections…
On the usefulness of the tools:
Of the 6 tools used at the village level, the ones to prioritise in future, if there are time constraints, would be: mapping; income and expenditure tree; water sources and uses matrix; tasks and roles players matrix.

The daily activity chart would be better done in household interviews, as it is such a generalised picture comes out of a group that it is of little value. The time-line is a nice-to have rather than very important. However a focus on the history of water sources can be useful to open up ideas about multiple sources.

The rest of the tools would not be changed in future. The tools did allow us work with livelihoods broadly and also to focus on water. However adaptations could be made to sharpen the focus of the detail of the tools, and perhaps to suggest others. We should seek input from other sectors; e.g. from the perspectives of and water resources management, gender, HIV Aids, and LED (local economic development).

In future identify the different *user* groups and seek their specific input form that identity as well: e.g., gardeners, ice-block makers, livestock people, bakers, traditional healers, etc., e.g. in the mapping and uses matrix.

Facilitation

Facilitation affects the quality of the information, and the experience for participants. Poor facilitation turns participants into vaguely confused, and sometimes bored, informants; where good facilitation enables them to be interested, excited participants in information gathering and learning.

In Utah we worked with a team of whom only two had any previous experience of using these kinds of participatory tools. This was a very new way of working to most, and while a couple of the team showed themselves to be natural animators this was not true of others. We learned to mix the teams and assign tasks within teams to work better with people's strengths. As this process was providing training as well, the quality of the processes varied. Pervious training in PRA and facilitation would help to improve the quality.

In future more time should be given to collective reflection on what is coming out of the exercises with villagers, to strengthen the analysis and learning aspect for everyone. More use needs to be made by facilitators of drawings and symbols over words on diagrams, or the point of the visual exercise can be partially lost.

Planning and reflection

As the process was also training, the time was very pressured – people had to work long hours and did not always have as much time as they needed for learning as well as preparing and debriefing.

Overall reflection

While the quality of facilitation and thus information was mixed, it was good enough to provide a rich picture that villagers recognised as reasonably reflecting their reality. Participation from villagers was high – in that numbers increased from the original 50 or so each day. People were willing to be active participants in exercises, and were, when facilitation and focus enabled it.

The research team members learned new things about the village, and about working together. By the end, everyone felt satisfied that it had been useful.

HLSA Week 1 programme

TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SUNDAY
Introduction - Welcome - Introductions - Background - WaLPP Implementation Framework	Reflection on Day 1 **Ground rules for action research team** **Households** Membership, types	Water & Livelihoods Explore vulnerability though case studies Levels in HLSA Community, Inter-household, Intra-household	Collect materials Travel to Utah village **Village Meeting** ***PRA Community level Tools*** ***- Used with village participants, 3 groups, 3 tools*** **- Mapping** **- Income & Expenditure Tree** **- Time Line**	
Expectations **Objectives** **Programme for 2 weeks**	**Elements of a livelihood** **- CAR: Capabilities, Activities, and Resources** **- External environment** **- Applied to household case studies**	***WaLPP Information*** Introduction to Tools **Briefing on community preparation**		
Background to CARE/SCAPE Water & Livelihoods Livelihoods 'Wheel' Livelihoods Households	**Vulnerabilities** Shocks Stresses Resilience Coping strategies	**Training in PRA Tools** 3 teams Mapping, Income & Expenditure Tree, Time Line Probing questions		
Household Water & Livelihoods Exercise 3 groups construct typical household case studies	**Water & Livelihoods** Summary Relate to Livelihoods wheel	Team member roles Prepare materials Notes for fieldworker behaviour Attitudes & behaviours		
				Braai

HLSA Week 2 programme

MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
Debriefing on Friday field experience; consolidate field notes	**Debriefing on Monday field experience; consolidate field notes**	Debriefing on Tuesday field experience; consolidate field notes	Debriefing	Debriefing & check notes
- **Highlights of info gathered** **-** ***Reflection on Information gaps, tools*** **needed**	**Present highlights of information gathered**	**Present highlights of information gathered**	***Training on Household Interviews*** Guiding Questionnaire, Logistics,	Prepare Community report back **Draw up village meeting agenda**
Training in Community level PRA tools 3 teams Mapping, Income & Expenditure Tree, Time Line Probing questions	***Training in Inter-household PRA tool: Social Map*** - 2 teams - Procedure - Key for household characteristics	***Training in Inter-household PRA tool:*** ***Well-being Ranking*** - Input on differentiation - 2 teams - Procedure	Travel to Utah ***Conduct Household Interviews*** - Teams of 2	Travel to Utah ***Village Report Back Meeting*** Introduction: Induna Address by Ward Councillor Presentation of Key Findings Additions to information Next steps Closure: Induna
Travel to Utah	Travel to Utah	Travel to Utah		WaLPP Team & village participants' meal
PRA Community level Tools **-** *Used with village participants, 3 groups, 3 tools* - Task & Role Players' matrix - Sources & Uses Table - Daily Activity Chart	***PRA Inter-household level Tool: Social Map*** **-** Used with village participants, 2 groups	***PRA Inter-household level Tool: Well-being Ranking*** **-** Used with village participants, 2 groups		
				Debriefing Next Steps Evaluation Closure
Write up field notes	Write up field notes	Write up field notes	Write up field notes	

3. Village Synthesis Phase

Overview
The team collated the results of the village assessment, and three weeks later held a process over two days, in Utah, to enable villagers to analyse and verify the findings of the research. Villagers worked with the outcomes of the assessment to develop problem statements, to decide what their priorities were and to explore options for action. It was explained that their work would be taken into the following process of the stakeholder synthesis. The group elected people to attend the stakeholders' synthesis workshop.

Tools used for the Village Synthesis were:

Matrix: Improving and threatening factors to livelihoods for different well-being categories; and to sort these in terms of their relative importance. This was then used to develop problem statements

Problem tree: to analyse the problem statements, looking at both causes and effects

Mapping: for visioning and identifying blockages to achieving this

> *See section E for a detailed description of these tools*

Materials prepared beforehand:

Poster with cards: to present the results on the livelihoods wheel
Posters: To present the water technology options
Maps: Prepared maps were used drawn from village maps done in the VWLSA, for visioning

Preparation
The village synthesis workshop was discussed with the community during the assessment, as part of taking the process forward. Invitations were also sent out to various community structures, inviting the entire community to attend the process. We asked community members to provide catering for the participants as this process was also intensive and tiring.

The Synthesis
We used a mix of methods and resources that used visual methods and also writing. Those who were literate were paired with those who could not read and write to assist them in writing down their ideas and understanding written information.

We started by giving participants cards on which to write their expectations of the synthesis process. Expectations were then grouped according to their similarities and according to the objectives of the process.

A **livelihoods wheel** was presented to the participants and summarised results of the assessment. In three groups, defined according to well-being categories, people interacted with these results. First they identified factors that improve as well those that threaten household livelihoods. These were then placed on a matrix, and discussed.

Each participant was given 4 stickers (men and women different colours) and asked to work in pairs and place their stickers on the factors that they thought have the biggest effect on the household's livelihoods.

The facilitators, during lunch, developed problem statements from the prioritised issues. Working in four groups villagers developed problem trees around these problem statements.

On the second day we started by presenting some posters on different options for developing water resources; different technologies for different sources and different uses (you will find these in section F of this file).

Participants were then given two maps prepared beforehand from the VWLSA. They worked in two groups - one checking and adding to the current map for correctness and detail, and drawing on the problem tree to add issues. Meanwhile the other group set out their vision in terms of issues prioritised (which were primarily, but not exclusively, water-related).

In a plenary session participants had discussions to reach a common understanding on both the present and the future visioning map. This moved into a session on why Utah was not in the future situation and what blocks them from getting there. The next step was for participants to indicate the blockages that are within their control and those that are not.

Finally some representatives were selected to take the outcomes of the two days of work to the Stakeholders Synthesis workshop, where the various other stakeholders would be taken through a process to analyse the results of VWLSA, and do some joint planning for action.

What worked well
The synthesis was well attended by the community members and structures. Most of them had participated during the VWLSA intensive research process, so there was good continuity. Some participants felt these exercises were tiring and need more time. However the final evaluation was very positive; and people found the process did take them through a systematic process of analysis that they could understand and engage in.

Summary of the village synthesis process:

DAY ONE

SESSION	WHAT	HOW
Session 1 (09h00 – 11h00)	- Welcome - Introductions - Expectations and Objectives - Present information from the VWLSA in wheel format (1 hour) and well-being ranking - Identify threatening and improving factors for each hh category	Identifying threatening and improving factors for each category: - Divide participants into 3-4 groups according to hh categories (each group handles a category) - Ask participants to look at the wheel and well-being ranking and identify factors that threaten and improve those hh's livelihood (for their category. Write these factors on cards - Draw matrix (Sipho and Jethro) - Ask participants to present their cards and place it on the matrix (Start to form a pattern for similar factors) - Plenary session- reflect on matrix and discuss/cross check
Break		
Session 2	- Feedback on factors - Identifying the things that have a big effect on people of Utah (stickers) - Identify key areas with the group - Formulate problem statements around key areas	Things that have an effect: - Give each participant 4 stickers (men and women different colours) and ask them (in plenary session) to place their stickers on the factors that they think have the biggest effect on the people of Utah. They can place more than one sticker on one factor/issue. Pair participants for this exercise – let them discuss with each other before placing stickers. Note – they don't have to agree on where they place + use symbols on cards. - Count stickers in plenary with the group and identify key areas. Name key areas. Check for water. - During lunch hour – Sipho and Jethro to formulate problem statements around the 4 top priority issues that came out.
Lunch		
Session 3	Cause and Effect tree: Explain and do	- Divide participants into 4 groups according to the problem statements. - Demonstrate cause and effect tree in plenary (if why for causes, then what for effects) - Groupwork – participants complete trees and present plenary.

DAY TWO

SESSION	WHAT	HOW
Session 1	- Fact sheets – link to problems - Visioning – present and future maps	- Linking sentence: mention to participants that have now looked at problems in Utah, also have to start looking at solutions for these problems, specifically in water sector, but before that we have to look at some opportunities. - Fact sheets: Short presentation on fact sheets and gallery walk in pairs. (Point out

		that we become more vulnerable when we rely on one source of income and also when we rely on one source of water, what else can we do as a village, but also as hh's to increase our ability to be more resilient). Ask participants to identify potential technologies that could be used in Utah and why do they say so, compare to what is already used. Plenary discussion – jot down main ideas on flipchart. • Visioning exercise – present and future maps: Present basic maps (blown up) to the group. Divide group into two, one group will work on present map and one on future map. Ask the present mapping group to check the map for detail that might be left out and fill it in, specifically the water situation, but also reflecting the other problem areas (from cause and effect trees). Ask future group, bearing in mind what they have seen from fact sheets to visualize how Utah can realistically look in 10 years, with specific reference to the 4 areas. Let them complete the map
Session 2	• Continue visioning exercise + discussion • Identify blockages (Why are we not in the future situation?)	In plenary, present the two maps and ask the group: Why are we not in the future situation? What is preventing or blocking us from getting there. Write these blockages on cards. (keep in mind rights and responsibilities) Keep in mind hh and village level when visualizing. Identify blockages that are within their control or not – indicate on card.
Lunch		
Session 3	• Complete blockage exercise • Discussion and preparation for synthesis workshop, logistics, presentations, etc. Way forward in the community • Closure	Input on synthesis workshop: • Questions/issues they want to take forward to the synthesis. • What do they want to take to away from synthesis/what do they want to achieve? • Who is coming – decide on representatives • Presentations to prepare by village group: Factors that had a big impact, cause and effect trees, two maps and blockages. • Discuss how will they report back to the community. • Closure and logistical arrangements for synthesis.

Reflections…

Village Synthesis Workshop: Participation
There was wide participation from the relevant village structures. The main constraint was that on day 2 of the workshop, there was a clash of scheduled village processes, as there were 2 meetings scheduled to take place at the school on the same day, so many villagers who otherwise wanted to participate in the village synthesis process did not because they prioritised the meetings at the school. This is an issue of village scheduling of activities, normally handled by the induna and the CDF, and requires better SWELL team liaison with these bodies.

Village Synthesis Workshop: Facilitation
In future the SWELL action research team should select a few of their number to facilitate this process: this time it was only AWARD.

Village Synthesis Workshop: Content
The water technology choice information sheets (see section F) need to be translated, as posters.

The table of uses and sources could be used as an entry point for looking at water security and options for developing and managing sources for different purposes. We could design a process that includes "awareness raising" on water and its limitations in the catchment. The team needs to look at where in the process this can be brought in, and how, being clear about objectives and flow.

Selection of the people to participate in the stakeholder synthesis
It is important to have village representatives who can "champion" the proposals that are coming out in the village and stakeholder synthesis processes. These people need to know the history and have relevant information.

Outcomes
The problem statements developed in the village synthesis were important, and were well incorporated into the broader stakeholder synthesis.

4. Stakeholder Synthesis Phase

Quote from a participant in the Stakeholder Synthesis:
"It's one thing to collect information: it's another thing to analyse it…."

Overview Of Stakeholder Synthesis

The stakeholder synthesis was the final process in the SWELL assessment and planning, providing the base for moving into implementation. The stakeholder synthesis workshop is a 5-day process. It was designed to be conducted with the organisations that participated in the assessment phase: the members of the research team; and also their seniors. It also sought and allowed for including other stakeholders that could play a role in the village.

Participants in the workshop engaged with the findings of the assessment phase. They made use of:

- A written report
- Records of the visual information produced during use of specific tools from the assessment
- The report and findings from the village synthesis process
- Direct inputs by village representatives from the village synthesis into the stakeholder synthesis workshop

In addition the process introduced a rights-based approach to development, and participants had the opportunity to explore their own organisation's strengths and blockages in this regard. Towards the end of the process the organisations explored where they can potentially contribute to Utah's situation.

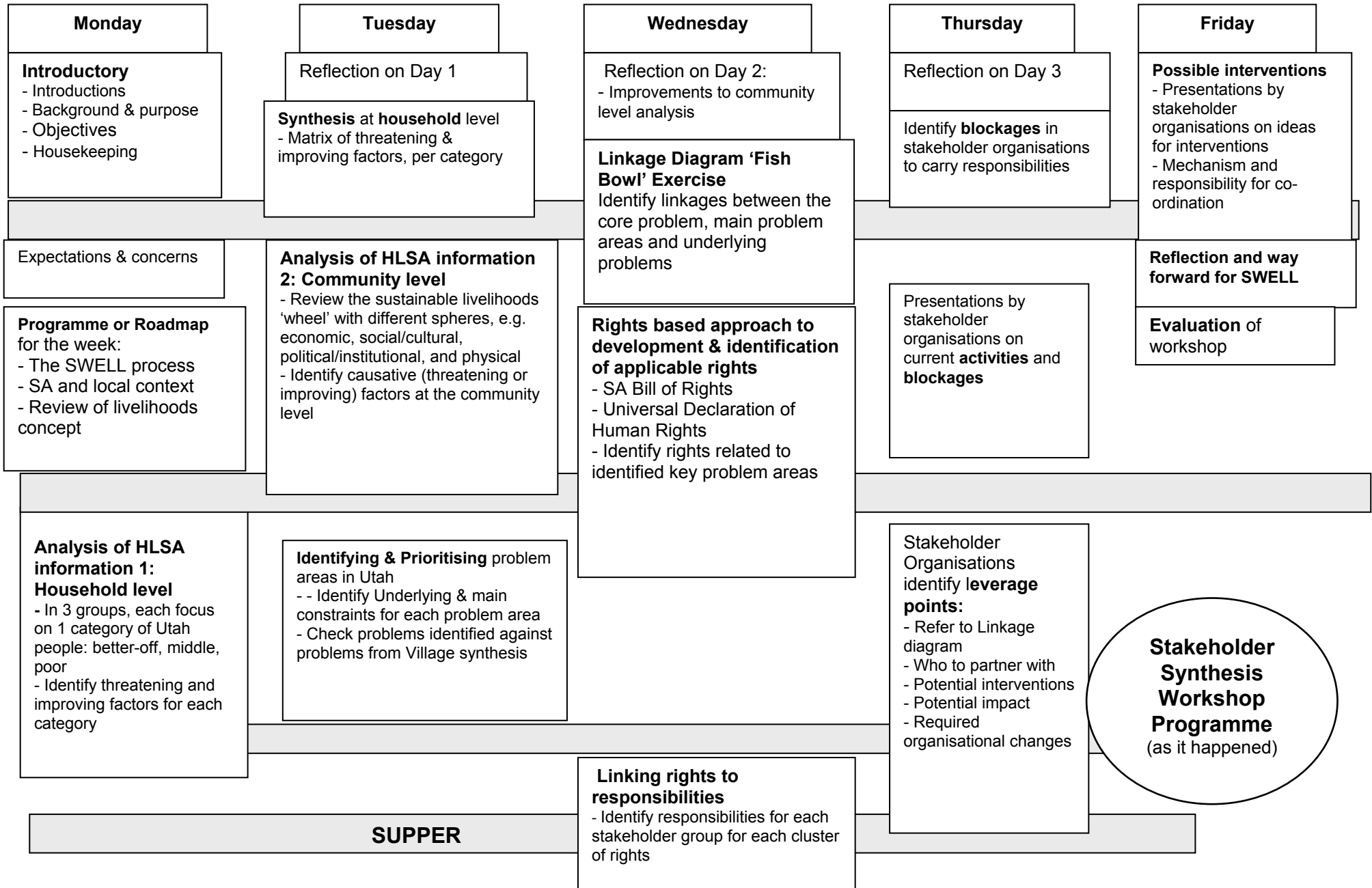Stakeholders also considered the further development of the SWELL methodology.

Tools used

The major tools used were capturing issues on **cards**, and then using these to make different **matrices** for making comparisons, and picking up on themes and priorities.
The **linkage diagramme** was an important and useful tool to move form analysis towards planning.

Overleaf is a programme summary for the stakeholder synthesis.

Monday	**Tuesday**	**Wednesday**	**Thursday**	**Friday**

Introductory
- Introductions
- Background & purpose
- Objectives
- Housekeeping

Reflection on Day 1

Synthesis at **household** level
- Matrix of threatening & improving factors, per category

Reflection on Day 2:
- Improvements to community level analysis

Linkage Diagram 'Fish Bowl' Exercise
Identify linkages between the core problem, main problem areas and underlying problems

Reflection on Day 3

Identify **blockages** in stakeholder organisations to carry responsibilities

Possible interventions
- Presentations by stakeholder organisations on ideas for interventions
- Mechanism and responsibility for co-ordination

Expectations & concerns

Analysis of HLSA information 2: Community level
- Review the sustainable livelihoods 'wheel' with different spheres, e.g. economic, social/cultural, political/institutional, and physical
- Identify causative (threatening or improving) factors at the community level

Rights based approach to development & identification of applicable rights
- SA Bill of Rights
- Universal Declaration of Human Rights
- Identify rights related to identified key problem areas

Presentations by stakeholder organisations on current **activities** and **blockages**

Reflection and way forward for SWELL

Evaluation of workshop

Programme or Roadmap for the week:
- The SWELL process
- SA and local context
- Review of livelihoods concept

Analysis of HLSA information 1: Household level
- In 3 groups, each focus on 1 category of Utah people: better-off, middle, poor
- Identify threatening and improving factors for each category

Identifying & Prioritising problem areas in Utah
- - Identify Underlying & main constraints for each problem area
- Check problems identified against problems from Village synthesis

Stakeholder Organisations identify l**everage points:**
- Refer to Linkage diagram
- Who to partner with
- Potential interventions
- Potential impact
- Required organisational changes

Stakeholder Synthesis Workshop Programme
(as it happened)

SUPPER

Linking rights to responsibilities
- Identify responsibilities for each stakeholder group for each cluster of rights

Preparation

For this process, too, preparation was important, and the following were the activities we undertook:

- Informing stakeholders of the whole process including the date of the stakeholder workshop (at the end of July) at the first stakeholder meeting in May, and securing commitments for their participation
- Preparing and getting commitment from participants in the Assessment phase to report back to the senior management in their respective structures, and to motivate for their personal participation in the stakeholder synthesis
- Producing the reports on the assessment and the village synthesis.
- Writing letters of invitation to all relevant stakeholders about 3 weeks in advance of the workshop
- Liaising and lobbying important stakeholders to be there
- Facilitators' preparation.

Here is how AWARD staff framed the focus group and purpose of the stakeholder synthesis in the invitation letter:

> **Focus Group**. The synthesis step is aimed to involve the **Top Management (Decision Makers)** of various Departments, Water Sector Organisations, NGOs working on Water Sectors, Local Government (Bohlabela District Municipality) and NGOs working on Community Development and Awareness raising.

There was a good mix of participants; the research team was joined by those who had not come to the previous workshops, with some senior levels represented. Apart from the CARE and AWARD facilitators, the participants were:

ORGANISATION	POSITION
Department of Agriculture	*Agricultural Technician *Senior Agricultural Technician
Department Of Water Affairs & Forestry – Bohlabela Maruleng	*Maintenance Manager *Artisan Engineering *Community Development Officer Area Manager
AWARD	*Unit Manager *Community Facilitator *Education Officer
Bohlabela District Municipality	Institutional Support & Development Manager Community Research Learner x 2
Bushbuckridge Water Board	Business Development Manager (also a District Municipality councillor)
Health Services Development Unit (an ngo)	Co-ordinator of Student progamme
Utah village	Three representatives

*were part of the action research team.

On the first day participants were introduced to SWELL and the livelihoods approach, as many had not had this background before. The group was then launched into the material from the VWLSA, and given a way to begin to analyse it.

Identifying Threatening And Improving Factors:
Household Level

Participants were divided into 3 groups and each group received the household case studies for a particular well-being category (better-off, middle and poor households). They were requested to read through the case studies together and identify factors that threaten (currently) and factors that could potentially improve households' livelihood. The threatening and improving factors are not based on the ideal, but rather on the real situation that households face. Participants wrote these factors onto cards.

On the second day each group presented the factors they identified from the household case studies, and final tables of threatening and improving factors were compiled. Factors identified during the village synthesis were incorporated as well. The tables were organised to form a matrix that could enable the group to compare threatening and improving factors across household categories. During the plenary presentations a discussion was held about what patterns are emerging from these factors. The differences between household livelihood categories and some preliminary conclusions were derived from the exercise.

We returned to the livelihoods framework as the main tool of analysis in the synthesis process. Factors identified at household level were put in the context of the livelihoods framework.

Community Level: Threatening And Improving Factors In Different Spheres

From household level, the group moved to community level analysis and participants read through the information that was collected at community level, identifying factors that can threaten or improve households' livelihoods. Participants worked in the same groups as during the previous exercise. Once they identified the factors they decided whether these factors fall into the economic, political/institutional, physical or social/cultural sphere. Participants were reminded of the livelihoods framework and how households exist in a specific environment that impact on their livelihood. They wrote these factors on cards and placed the cards into four quadrants during the plenary presentation. The facilitator clustered similar cards from the different groups during the presentation.

Identifying And Prioritising Problem Areas In Utah

Working in pairs, participants identified for each of the two levels the issues that kept on coming up/were prominent for them. From these, key issues were clustered and those critical to household livelihoods in Utah identified and ranked through scoring. These outcomes were checked against and aligned with the problems identified during the village synthesis. A high correspondence was found.

Identifying Underlying Problems In Each Problem Area

The last exercise of the day involved participants taking the identified problem areas and unpacking the key problems under each problem area. They extracted the underlying problems for that problem area/issue, and wrote these on flipchart. Participants worked in 3 groups and each group was given the cards from the clusters of problems from the previous exercise. The group dealing with the water problem unpacked, for example, the main problems with water in Utah. The groups were also requested to indicate who in the community is most affected by these problems

The third day moved the group to deeper analysis.

Linkage Diagram

The main problem areas with their underlying problems were set out on cards. Participants were then invited to take string and link problems that have relationships with each other, e.g. water problems might link to health problems, etc. This exercise was completed in plenary and participants explored all the links between different problems and problem areas. This linkage diagram now provided a framework for planning in the sense that people could see that if an intervention was made at a certain entry point it could (provided there is co-operation with other organisations) also have an impact on other problem areas and in this way many of the issues identified during Utah's livelihood assessment could be addressed. The linkage diagram overleaf shows some of the main linkages:

Linkage Diagram

Low income & Unemployment
-Access to money for business start-up and growth
-Roads
-Electricity
-Poorly developed infrastructure
-Getting jobs and skills
-Struggle to pay for diesel

Education, skills, capacities, Information
-Affording education
-High illiteracy
-Lack of knowledge on water policies

Water (Operation & Maintenance)
-Poor reporting procedure (Community/DWAF)
-Procurement procedures too long
-Poor supervision
-Lack of human resources

Water scarcity in Utah

Water Infrastructure
-Inadequate reservoirs
-Poor reticulation system
-Only one engine
-No yard connections

Access to and use of land + Livestock issues
-Lack of community garden
-Dams for livestock drinking
-Water for animals/chicken project
-Water tanks
-External assistance
-Risky rainfall (Agriculture)
-Community gardens (Fence & market place)
-Water for livestock dipping

Once the problem areas in Utah were identified and the linkages and relationships between them explored, it provided an opportunity to explore people's problems and needs in relation to their rights to a better life.

Rights Based Approach And Identification Of Rights And Responsibilities

The facilitator gave a presentation on the rights-based approach to development and how it differs from a problems-based approach. Participants were given the Bill of Human Rights and requested to identify the rights that apply to each problem area. Participants worked in groups, each group identifying the applicable rights for one problem area. Rights were identified, although, interestingly, participants did not find this exercise easy.

Working in the same groups as for the previous exercise, participants then took each problem area and its identified rights, and linked the responsibilities of different stakeholders to these rights. Participants were requested to complete a matrix for their problem areas.

On the fourth day we focused on organisations

Stakeholders' Responsibilities And Blockages

Working on the matrices of the previous day, the group now made new matrices, focussing on the stakeholders' responsibilities. All the responsibilities for different problem areas for each stakeholder were put together in one matrix. The participants were divided into groups according to the stakeholders they represent and given the responsibilities they have as stakeholder. They were requested to identify the blockages they experience in carrying out these responsibilities.

Organisational Presentations

Once each stakeholders' responsibilities as well as blockages in carrying out these responsibilities were identified and understood, participants were requested to work in their organisational groups and prepare a presentation about their organisation. The purpose of this exercise was to (while bearing in mind organisations' responsibilities and blockages) get an idea of what they do and can offer to move the development process in Utah forward. They were asked to indicating the following:

- Staff; expertise available; geographical area; the service they deliver
- What other units/sections in their Department/Organisation could potentially contribute to this process and Utah specifically
- What are some of the immediate plans they have? (especially with reference to Utah)

On the final morning the focus was on planning.

Potential Intervention Areas

The day started with the organisational presentations prepared during the previous day. Each stakeholder was then requested to identify potential intervention focus areas to improve Utah's water and livelihood situation. When taking this decision they needed to consult the tables on Utah's household level information and the community level information (threatening and improving factors) as well as the linkage diagram and blockages and constraints they experience. The following information was then recorded on a flipchart:

- Identify a maximum of 3 potential intervention areas
- What potential interventions might you implement?
- What impact could these interventions have (Follow the strings on the linkage diagram to identify other areas of impact and this will also indicate to you who you should co-operate and work with)
- Who may you need to partner with?
- What changes may you need in your organisation (consider blockages)?

After presentations, a plenary discussion was held about the future situation and potential plans for Utah.

Evaluation

Participants were asked to reflect at two levels: on the synthesis process, and on the methodology and its potential for wider use. They answered a set of questions in buzz groups of three, and then had a plenary discussion on key points.

As the workshop reached its end, the facilitator led the group in an exercise where they reflected on the methodology beyond Utah's context ,and looked at the potential for developing it.

Reflections…

Overview
The pulling together of the planning is likely to benefit from more clear relation to the systems and processes of planning already being used by stakeholders. For example, ward planning, municipality IDPs and infrastructure programmes, and DWAF and Department of Agriculture's own plans.

Two things are needed to develop SWELL:
1. Better understanding of the stakeholders as institutions: their planning cycles, processes and work practices

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2. Develop the framework to work at the level of the ward. This needs wise assessments and planning, and discovering how this all fits – how to find the synergy.

The workshop
The introductory process went well. Have a written, brief Information Sheet for handing out was useful. The 'road map' presented by a facilitator on cards to show where we were coming from and going to in the week's programme and after was very useful.

It was necessary to emphasise that improving and threatening factors are taken from reading interviews and must be based on the REALITY not on what SHOULD be. In the small groups people did sometimes get held up on a particular detail.

The community level analysis went well. This was an addition to the process as it has been run before, and it did work to make the community voice strong.

The introduction and integration of rights needs to be improved – this did not go easily. Participants were uneasy with the concepts, and it felt like we were pushing it on them.

In the 'what interventions' session, in future either get people to write on cards and pin it on the linkage diagram, or the facilitator does it as they talk, or sees they do it if they haven't. This will make the plans a bit more concrete, and relate what is being said better to the earlier analyses.

E: Tools

A: Before we begin…

B: Introducing SWELL

C: Approach and frameworks

D: Methodology

E: Tools

F: References and Resources

G: Appendices
- Appendix 1: Notes on Training
- Appendix 2: Utah Case Study
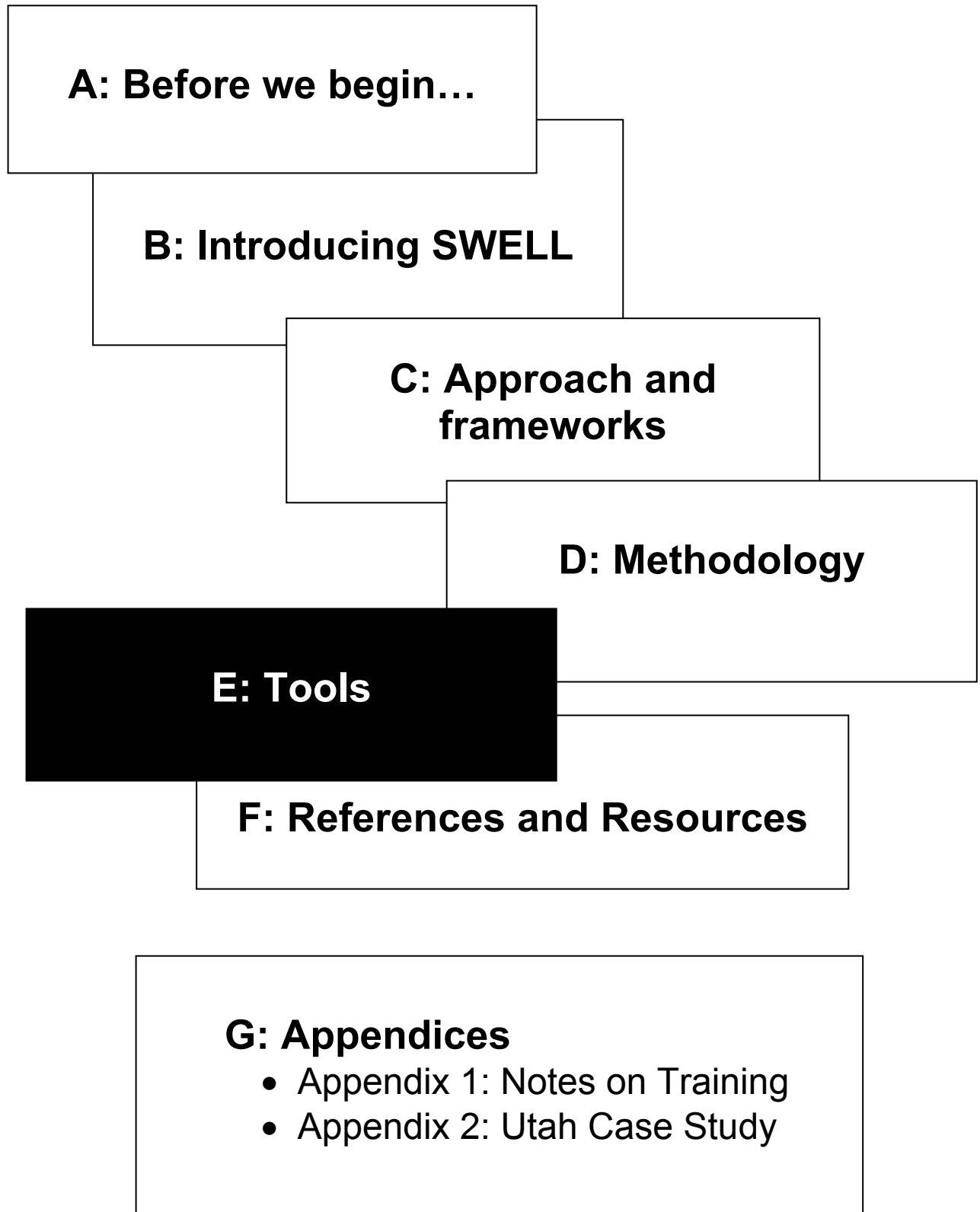
Tools used during Assessment

For Utah we drew up an ' Information Framework' (see below). This should not be copied for every other village, but needs to be developed by the implementation team as part of their preparation. This framework helped us to structure our work in Utah. The matrix that follows this table summarises the tools used during the Assessment phase of the SWELL process.

WATER AND LIVELIHOODS INFORMATION FRAMEWORK

| LEVEL OF ANALYSIS	ISSUE	INFORMATION NEEDED	PARTICIPATORY TOOL (potential)
Community	Infrastructure	- What is there? - Available water sources? - What are the problems? - What is the history and trends? (E.g. on management, why certain trends?)	- Mapping - Transact walk - Timelines - Key informant structures profiles
	Use and access	- Who has access? (Why and how much?) - Bottlenecks (no access, why?) - Reliability? - Use of different sources of water (productive and reproductive activities)	- Venn Diagram - Calendars and timelines - Matrix ranking
	Structures (link to water)	- Identify key structures - Political issues - Skills and resourcing (problem solving, etc.) - History of management of projects - Awareness of policy and rights - Roles and responsibilities in terms of water provision - How do other structures work with water structures?	- Venn diagram - Matrix - Table - Timeline on project history
	Economy	- Economic situation of the community - Employment? - Income-generating projects? What exist and what role does water play in each of them?	Income and expenditure tree

E1

	Water resources (shocks and trends)	• Seasonality/drought/ Floods – link with activities people do • Topography and hydrology (secondary info)	• Timeline • Calendar
	Community Dynamics	• Demography • Migration • Employment • Main groups, refugees, the poorest, etc.	• Timeline • Secondary information
Household (Inter and Intra levels)	Use and access	• Who has access (why and how much?) • Bottlenecks (no access, why?) • Reliability? • Use of different sources for what? • Knowledge on rights and responsibilities (Household, village and external)	• Social map and well-being ranking • Household interviews
	Livelihoods (activities and categories)	• Productive uses of water? • Time spent collecting water? • Vulnerability/threat (i.e. donations for diesel?) • History/change? • Do water use vary across the different categories, why (also look at rights issues) • Innovative ideas from the community • Health	• Wellbeing ranking • Household interviews • Daily activity charts • Timelines • Matrix
Wider environment (national, regional, district etc.)	Policy regarding water	• How does Utah and water feature in IDPs • WSDP and what it says about plans for water for Utah	Stakeholder analysis workshop topic

(OVERLEAF) Matrix Summarising Participatory Tools Used in Assessment

Level	Information Needed	Participatory Tools	Special Usefulness Of This Tool	Logic/ Sequencing / 'Tips'	Key Activity	Materials/ Preparation
Community	- Infrastructure - Demographics - Use and access to services, resources, facilities - Economics & Livelihoods - Social networks & dynamics - Institutions & structures - Environment	**Mapping**	Good for profiling who/what is there	- Good early on - Have strategies to get round dominant figures	Draw a map of the village, showing the main features	- Brown sheet of paper, pens (Or use natural materials -ground, sticks, stones, etc.) - Probing questions
		Timeline, (or seasonal calendar, time trends)	- Events - Dynamics	Bring focus from broad on to themes being researched	Write in columns the year and major events	- Brown sheet of paper - Pens - Probing questions
		Income and expenditure tree	Relative amounts of Income & expenditure	Use after initial relationship with PRA team is established	Draw a tree with roots (income) and branches (expenditure); size shows amount	- Brown sheet of paper - Pens - Probing questions
		Matrices	Data gathering on focus themes	- Easy to lose people and/or focus - Frame instructions carefully - Help the group get started, then leave them	Draw columns and rows for the related themes or aspects to be explored, and fill in the boxes to show how these relate	- Brown sheet of paper - Pens - Probing questions
		Daily activity chart	Who's doing what, using how much time	Probing questions can be important as people often don't 'see' their own situation	Get each sub-group (e.g. women, girls, men, boys) to write a column with the time and the activity done at that time for each day	- Brown sheet of paper - Pens - Probing questions
Inter-household	- Use and access to services, resources, facilities - Livelihoods - Vulnerability	**Social map**	- Understand differentiation, vulnerability - Use for wellbeing ranking - Explore opportunities?	Follows from 'community' level tools, where relevant sections of community have been identified, etc.	- Divide participants into 'sections' - Draw outline of roads, boundaries of the village, main village buildings or natural features - Draw households, before filling in the information from the key for each h/h	- Sections identified - 'Key' for social map: variables with key, e.g. FH=Female headed - Brown sheet of paper - Pens - Probing questions
		Well-being ranking	- Understand how the people themselves understand well-being and status - Identify more vulnerable households	Follows from social map: uses names of households from the social map	- Add new names if necessary - Sort cards/households into 'like' piles (3 to 4) - 'Name' piles - Identify together characteristics of each category	- Names of h/h heads on cards - Indicators of wellbeing on cards - Brown sheet of paper - Pens

		Household interviews	- Detailed profile of household members, assets, activities, livelihood strategies and vulnerabilities	- Coverage: approx 10% of households
				- Target h/has based on:
				  - volunteers from well-being ranking
				  - sections of community
				  - well-being ranking
					- Interview and observation of physical structures and assets	- Household semi-structured interview cover page and questions
						- Pens and notepads

Description in detail of tools

Three Different Kinds Of Mapping
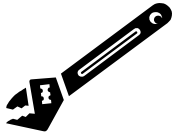
Community Mapping

Summary

Mapping is a very powerful and effective tool to help people explain their community situation, identify problems and available resources. Having a group of people working on a map together stimulates discussion. Having men and women/ better off and poor make maps in separate groups will bring to the fore what these various groups consider to be important and reflects their frame of reference. A shared analysis of the maps with those who produced them creates consensus and provides an excellent opportunity for further discussion. If you are curious and ask questions, a map can be explored to its fullest extent. If various maps have been made by different groups of people, you will have to ensure a proper exchange about the results and possible discrepancies are incorporated in the discussion.

Objective

- To gather information about a community
- To help community members realise the resources they have available
- To help community members realise that different groups in their community may have different perceptions.

Procedure and materials needed

- Tell people that you would like to get more insight in their community and that you would like to obtain this by asking them to draw a map of their village, indicating houses, roads, schools, farm land, water sources and the like.
- Explain that you would like everyone to have an input in drawing the map.
- Explain the use of materials, either local or brought along from the office. Although maps can be made using flipcharts and markers, a more exciting way is asking community members to use all kinds of material they can find in and around the house, like corn or corn flower, apricot nuts, leaves and branches. The use of local materials also increases the chance that community members will use this tool again among themselves.
- Give people ample time and opportunity to draw the map they want and take care not to guide them.
- Discuss the results by asking the group to explain what they have drawn. Where there are several drawings, highlight similarities and differences. Ask why they think differences occur.
- If the map was made on the ground, using local materials, transcribe it on a piece of paper for future reference.

Hints

- A mapping exercise can also be given a narrower focus than the general mapping exercise, for example by specifically mapping the water supply system or a water point. The information can then be used to fill out a data sheet. In this case the mapping may be carried out by those knowledgeable about the water supply system or using that specific water point.
- In larger communities it may be useful to have maps made at the neighbourhood level.
- One of the requirements of drawing a map is to create informality within the group and to give minimum instruction to the participants. This helps the participants to use their own ideas of how to draw a map to present information. Allowing them to locate their own house on the map usually increases people's interest in making the map a good one.
- A strong point of the tool is that it helps to build self-esteem and confidence and thus the interest and participation of members.

Community mapping should be carried out early in the process, and the map should then be used as a tool for future exercises. It serves as a common reference point – as things develop they can be added, and extra information about items on the map can be identified as the process moves ahead.
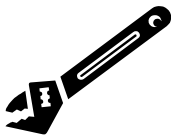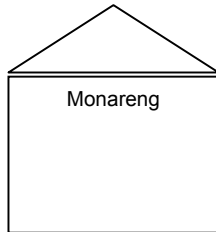
Social Mapping

Purpose

- To gather socio-economic information about the households of a village by having people create their own map
- To understand the differences between households in the selected section(s) of the village, covering about 50 households per section
- To begin to identify which households are more vulnerable than others
- The Social Map is also used to provide information and names of households which are used for the well-being ranking.

Procedures

- Explain the purpose and procedure of the exercise.
- Divide participants into groups based on those who live in a particular section of the village (e.g. two sections)
- Each group finds a cleared, flat area where the drawing can be done on the ground or on the large sheet of paper.
- Encourage the participants to select amongst themselves people who know their section well and can facilitate the drawing of the social map.
- Each group aims to cover about 50 to 60 households in its section.
- First draw the main characteristics and 'beacons' of the relevant section of the village: the roads, boundaries of the village, main village buildings or natural features.

- Then draw the households of that section of the village, using a simple symbol for a house, e.g.

Monareng

- Then fill in the household names
- Then fill in the information using the symbols from the prepared social map key for each household, but also allowing space for participants to explore and add any aspects or issues they see as relevant or significant.
- Probe issues that emerge.
- Ask the participants to 'sign' the map, putting their names on the side. This will help to recognise and acknowledge their input.
- Thank the participants and close.

Tips for Facilitators
- Younger and more educated villagers are often good at drawing maps, because of their conceptual and writing skills and their knowledge of the village. They can help older people write in their information.
- Draw the households big enough with enough space in between them to put in the information about each household based on the social map key.
- After drawing the households on the map, start with the household names; if there are many with the same surname, put the first name of the head of the household to distinguish it from the others.
- The map should be accurate in showing who lives next door to whom.
- After getting the names of each household, go through systematically and in sequence, with one or more scribes and sub-groups that can get the symbols down very quickly.
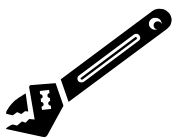
Future Mapping for Visioning
Summary

This tool resembles Community Mapping. The difference is however, that when drawing a map of the community, the participants do not show reality, but how they would like their community to be. It is a good tool to have community members discuss their "dream village" and to develop a common vision. You can stimulate people to deal with all aspects in the community or to focus their dream on the water and sanitation situation in the community.
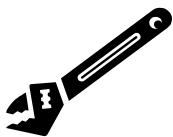
Objective
- To get a view of what people consider the most ideal situation with regards to water supply.
- To help communities realise that they do or do not have a common vision.
- To create commitment towards bringing about improvements.

Procedure and materials needed
- If you have a community map already, work from a copy of that.
- Tell people that you would like to know what they consider to be a wonderful village, including with relation to water supply and water use.
- Explain that you would like everyone to have an input in drawing the map.
- Stress that you would like them to make a map that depicts the "village of their dreams", not as it is now. Think of ten years from now!
- Ask them to first take a few minutes to dream and talk about it, whereby they also dream about their community in relation to the surrounding area. To facilitate the dreaming you may ask questions such as:
    - If you were allowed to rebuild your community, what would you do, what would it look like?
    - In what kind of community would you want your children to grow up?
    - What kind of improvements would you like to see that solve existing problems?
- Give people ample time and opportunity to draw their dream and take care not to guide them.
- Discuss the results by asking the group(s) to explain what they have drawn and list the major differences with the community as it is now. If the tool has been used with various smaller groups, compare the results and discuss the differences and similarities.
- The participants should reach agreement on the visioning future map.
- Ask the participants, why are they not in the future situation and what is blocking them from getting there. Record the participants' comments on blockages.
- The next step is to let the community indicate (marking) the blockages that are within their control and those that are not, as the basis for planning.

# Other Tools

Time Line
Objective
To create a visual record of major events and attach approximate dates to each event, in a given context, including but not focusing exclusively on the themes being researched (e.g. water and livelihoods).

Procedures
- Tell the group you are interested in learning about important events in their village, especially relating to the themes being explored.
- It may be necessary to probe with questions to get the group going: e.g. "When did people first settle here?", "Was there ever a drought here?"
- Once the group gets started, don't interrupt or interfere.
- If there is domination of one group by another, split the group and ask each group to do its own timeline.
- Follow up with probing questions: bring the focus from broad to the themes being researched.

Here are the probing questions that the SWELL Timeline group formulated:

1. What are major events in your village from 1990 to date?
2. What are major events related to water in your village?
3. How is water distributed?
4. How and where do you collect water?
5. Have you encountered any problems and what are the resolutions?
6. What are the uses of water for productive activities?
7. How is the water system managed?
8. What improvement took place overtime and by whom?
9. What are people's perceptions of water supply?
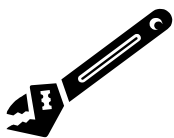
Well-being Ranking

Purpose
- To identify categories of households having better or worse levels of well-being

Procedures
- Have prepared beforehand the names of households on written cards, taken from the social maps, and also written on cards the indicators of well-being, e.g. income source, land and its use, livestock, education and skills, health, food type and frequency, transport, clothing, housing, and fuel type used.
- Explain to all participants the purpose and procedure of the exercise, emphasising that this is an exercise to understand how people are surviving and coping (avoid saying "rich" and "poor").
- Divide the participants into the groups that the social maps were done in.

- Get to a suitable space, and try to make sure that people are seated to allow all to participate as fully as possible.
- Recap on the purpose of the exercise in the smaller groups.
- Explain that the research team has copied the household names from the social map onto cards. Give participants a chance to add first names onto the cards if these are needed, and to add names of households not written if necessary.
- Ask the participants to sort the cards into three or four piles of similar households, by asking "If you look at these households, which are similar?"
- Ask the participants to give a 'name' to each pile, preferably writing on a card in the first language of the majority of participants if appropriate. (In the example below the participants chose to name the piles simply as groups 1, 2, 3, and 4.)
- Place the large blank sheet of brown paper on the floor, and place the cards with the categories identified by the group along the top. Draw lines down to form a table.
- Starting with the first indicator of well-being, put the card for this indicator on the left of the brown sheet, and ask the participants to identify the characteristics of each category of well-being for this indicator.
- Continue until all the indicators are described for each category.
- Probe as you go along.
- Before thanking and closing, make appointments for household interviews of the required number from each well-being category.

Example: *Well-being Ranking: Utah Main Section*

Indicators	Group 4	Group 3	Group 2	Group 1
Income sources	Pensioners	Public servants Game lodge workers	Unemployed child grant	Employed Small business
Livestock	goats cattle, pigs & poultry	Cattle, goats, pigs, & chickens	Some have cattle or goats	Cattle, goats and chickens
Land & uses	Farming fields	Farming fields	Farming fields	Farming fields
Houses	RDP, Mud & ordinary houses	Cement blocks	RDP & mud	Cement blocks
Education & skills	0-2	Matric, Diploma, Certificate of competence, brick making	Matric, JC & diplomas	Matric, Certificates of competence
Food types & frequency	Soap, milk, beans, cabbage, chicken, guxe, nkaka, mbangala & porridge	red meat, rice, tea with milk, soap, macaroni, cakes, milk & white bread	Beans, soap, head & feet, peanut butter, Mealie meal, soft porridge, sugar, fish oil & tea	Red meat, porridge, rice, bread, milk, porridge, chicken & white meat
Health	Some have chronic disease, terminally ill and sound health	Chronic diseases, asthma, TB, & some have sound health	Chronic diseases, Sound health	Chronic diseases, TB and sound health

Clothing	Traditional dresses	Western expensive dresses	Mixed western & traditional	Western expensive dressing
Fuel type	Wood, paraffin & candles	Wood, paraffin and candles	Wood, paraffin and candles	Wood, paraffin and candles
Transport	Bus, taxi, bicycle	bus, taxi, own cars & bicycles	Bus, taxi and bicycle	Private cars

Tips for Facilitators
- Note that well-being ranking can be sensitive. People may not feel comfortable sharing information which puts them in a position of low status openly. Avoid using the words "rich" and "poor".
- Avoid categorising households based on religion or language, rather focus on livelihoods, how people are surviving. If asked on what basis the categorising is being done, say it's based on "those who are living in a similar way".
- Use people's own words, and avoid getting into discussion on how to define the different categories.
- Avoid personalising.
- Recorders make notes on the basis that people are using to differentiate different categories of households.
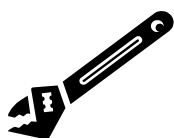
The livelihoods wheel and threatening and improving factors matrix

Summary
This tool can be adapted for use for different situations. In the Village Synthesis we introduced the livelihoods wheel, then asked villagers to put themselves into three well-being groups, and to identify factors from their experience. In contrast to this, in the Stakeholders Synthesis we started by giving stakeholders interview outcomes to read, and then to identify factors, and then to consider them in the light of the livelihoods wheel. So the order of use must be appropriate to the situation, and whether it is to for people to analyse their own situation, or for outsiders to understand and analyse the villagers' situation.
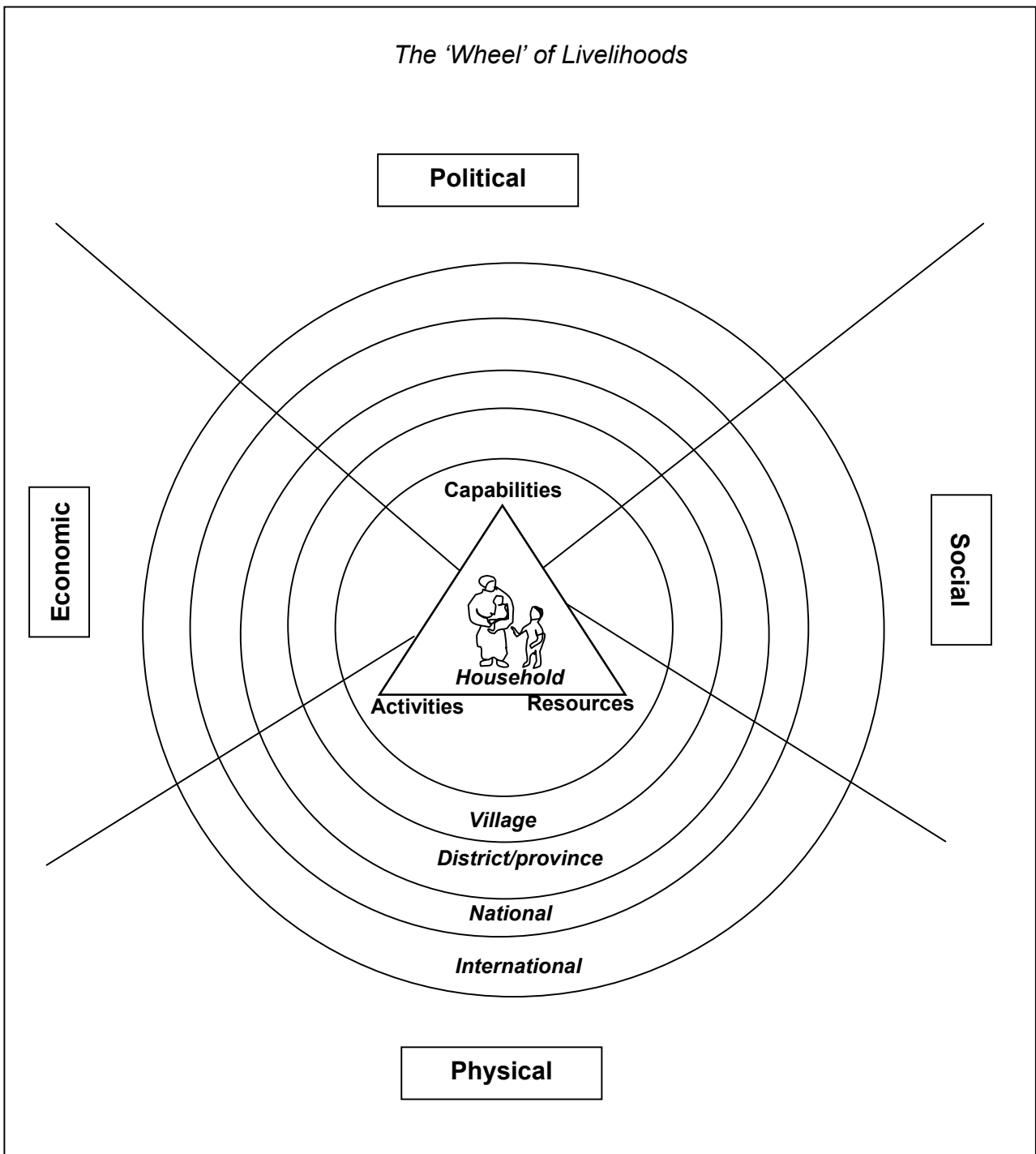
Purpose
To analyse some trends impacting on livelihoods as the basis for planning

The livelihood wheel
This is presented to participants, as it offers them a way to think about and analyse their experiences/ the information they are receiving (see overleaf).

The participants are divided into three groups according to the household categories (in Utah we ended up agreeing on three: worst off, in between, better off). In their groups, they identify factors that improve the household livelihoods and those that threaten the household livelihoods.

The 'Wheel' of Livelihoods

Political

Economic

Social

Capabilities

Household

Activities   Resources

Village

District/province

National

International

Physical

In the village: Ask those who can read to assist those who cannot read to be sure that every participant is on board. Each group is handed cards and pens to write down their ideas. Remind them that one idea goes on one card. They choose the scriber and the reporter within the groups.

In the stakeholder group: each group was given a set of interview sheets to read through together, and from those they were to identify the factors as requested.

For a plenary session the facilitator develops a simple matrix with two columns with the headings:
- Threatening factors
- Improving factors

As the cards are brought up by the participants, the facilitator helps to sort them into themes, which then become the other axis of the matrix. Thus a matrix is formed that may look like this:

	Threatening factors	**Improving factors**
Economic/Business	- The payment towards diesel - Ploughing field washed away	- Development is improving - Salary from chicken project - Chicken project.
Political/Institutional	- Lack of development skills - Pumping for more than 12 hours - People who does not have money are not allowed to get water	- Good management of water - Training of people
Social/Cultural	- Diesel finishes before expected date - Health & hygiene, many h/h with people having chronic illness	- Community network - Social activities are taking place

The facilitator sees that there is discussion to agree on issues and to ensure all are clear.

Participants are then each given 4 coloured stickers (in the village men and women were given different colours) and asked (in plenary session) to place their stickers on the factors that they think have the biggest effect on the people's household livelihoods. They can place more than one sticker on one factor/issue. It is important to pair participants for this exercise – let them discuss with each other before placing stickers. Note – they don't have to agree on where they place stickers.

Tips
- Use symbols as well as words on cards in the village.
- Keep reminding stakeholders to work from what they are reading (i.e. the villagers' realities) and not just their own ideas.
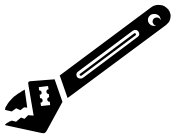
Income and expenditure tree

Purpose
To understand major sources of income and expenditure, and relate these to water.

Procedures
The participants are asked to draw a winter tree with roots and branches. They indicate on the roots where their income comes from, while on the branches they indicate the typical expenditures of households in this village. Each item is written and drawn onto a card.

Participants identify income-generating activities that require water, and mark these activities. They identify the activities that required larger amounts of water and mark them with another sticker or coloured marking pen.

The participants identify the expenditures that are the most costly in their budgets.

Villagers indicate other income generating activities they could do if they had more access to water.

A discussion is then held on what else would be needed to take up these activities, apart from water.

Shocks and stresses: The participants are asked how they cope when something unexpected happens (e.g. illness, death) in their family.

Hints
▪ Pick up on any hot issues that emerge, or ones the facilitator can see will have importance, and use these as an opportunity for collective discussion.
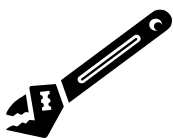
Matrix of community structures and their roles

Purpose
To look at the roles and functioning of village structures in relation to water broadly

Procedure
Introduce the exercise explaining that we want to consider this very broadly and not assume that the water committee is the only one that is relevant to water, as others may be affected by or have something to contribute.

Draw up a matrix indicating the main structures dealing with water in the community on the one axis, and tasks relating to water on the other axis. Go

across and fill in the squares to indicate which structure has, or could have, a role in each task.

Example from Utah:

Role-players → Tasks ↓	Induna Bandla	CDF	Care group	Water Committee	DWAF	AGRIC
Reporting water problems	✓			✓		
Pump operation					✓	
Pump Maintenance					✓	
Money collection				✓	✓	
Recording				✓		
Dispute resolution	✓	✓		✓		
Decision making	✓	✓		✓		
Diesel control	✓			✓		
Training	✓		✓	✓		

Use this matrix as a basis for discussions on structures; their functioning and relationships; and reasons for how things work, or do not.

Probing questions for the task and role players group
▪ What are the existing structures within the village?
▪ How was the water committee formed?
▪ How are the structures related to each other?
▪ Who collect diesel and how?
▪ How do you control your diesel?
▪ How are the refugees co-opted onto structures in your village?
▪ Are all sub-groups in the village adequately represented?
▪ How well are the people in these structures able to carry out their roles?
▪ Have people in these structures had any training to carry out their roles?
▪ Have there been any conflicts in the village related to water?
▪ How did the structures deal with the conflict issues?
▪ Who collect the money for diesel and how?
▪ Is the recorder of payment or treasurer paid for the task?
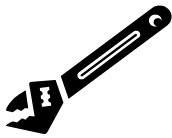
Uses, users and sources of water table

Purpose
To consider and understand current water sources and uses in the village, as the basis for more holistic planning of future uses and sources development

Procedures
Introduce and explain the exercise and its purpose

Draw up a matrix and have the group discuss and fill in the matrix. First brainstorm all the uses to fill up the first column, then work along each use.

Example

Uses	Sources	Users	Quantity of water
Reproductive use			
Cooking	Borehole Fountain/stream Rainwater	Mothers, girls, sometimes boys, single men	25 l
Bathing		All in household	75 l
Drinking		All in household	25 l
Irrigation	Recycled water	All in household	Depending on size of garden
Washing	Rain water and stream	Mothers and girls and school boys	75 l
Livestock drinking	Borehole	Women collect and father give to livestock	150 l to 300 l Cattle need a lot of water
Household cleaning		Mothers and girls and sometimes boys	20 l
Building		Fathers and sons	630 l
Brick making for building		Fathers and sons	800 l
Productive use			
Small vegetable gardens	Recycle after washing dishes	Mothers	75 liters per day
Traditional beer making	Pipe		420 liters
Cooking porridge to sell at market			10 liters
Chicken project			Lot of water
Community garden			
Traditional healers		Women	75 liters

E15

Probing questions for the sources and uses of water group
- How reliable are sources of water in Utah?
- What other alternative sources of water do you use?
- Are there certain groups of people in the community who don't have equal access to water?
- Who are they, and why do they not have access?
- What do you use water for?
- Do you have enough water for domestic use?
- What do you do when you don't have enough water?
- Do you have enough water for animals, for gardening?
- What do you do if you do not have enough water?
- Who owns the different water sources?
- What other activities could you do if you have enough water?
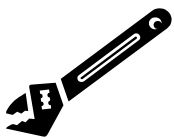
Activity profile: who does what in the community?

Summary

Information about certain activities, such as water management at the household level, is best collected from those who are most involved in these activities. Making an activity profile with people from various groups in a community will provide this insight. These profiles can be made with people individually, but can also be done within small groups. You have to make sure that the differences in time spent on each activity, as indicated by the people participating in the exercise, are discussed. These differences should also appear in a visual overview to be made as part of the exercise. Information obtained through activity profiles also helps to make plans more realistic.

Objective
- To gather information that helps to ensure that the right people are approached when starting to identify problems and potential solutions.
- To ensure that planning can be done in such a way that key-persons can participate.
- To help select the best persons for the tasks at hand.

Procedure and materials needed
- Put up a large piece of wall paper.
- Form small, homogeneous groups (men, women, boys, girls) and ask those groups to list down all kind of activities they do on an average day.
- Ask them to write or depict these activities on separate cards and to paste them on a piece of wallpaper or newsprint in the most logic order.
- Indicate behind each of the activities how often they are performed during the day.

- Ask the groups to present the result of their work to the other groups and allow discussion about it.
- While discussing the results, ask whether there are major seasonal variations in activity patterns and note these down.
- Ask what are the possible implications of these activity patterns in view of further community support.

Hints

Given the usual labour division between men and women, activity profiles should be made with both sexes separately. Boys and girls also have different roles in society. They may have tasks in agricultural production and household chores, including water supply provision for the household and possibly in water supply management. Making activity profiles with them recognises their roles.

It may be useful to do a similar exercise with people who have a special role in the community with relation to the water supply system, such as the caretaker.

Possible activities

Home maintenance	fetching water, cooking, fetching firewood, building latrine, well construction, looking after children, sewing, sweeping….
Economic activities	land preparation, planting/weeding, harvesting, livestock rearing, hoeing a garden, waving weaving, selling products at the market place….
Social activities	Community meetings, social events, church attendance, visiting neighbours, leading meetings….
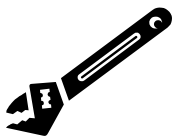
Analysing prioritised problems

Purpose

Once problems are identified the group needs to go deeper to consider what underlying problems are and how problems are linked, as the basis for developing interventions that will make a positive impact.
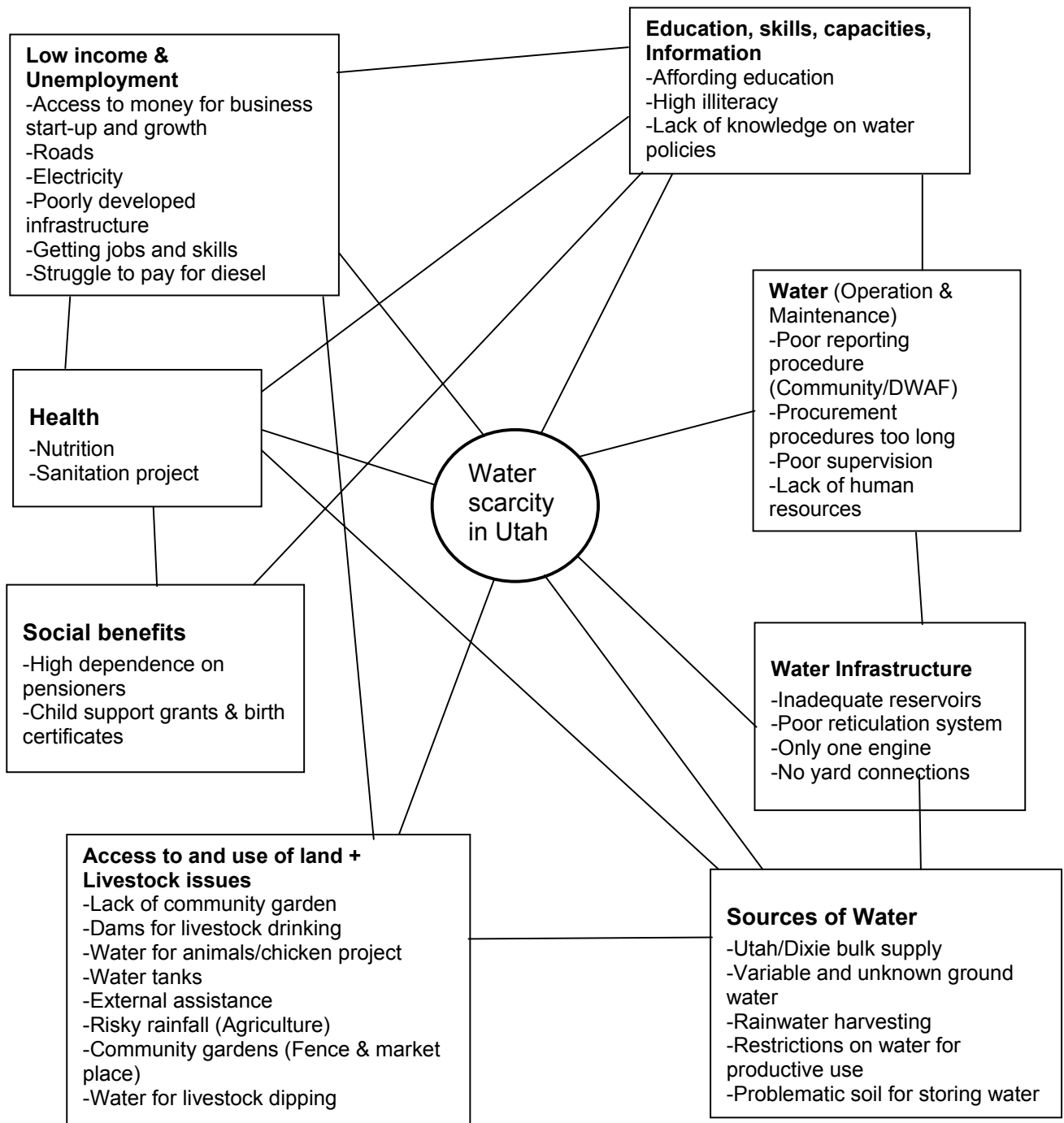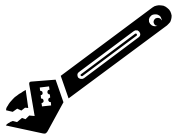
Procedures

Participants are grouped in smaller groups, and each is given an identified priority problem area and asked to agree on the underlying problems for that problem area/issue and write these on a flipchart. Each group should be given the cards from the clusters of problems from the matrix that identified priority problem areas. The groups are also requested to indicate who in the community is most affected by these problems.

The facilitator works overnight and presents the main problem areas with its underlying problems on cards. The cards are displayed on a large chart on the ground. Participants are then invited to rearrange the problems, and to take string and link problems that have relationships with each other. This exercise is

completed in plenary and participants explore all the links between different problems and problem areas.

This linkage diagram now provides a framework for planning in the sense that people can see that if an intervention is made at a certain entry point it could (provided there is co-operation with other organisations) also have an impact on other problem areas.

Low income & Unemployment
-Access to money for business start-up and growth
-Roads
-Electricity
-Poorly developed infrastructure
-Getting jobs and skills
-Struggle to pay for diesel

Education, skills, capacities, Information
-Affording education
-High illiteracy
-Lack of knowledge on water policies

Health
-Nutrition
-Sanitation project

Water (Operation & Maintenance)
-Poor reporting procedure (Community/DWAF)
-Procurement procedures too long
-Poor supervision
-Lack of human resources

Water scarcity in Utah

Social benefits
-High dependence on pensioners
-Child support grants & birth certificates

Water Infrastructure
-Inadequate reservoirs
-Poor reticulation system
-Only one engine
-No yard connections

Access to and use of land + Livestock issues
-Lack of community garden
-Dams for livestock drinking
-Water for animals/chicken project
-Water tanks
-External assistance
-Risky rainfall (Agriculture)
-Community gardens (Fence & market place)
-Water for livestock dipping

Sources of Water
-Utah/Dixie bulk supply
-Variable and unknown ground water
-Rainwater harvesting
-Restrictions on water for productive use
-Problematic soil for storing water

E18

Developing integrated plans

Purpose

To build a picture of different organisations' roles, services, responsibilities and blockages, and to get an idea of what can separately and collectively be taken into action.

Procedure

The facilitator makes a presentation on the rights-based approach to development and how it differs from a problems-based approach. Participants are given the Bill of Human Rights and requested to identify the rights that apply to each problem area. Participants work in groups, each group identifying the applicable rights for one problem area.

For each problem area (water, health, education etc) the same group completes a matrix (see example below), linking the responsibilities of different stakeholders to these problems and rights.

Example

Stakeholder	Responsibility
Community	
NGO	
Local Government	
Government Departments	

Then participants are grouped into organisational groups, and given the responsibilities they have been assigned in the previous exercise. They each now develop a new matrix, now focussing on the stakeholders' responsibilities. They are requested to identify the blockages they experience in carrying out these responsibilities.

Once each stakeholder's responsibilities as well as blockages in carrying out these responsibilities have been identified and understood, participants are requested to work in their organisational groups and prepare a presentation about their organisation indicating the following:

- Staff, expertise, geographical area, and services they deliver
- What other units/sections in their Department/Organisation could potentially contribute
- Some of their immediate plans.

General Notes for facilitators

Various tools are described above. To use the tools effectively requires:
- An effective design of the process (what are seeking to achieve, what do we need to know, which tools to use and in what order)
- An understanding of the tools
- Proper use of the tool – i.e. facilitation of the process

Participatory tools are designed to facilitate easier sharing of information in a group. But in order to get the information out of the exercise needed, it is helpful to have prepared a set of probing questions to be used, with discretion, during the exercise or for a follow up group discussion after the exercise. In our preparation for Utah the following reminder was given to emphasise this point:
> "The **tool** is married to a woman called **Questions**."

Team Member Roles

These guidelines were given for the three key team member roles in using the tools in the village:

1. **Facilitator**:
   a. Ensure the team has all information, stationery, questions, etc. ready and available
   b. Make sure people are comfortable
   c. Be clear of the steps of the tool
   d. Try to bring the group to life, drawing out wherever there is energy in the group (this is the skill of animation)
   e. Keep all involved as actively as possible; stop and re-arrange the way people are standing or sitting if this is excluding some.
   f. Attend to procedure (starting, talking one at a time, ending within the agreed time), content (see that the information you are looking for is coming out), and process (keeping people participating and energetic).

2. **Content Recorder**:
   a. Capture **ALL** points of information provided, in discussion or in writing or other communication.
   b. Get the information from the visual records produced by the participants (these are usually left with the groups, or returned if taken for recording and analysis by the action research team)
   c. Record names of participants and the PRA team members, the community, date, area, and time taken for the process.
   d. 'Write down every single thing!'

3. **Process Observer**:
   a. Note who is doing the talking, and who is not talking or silent

    b. Note non-verbal communication and indications (body language, facial expression)
    c. Support the facilitator as appropriate
    d. Take notes on the process observations, for sharing during debriefing

Notes for Fieldwork: Attitudes and Behaviours

Attitudes
- Remember, "Life is not a problem to be solved, it is a mystery to be explored."
- Don't make assumptions about a situation: allow space for new and/or unexpected issues to be voiced
- Pay attention to introductions:
  - Who you are
  - Where you are from
  - The process to get to this point
  - The expected outcomes and way forward
- Observe local protocols, customs and traditions
  - Start with a prayer if appropriate
  - If the participants prefer the research team to be seated on chairs while participants are sitting on the ground, change this gradually to get all on the same level as you go.
- "Hand over the pen (stick)": Get local participants to give background and content
- Have a positive closing and goodbye: share how the experience was, clarify the next steps, and show appreciation
- Minimise the disruption by the research team
- Be respectful and humble: listen, watch, give full attention, and avoid showing off your knowledge

Behaviours
- Use symbols instead of written words wherever appropriate
- Use probing questions
- Watch for dominating people: if they persist in dominating, create an alternative way of drawing on the 'special' information available from such people, through one of the research team taking them out of the group
- Separate participants into social groups if groups have different perspectives and any groups' freedom and ease of sharing is restricted by being together with the other group(s): e.g. males and females; age groups; refugees living in the village
- Don't rush!
- Find the poor and vulnerable, and learn with and from them

- Prepare and plan, but be flexible
- Learn from the people
- Promote a fun, easy atmosphere

Workshop Outlines

Below are the outlines and programmes for some of the workshops run as part of the SWELL process. These are included as examples for others to consider, not as recipes for set processes.

STAKEHOLDERS ORIENTATION WORKSHOP

Welcome and Introductions
Objectives
Inputs

- Water and Livelihoods concepts
- History of WHIRL
- Background on WaLPP
- What WaLPP seeks to achieve
- Progress to date

Questions and Answers

Tea

Group Work: Exploring Organizations and current interest in and practice regarding water and livelihoods
Report back
Input: Road Map of WaLPP

Lunch

Group Work: Areas of interest and Participation Matrix
Report back

Tea

Next Steps and Closure

WORKSHOP PROGRAMME AT UTAH FOR VILLAGE SYNTHESIS

DAY ONE

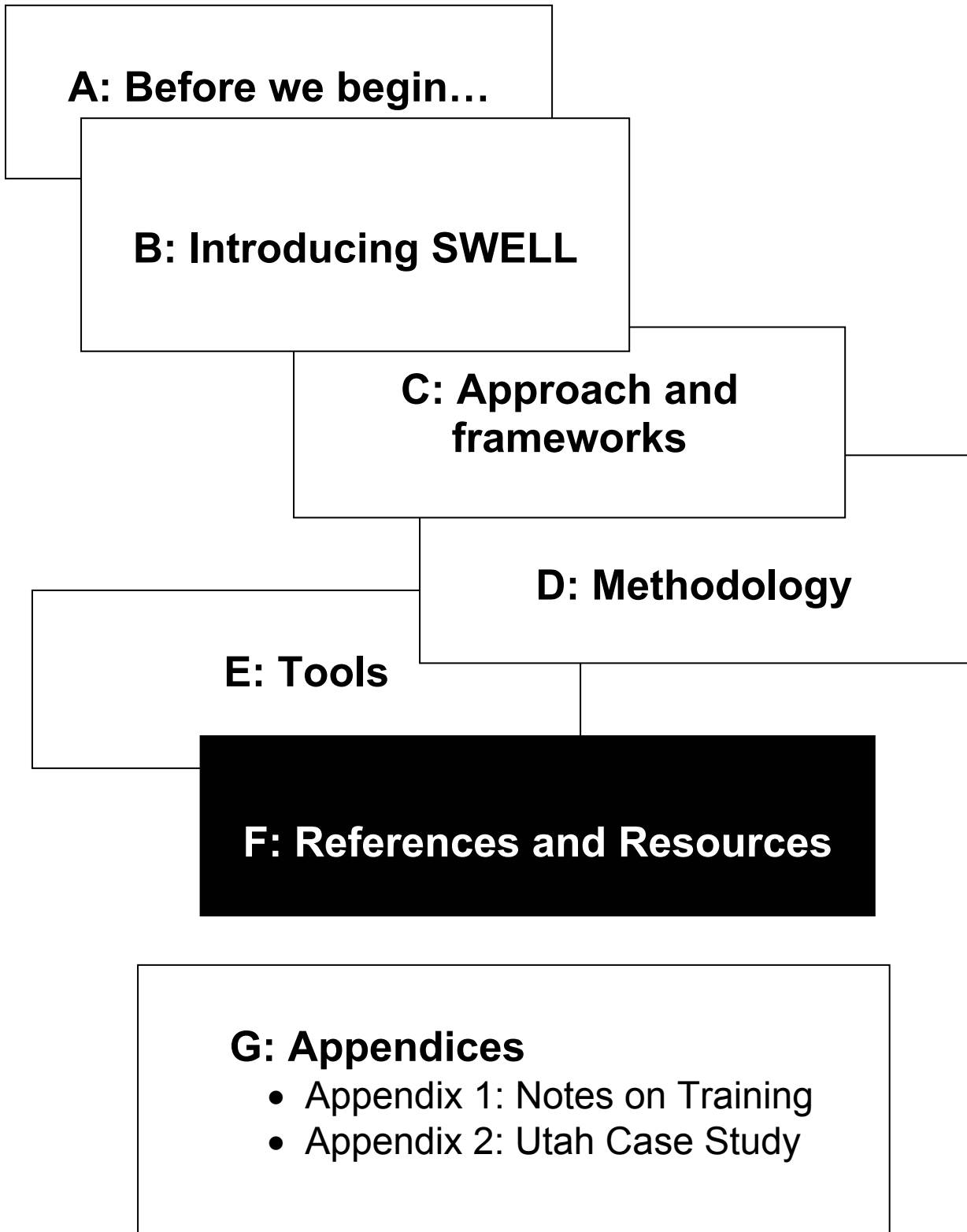| SESSION	WHAT	HOW
Session 1 (09h00 – 11h00)	- Welcome - Introductions - Expectations and Objectives - Present information from the VWLSA in wheel format (1 hour) and well-being ranking - Identify threatening and improving factors for each hh category	Identifying threatening and improving factors for each category: - Divide participants into 3-4 groups according to hh categories (each group handles a category) - Ask participants to look at the wheel and well-being ranking and identify factors that threaten and improve those hh's livelihood for their category. Write these factors on cards - Facilitators draw matrix - Ask participants to present their cards and place it on the matrix (Start to form a pattern for similar factors) - Plenary session- reflect on matrix and discuss/cross check
Break		
Session 2	- Feedback on factors - Identifying the things that have a big effect on people of Utah (stickers) - Identify key areas with the group - Formulate problem statements around key areas	Things that have an effect: - Give each participant 4 stickers (men and women different colours) and ask them (in plenary session) to place their stickers on the factors that they think have the biggest effect on the people of Utah. They can place more than one sticker on one factor/issue. Pair participants for this exercise – let them discuss with each other before placing stickers. Note – they don't have to agree on where they place + use symbols on cards. - Count stickers in plenary with the group and identify key areas. Name key areas. Check for water. - During lunch hour – Sipho and Jethro to formulate problem statements around the 4 top priority issues that came out.
Lunch		
Session 3	Cause and Effect tree: Explain and do	- Divide participants into 4 groups according to the problem statements. - Demonstrate cause and effect tree in plenary (if why for causes, then what for effects) - Groupwork – participants complete trees and present plenary.

DAY TWO

SESSION	WHAT	HOW
Session 1	Fact sheets – link to problems Visioning – present and future maps	• Linking sentence: mention to participants that have now looked at problems in Utah, also have to start looking at solutions for these problems, specifically in water sector, but before that we have to look at some opportunities. • Fact sheets: Short presentation on fact sheets and gallery walk in pairs. (Point out that we become more vulnerable when we rely on one source of income and also when we rely on one source of water, what else can we do as a village, but also as hh's to increase our ability to be more resilient). Ask participants to identify potential technologies that could be used in Utah and why do they say so, compare to what is already used. Plenary discussion – jot down main ideas on flipchart. • Visioning exercise – present and future maps: Present basic maps (blown up) to the group. Divide group into two, one group will work on present map and one on future map. Ask the present mapping group to check the map for detail that might be left out and fill it in, specifically the water situation, but also reflecting the other problem areas (from cause and effect trees). Ask future group, bearing in mind what they have seen from fact sheets to visualize how Utah can realistically look in 10 years, with specific reference to the 4 areas. Let them complete the map
Session 2	Continue visioning exercise + discussion Identify blockages (Why are we not in the future situation?)	In plenary, present the two maps and ask the group: Why are we not in the future situation? What is preventing or blocking us from getting there. Write these blockages on cards. (keep in mind rights and responsibilities) Keep in mind hh and village level when visualizing. Identify blockages that are within their control or not – indicate on card.
Lunch		
Session 3	Complete blockage exercise Discussion and preparation for synthesis workshop, logistics, presentations, etc. Way forward in the community Closure	Input on synthesis workshop: • Questions/issues they want to take forward to the synthesis. • What do they want to take to away from synthesis/what do they want to achieve? • Who is coming – decide on representatives • Presentations to prepare by village group: Factors that had a big impact, cause and effect trees, two maps and blockages. • Discuss how will they report back to the community. • Closure and logistical arrangements for synthesis.

STAKEHOLDER SYNTHESIS WORKSHOP - BROAD PROGRAMME

DAY	ACTIVITY
DAY ONE	Introductory session Update on WaLPP Livelihoods Approach and Framework Threatening and Improving factors to Livelihoods: Household Level
DAY TWO	Threatening and Improving factors to Livelihoods: Household level (Continue) Threatening and Improving factors to Livelihoods: Community Level Identifying and prioritising problem areas in Utah Underlying problems and causes
DAY THREE	Problem Areas: Linkage diagram Rights Based Approach: Input Identification of Rights Rights and Responsibilities
DAY FOUR	Rights and Responsibilities continue Blockages to performing responsibilities Organisational Presentations
DAY FIVE	Organisational Presentations – continue Identification of potential interventions and partnerships Planning and way forward Reflection on the methodology used in the water and livelihoods process in Utah Wrap-up and Evaluation

F: References and Resources

A: Before we begin…

B: Introducing SWELL

C: Approach and frameworks

D: Methodology

E: Tools

F: References and Resources

G: Appendices
- Appendix 1: Notes on Training
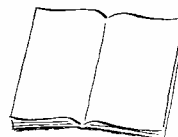- Appendix 2: Utah Case Study

References and Resources

Two kinds of resources are discussed here:

1. **References**: There are three kinds of references:

   - ***Development discussion*** papers,
   - indicated by an icon of a book:

   - ***'How to do it'*** methodological guides
     and tools, indicated by the icon:

   - ***Organisations*** that offer assistance,
     indicated by the icon:

2. **Water Technology Information Sheets:** giving information on
   technical options for getting water.
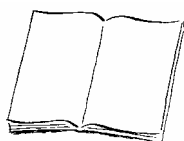
1. References

Sustainable Livelihoods Approach
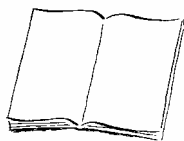
Carney, D. 1999, **Introduction to Sustainable Livelihoods: What Difference can we make?** London, Department for International Development

DFID **Sustainable Livelihoods Guidance Sheets**, livelihoods@dfid.gov.uk

De Satge, R., Holloway, A., Mullins, D., Nchabeleng, L., Ward, P., 2002, **Learning About Livelihoods, Insights from South Africa**. Oxfam.

Available from: Sylvia Prime, Admin Manager
       Disaster Mitigation for Sustainable Livelihoods Programme
       University of Cape Town
       Tel: 27 21 6502987/4115/4116; Fax: 27 21 6891217
   sprime@enviro.uct.ac.za

MIDNET, 2001, **Keeping People at the Centre of Development, A Report on an Introductory Workshop Unpacking Applications in Land reform of Sustainable Livelihoods Approaches**; P.O. Box 101045, Scottsville 3209, midnet@sn.apc.org

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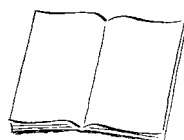
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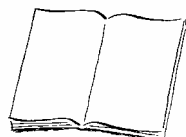
Moriarty, P. (Dr.) (IRC), Butterworth, J. Dr., (NRI), 2003, **The Productive Use of Domestic Water Supplies: How water supplies can play a wider role in livelihood improvement and poverty reduction;** Thematic Overview Paper, IRC International Water & Sanitation Center. Available at www.irc.nl/page.php/256

IRC International Water and Sanitation Centre
Delft, Netherlands; Contact: Patrick Moriarty (Dr.), moriarty@irc.nl

Participatory Planning

Khanya-MRC, 2002, **Community-Based Ward Planning Manual, Draft 1**, www.khanya-mrc.co.za

Other Mangaung Municipality/Khanya **ward planning documents**

Participatory Rapid Appraisal

FAO **Participatory Field Tools; 'A Searchable database of participatory tools, methods and approaches for practitioners', developed or used by FAO**, http://www.livelihoods.org/info/tools/FAOppn.html

Srinivisan, L., 1990, **Tools for Community Participation, A Manual for Training Trainers in Participatory Techniques**, PROWESS/UNDP.

MIDNET, 1993, **Toward Partnership in Development, A Handbook for PRA Practitioners**, P.O. Box 101045, Scottsville 3209, midnet@sn.apc.org

Assessment

Simanowitz, A., and Nkuna, B., 1998, **Participatory Wealth Ranking Operational Manual**, Tshomisano Credit Programme, The Small Enterprise Foundation.

CARE SA, 1999, **Household Livelihood Security Assessment: Generic Fieldwork Methodology**.

2. Water Technology Information Sheets