

**AN ASSESMENT OF THE PARTICIPATORY APPROACHES USED IN  
PARTICIPATORY VILLAGE DEVELOPMENT IN ISSOLATED AREAS PROJECT  
IN CHONGWE DISTRICT, ZAMBIA**

**BY**

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**THE UNIVERSITY OF ZAMBIA**

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**LINDA NALUKUI MOOTO**

**A dissertation submitted to the University of Zambia in partial fulfillment of the  
requirement of the award of the Degree of Master of Education in Adult Education**

**AUTHOR’S DECLARATION**

I Linda Nalukui Mooto do declare that this dissertation represents my own work and that it has neither in any part nor in whole been presented as subject for the award of any degree at this or any other university. Where other people’s work has been used acknowledgements have been made.

Signature of author .....

Date .....

Signature of supervisor .....

Date .....

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## **CERTIFICATE OF APPROVAL**

This dissertation by Linda Nalukui Mooto is approved as partial fulfillment of the requirements for the award of Master of Education in Adult Education of the University of Zambia.

Examiners names and signatures

Name	Signature	Date
1. ....	.....	.....
2. ....	.....	.....
3. ....	.....	.....

## **DEDICATION**

This dissertation is dedicated to my parents; Martin Kalaluka Mooto and Margaret Mabushe Mooto, as well as my two older brothers, Sondo and the late Sitwala. I would also like to dedicate it to my young siblings Wabei, Isiteketo and Namwaka. This dissertation is a tribute to my late brother Sitwala who sat with me on many occasions to make corrections to my work and kept on asking when I was going to finish so he could edit it.

## **ACKNOWLEDGEMENT**

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Above all, I would love to thank my Lord almighty.

## **ABSTRACT**

This study was an assessment of the participatory approaches used in the Participatory Village Development in Isolated Areas (PAVIDIA) project in Chongwe District. The study sought to assess the quality of the participatory approaches used by Japanese International Cooperation Agency in their PAVIDIA project in Chongwe District.

The main objective was to measure the extent to which the approaches used by PAVIDIA were participatory. The specific objectives were: To assess the methods used by PAVIDIA; to find out how participatory the methods used by PAVIDIA were; to assess the approaches used by PAVIDIA; to determine the level of participation in the selection for project participants; to determine the retention of knowledge and skills acquired. The research design used by the study was a descriptive survey that combined the use of quantitative and qualitative processes in collecting data and describing the participatory approaches of PAVIDIA. Data was collected using interviews, observation and group interviews. The data were collected from two categories of people: the project participants and the facilitators. The sample population of the study was 195 project recipients and five extension workers and facilitators.

The study revealed that participation is not easy to measure because it has different meanings and scales of measurement. The level of participation could be interpreted as both high and low depending on the measurement instrument used. When participation was measured in terms of retention of acquired knowledge and skills an indicator of a community that has undergone participation the level was quite high. The level of retention of skills and knowledge was high especially among those participants who were involved in running the project. The study also revealed that those involved in the project remembered almost everything they learnt. It further established that the PAVIDIA approach involved many approaches brought together to form one. A combination of participatory training tools was drawn from participatory rural appraisal, META plan and participatory extension approach. Lastly the study revealed that participation in PAVIDIA is at two levels: programme level on the one hand and process level on the other. At programme level participation is in the form of instructions, the approaches by the program providers and facilitators working together. At process level participation involves the facilitators and project participants, here participatory methods are used.

Arising from the difficulty of assessing the quality of participation, this study concludes that it is possible to have a frame of reference and guidelines for those involved in community development. Secondly it is also necessary to have multi-stakeholders engagement in the research process in order to link it more closely with the overall process of development.



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## ACRONYMS

ADB	Asian Development Bank
CSO	Central Statistical Office
FAO	Food and Agriculture Organisation
JICA	Japanese International Cooperation Agency
MACO	Ministry Of Agriculture and Cooperatives
MP	Micro Project
NGO	Non Governmental Organization
PAR	Participatory Action Research
PAVIDIA	Participatory Village Development In Isolated Areas
PEA	Participatory Extension Approach
PME	Participatory Monitoring Evaluation
PRA	Participatory Rural Appraisal
RRA	Rapid Rural Appraisal
SA	Sustainable Agriculture
SPSS	Statistical Package for Social Scientists
TFT	Training For Transformation
UNDP	United Nations Development Program
UNICEF	United Nations International Children Emergence Fund
UNRISD	United Nations Research Institute for Social Development
VIPP	Visualization In Participatory Processes
VSO	Volunteer Services Organisation
WHO	World Health Organization
ZOPP	Zielorientierte Projekt Planung

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## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Overview**

This chapter begins by giving a brief background to the study on participatory approaches. The history of participatory approaches is explained, followed by an overview of some of the approaches in use today. It then goes on to look at the PAVIDIA Project, briefly giving the location of project sites. The chapter also gives the objective of the study, purpose of the study, statement of the problem, significance of the study, limitation of the study and operational definitions. Lastly, a chapter outline is given.

#### **1.2 Background of the Study**

Participatory approaches are processes through which groups of people and other stakeholders collaboratively learn, influence and share views on their needs and opportunities, and take action required to address their problems. Participatory methods in development co-operation began in the late 1970s with the introduction of a research approach called Rapid Rural Appraisal (RRA). The methods immediately became popular with decision-makers in development agencies. Building on close collaboration with local populations, RRAs were designed to collect first-hand data from local people about perceptions of their environments and living conditions in rural areas. RRAs were usually conducted as 1-3 days workshops with villagers in the field, facilitated by small teams of RRA specialists or researchers. The Rapid Rural Appraisal methods were adapted to respond to local conditions. Thus communication processes with illiterate people not used to communication in abstract terms were carefully considered. Visualisation using locally comprehensible symbols and tools like mapping, diagramming and ranking were introduced. A limitation of RRA, however, was that it was extractive. That is the role of the local people was limited to providing information while the power of decision-making about the use of this information remained in the hands of others. Due to this limitation, RRA was modified and there emerged a variety of participatory approaches. One of these was a participatory methodology called Participatory Rural Appraisal; which is a build up from RRA. Participatory methodologies are supposed to be characterised by

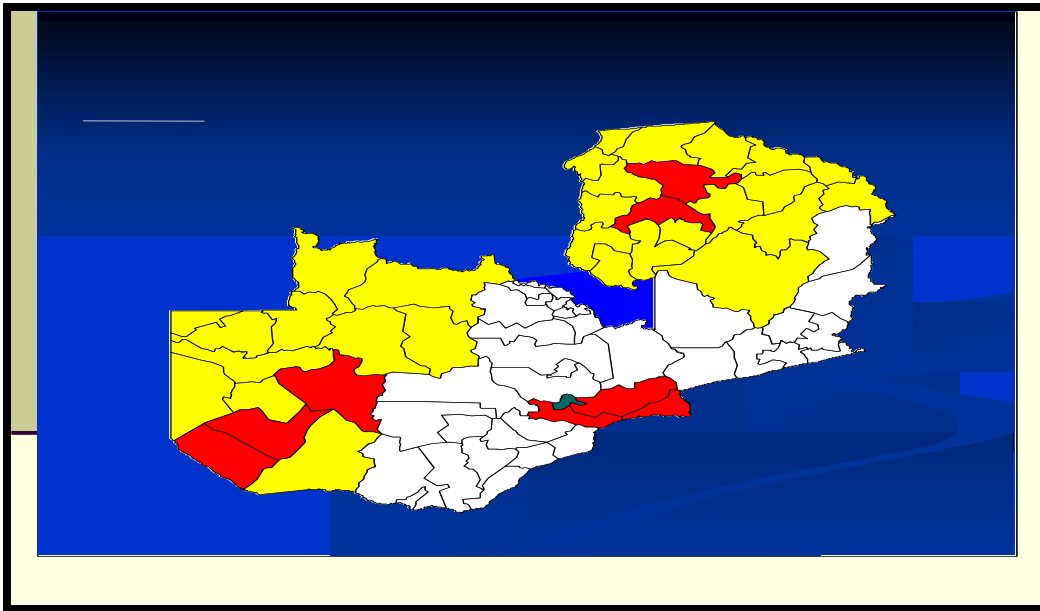


reflectivity and flexibility in contrast to the rigid linear designs of most conventional scientific methods. One of its key strengths is that of exploring local knowledge and perceptions. Some conventional research methodologies require researchers to continually adapt their approaches, learn cumulatively from their informants and use categories or concepts that informants provide them with. One of the characteristics of participatory approaches is the innovative adaptations of methods drawn from conventional research and their use in new contexts, new ways, and often by, as well as with, local people.

Several participatory approaches emerged as a consequence of the need to modify PRA, especially among institutions involved in community and extension work. One approach that developed as a result of this need is the Participatory Village Development in Isolated Areas approach. This is an agriculturally oriented approach that is run in the form of a project with the assistance of the Japanese International Co-operation Agency (JICA). The agency (JICA) is providing technical as well as monetary support to the project. The PAVIDIA project is running in five provinces of Zambia. Despite there being many approaches coming up, the mushrooming of NGOs and various government departments using these approaches, there has been no known study undertaken in Zambia to look at participatory approaches.

The PAVIDIA project uses the participatory approach, while the target group is the village. Development is the main goal and issue of the project, and isolated areas are the target area. Figure one below is a site map showing the areas where the project is running, the different colours depict the levels of isolation and poverty. The red colour symbolises the remotest areas and the rural areas with high levels of poverty. Yellow symbolises moderate levels of poverty and isolation while white is not isolated and has low levels of poverty.

Figure 1: Site Map showing location of PAVIDIA Project



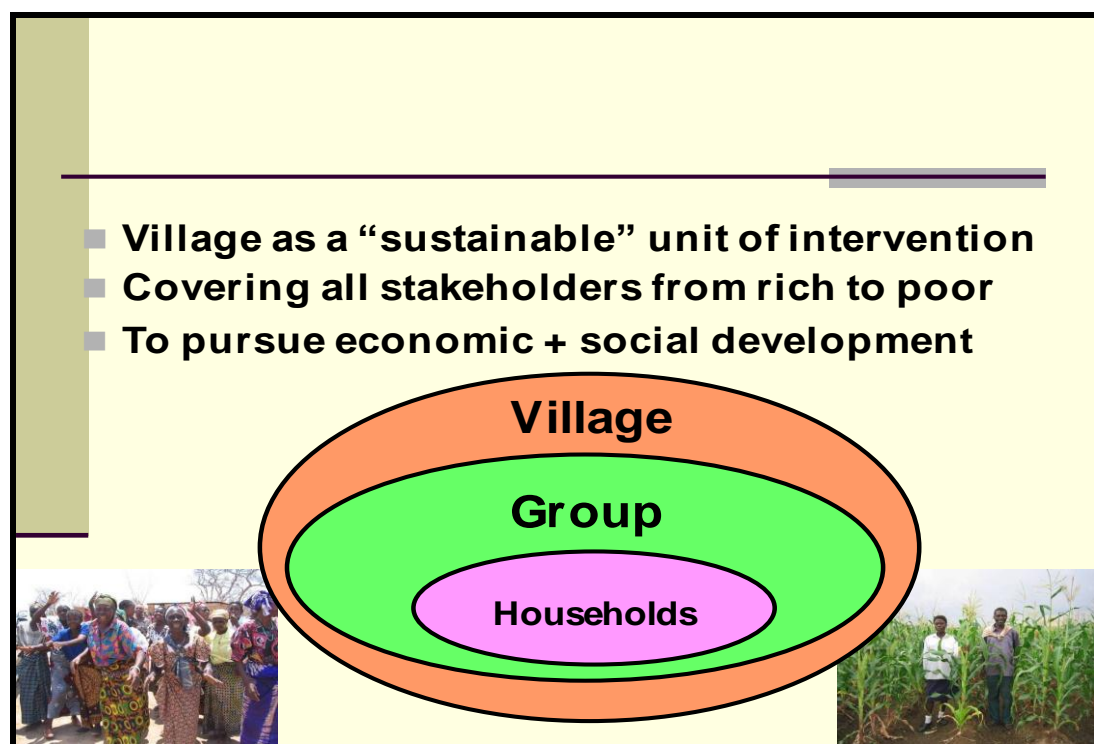
PAVIDIA FIELD MANUAL 2007

The PAVIDIA approach is one of the effective rural development approaches that have developed for extension officers of MACO (Ministry of Agriculture and Cooperatives). The goal of this approach is poverty alleviation through capacity development. The core of the approach is to provide villagers with an opportunity to implement a micro- project through their participation. The PAVIDIA approach targets villages as its target population. Each village that is part of the project is advised to come up with a vision of where it wants, or envisions its village to be in the future.

The village vision must be identified and achieved by villagers through continuous effort and a chain of activities. This village project (vision) is at the top of the pyramid, followed by the micro-project which utilises local resources. The core activities of these are capital, labour, knowledge and physical skills.

PAVIDIA has three features: the first is that it targets a village as a sustainable unit of intervention that covers all stakeholders, both rich and poor, to pursue economic and social development. It is a circle with layers that start with the village as an entity, followed by groups, and broken down to households as shown in Figure 2 below.

Figure 2: PAVIDIA Targeting a Village



PAVIDIA FIELD MANUAL 2007

The second feature of PAVIDIA is that it is local resource based (Figure 3) with all the resources used in the project coming from within the village. The farmers are classified as rich because they are surrounded by resources which however are underutilized or neglected. Figure 3 below shows the land available with natural resources like grass and trees and the labour. The community is involved in mapping and transect walks.

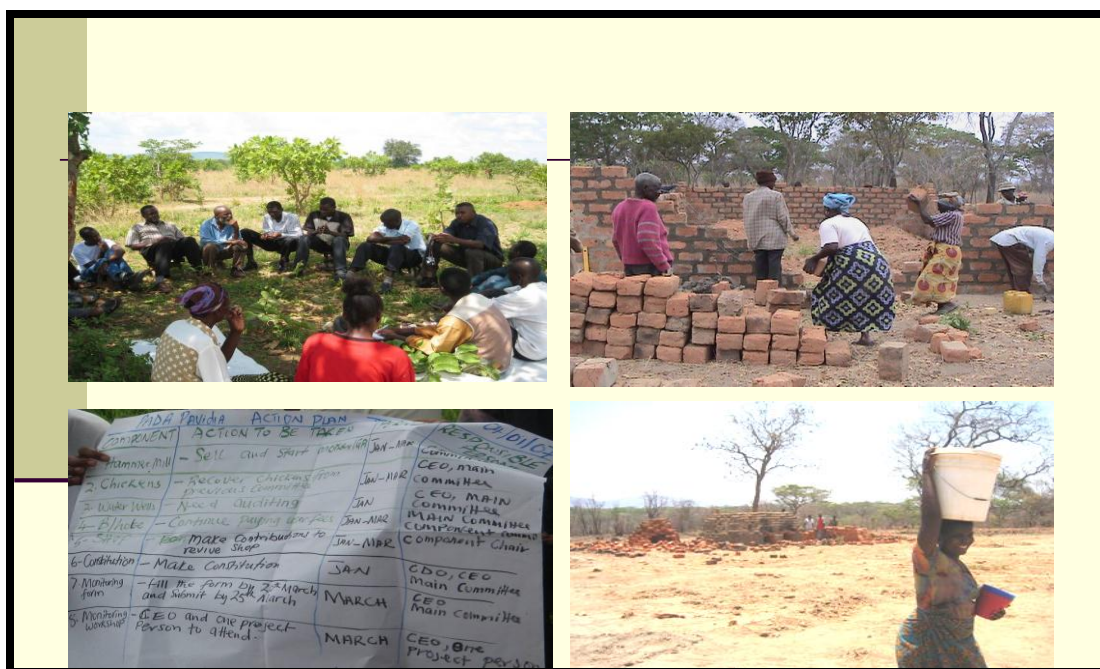
Figure 3: PAVIDIA a Local Resource Based



PAVIDIA FIELD MANUAL 2007

The last feature of PAVIDIA as shown in Figure 4 is participation of the whole community, from the planning and deliberations to the implementation of the project. The community sits together to list the various problems they are encountering, from there they come up with solutions and projects they will undertake. Members of the community provide labour using local talent and resources like sand and water.

Figure 4: PAVIDIA showing Participation



PAVIDIA FIELD MANUAL 2007

The PAVIDIA project is funded by a Non-governmental organisation /international cooperation agency known as the Japanese International Co-operation Agency (J.I.C.A); they are the initiators as well as project funders.

Key among the features of PAVIDIA is the aspect of participation of the local farmers. The whole community sits down to discuss, come up with plans and distribute roles and tasks among its members making sure that each member is involved. The PAVIDIA project uses several participatory methodologies. These include the Visualisation In Participatory Processes (VIIP), Participatory Extension Approach (PEA), Participatory Rural Appraisal (PRA), but like many NGO's run projects, there has been little or no research done in the area of assessment of the methodologies used. The PAVIDIA approach targets the village as a sustainable unit of intervention, covering all stakeholders from rich to poor, to pursue economic and social development. Lastly, the PAVIDIA encourages use of local based resources; it is strongly believed that the environment is rich in resources that can be used for the improvement of the community.

### **1.3 Statement of the Problem**

A large number of NGOs, government institutions and other departments use participatory processes with the assumption that these bring about the desired effect of participation. However, not knowing the quality of participation can result in a community not having trust in development institutions, there will be no sense of ownership of projects; there is misappropriation of resources and no empowerment. On the other hand it is only quality or higher levels of participation that can result into desired effect of participatory processes. PAVIDIA was one of the participatory approaches used in Zambia, but the quality of participation was not known. The study sought to assess the levels of participation in the participatory approaches used in the PAVIDIA project in Chongwe District.

### **1.4 Purpose of the Study**

The study sought to assess the quality of the participatory approaches used by Japanese International Cooperation Agency in their PAVIDIA project in Chongwe District.

### **1.5. Objectives**

The main objective of the study is given followed by the general objectives

#### **Main objective**

Measure the extent to which the approaches used by PAVIDIA are participatory

#### **General objectives**

- 1.5.1 To assess the approaches used by PAVIDIA
- 1.5.2 To find out the methods used by PAVIDIA
- 1.5.3 To find out how participatory the approaches used by PAVIDIA were.
- 1.5.4 To determine the level of participation of community members in the selection of project participants.
- 1.5.5 To determine participants retention of knowledge and skills acquired from PAVIDIA programme.

## **1.6. Research Questions**

### **Main research question**

To what extent are the approaches used by PAVIDIA participatory?

### **General questions**

- 1.6.1 What are the approaches used by PAVIDIA?
- 1.6.2 How participatory are the approaches?
- 1.6.3 What methods are used by PAVIDIA?
- 1.6.4 How participatory are the methods used by PAVIDIA?
- 1.6.5 To what degree do community members participate in the process of selection of project participants?
- 1.6.6 What is the participants' level of retention of knowledge and skills attained from participating in the PAVIDIA project?

## **1.7 Significance of the Study**

The study's aim was to assess the levels of participation of the participatory approaches that are used by NGOs in community work. The study sought to measure the participation of organizations that use participatory approaches in community work. The findings of the study had the potential to contribute to the development of a frame of reference and guidelines on the use of participatory approaches. The frame of reference and guidelines may serve as a form of regulation for those involved in participatory development. This may result in standardization in the application of participatory approaches.

## **1.8 Limitations of the Study**

The study covered only one of the five provinces where PAVIDIA is operating. Ideally, this study should have covered all the five provinces where PAVIDIA is operating. This would have improved the quality of information in cases where different contexts may have yielded different results. In light of this, the findings of the study are limited to Chongwe District only.

## **1.9 Theoretical Framework**

The study was based on two theories: the Antonio Gramsci theory on hegemony and Paulo Freire's transformational learning. The two theoretical perspectives are described below.

### **1.9.1 Antonio Gramsci's Concept of Hegemony**

According to Mayo (1999:35) Gramsci coined the term hegemony in a socialist state. He says there are two groups of people: the elite ruling class and the workers or marginalised and defines hegemony as being a condition in which a single class and its support system dominate all social aspects of social reality (Mayo, 1999: 35).

Hegemony is a process in which the ruling class uses a means of dominance to control, exercise its ruling power by maintaining its authority in two distinct methods. Both approaches emphasise the involvement of subordinating and subjugating the masses in order to maintain the status quo. This dominance is practised either through persuasion and dialogue or through coercive force.

The first approach according to Gramsci, is a situation where a set of ideas prevalent among the dominant group are promoted. This is done by forcing the marginalized group to agree with ideologies of the dominant group. As a result, the so called ruling class is able to maintain power. The second approach is where the ruling class uses excessive force or physical power against those who are not in agreement with them or oppose their ideologies. This is done through the use of the army, police and other law enforcement agencies. Gramsci characterizes civil society as a means of non-coercive persuasions (Gramsci 1992:12). Civil society is another means through which a society is marginalized.

In order to counter hegemony, Gramsci suggests a counter hegemonic activity. For him, this counter hegemonic activity is the only means to emancipate the marginalised in society. According to him adult educators engaging in counter-hegemonic cultural activity are intellectuals organic to a subaltern group aspiring for power (Mayo, op.cit). Adult education is the means in which this counter hegemony can take place. The central focus of Gramsci was to mitigate hierarchical relations between those who educate and direct and those who learn (Mayo, 1999: 47). Therefore, he advocated for a relationship which had to be active and reciprocal where 'every teacher is always a pupil and every pupil is a teacher'. This relationship



called for dialogue between learners and teachers. However, Gramsci called for qualified dialogue because he felt that dialogue and other elements of a participative education not grounded in information and rigour would be detrimental to the working class. He highlighted the merits of the conveyance of facts in response to what he perceived to be the emerging practice of carrying out dialogue in a vacuum.

This theory was used and applied in my study in the area of empowerment or education that is participatory that helps to bridge the gap between the marginalised and the elite.

### **1.9.2 Paulo Freire's Concept of Liberatory Pedagogy**

Conscientization is the starting point for Freire's pedagogy, where a group of people or individuals develop critical awareness so that they are able to take control and act against oppressive elements in society. Unless an individual is made aware and goes through critical consciousness, he or she is not able to participate in any activity. Freire came up with three levels of consciousness that explain the human state and behaviour.

Intransitive consciousness is the first level of consciousness. In this state an individual believes that he or she has no means of control over the happenings in his or her life. An individual in this state is highly superstitious and believes in a mystical being that controls everything around him or her. An intransitive person does not believe he/she has the means or capacity to change his or her situation; rather he or she strongly believes he or she cannot change and therefore accept the status quo. According to Freire (1973), Intransitive consciousness of and action upon reality are two constituents of a critical relationship with the world. Consciousness which does not challenge the world is a lack of consciousness altogether therefore uncritical and intransitive, for it does not act upon the world as an object. Total intransitivity is not a form of consciousness at all.

The second stage of consciousness is semi-transitive consciousness, which is the next level of consciousness. A person with this state of consciousness believes in cause and effect, and in human agency. For such a person, a human being has the power to learn and change things. However, the world is thought of in isolated pieces that exist in unrelated parts. The semi-intransitive individual aims at changing things one at a time.

The third and final stage is critical transitivity. This is the critical consciousness stage or the critical transitive state. Critical consciousness allows people to make broad connections between individual experiences and social issues, and between single problems and the larger social system. According to Shor (1992), students in a class of critical consciousness explore the historical context out of which knowledge has emerged and its relation to the current social context. Critically conscious people perceive society as a human creation, which one can know and transform, and not a mysterious whirl of events beyond understanding or intervention. This stage is characterised by depth in the interpretation of problems- by testing one's own findings and openness to revision and reconstruction; by the attempt to avoid distortion when perceiving problems and to avoid pre-conceived notions when analysing them; by rejecting passivity; by the practice of dialogue rather than polemics; by receptivity to the new without rejecting the old; and by permeable, interrogative, restless, and dialogical forms of life.

Paulo Freire came up with the term liberatory pedagogy. This is a type of education that elevates the learner, making him or her equal to the teacher. For him, learning or participation only starts to take place when both the teacher and learner are equal in a learning process. Freire looked at formal education as a banking kind of education. He turned his attention to oppression in education. He argued that the teacher-student relationship is fundamentally narrative. The teacher narrates, attempting to fill the students with the contents of his or her narration and the students patiently listen, waiting to be filled with these contents. Another concept that is significant to banking education is domestication. In domestication, learners are made to be like passive objects, they are not invited to participate creatively in the process of their learning. For Freire, real knowledge emerges as a consequence of invention and reinvention, as well as inquiry about the world and about each other. He argued that liberating education or liberatory pedagogy, the antonym of banking education, consists of acts of cognition, and not transferrals of information.

In implementing liberatory pedagogy (or transformational learning), both teachers and students are considered to be experts and learners. But he is firm on the stand that teachers should not abandon all authority. Learner agency, for him, starts when students have access to different forms of knowledge and when they interrogate all propositions, cultural practices and disciplinary assumptions. Learners, through this process, are able to engage knowledge and

view it as historically and socially constructed, thus students have an opportunity to name, read and interpret the world critically. He argued that learning should be linked to life experiences of learners because dominant culture tends to alienate students. Problem posing is a kind of education which prompts individuals to begin to question where they are, and to look at the world with a different perspective. Participation for Freire begins when an individual becomes critically conscious and begins to question things. This is problem posing and realization that they have control. In problem posing education, the learners have control over what they want to learn and where they want to learn from. Problem posing education is key to participation in that it encourages and enhances participation of both sides of the learning process. In problem posing the experiences of the learners come into play and are considered and compared to banking education where the learners are perceived to be empty cans and depositories.

### **1.10 Summary of Theoretical Framework**

The study used the two theorists, Freire and Gramsci, to discuss the aspect of hegemony where if in a society or group of people there is a class system where there is no equality in terms of people being involved in the participatory process, it is not possible to say it is participatory. For as long as one group of individuals has a greater say in a process it is not participatory. Counter hegemony is what was applied and used in this study as a means of removing a bias. Freire brings in the issue of empowerment. If a group of people is brought to a level where they begin to question and are involved in the participatory process from beginning to end, and such an activity results in group members acquiring skills and knowledge, making them relevant in the particular community, then the process is participatory. The two theories of hegemony and empowerment were applied in the study when assessing the level of participation, in the selection of participants for the project where there were no set criteria for participation and in determining the level of knowledge and skills acquired as a result of participation.

### **1.11 Summary of Chapter**

The chapter began with a brief background of the study, giving a brief history of the topic and study area where the study was undertaken in Chongwe District. This is followed by statement of the problem this was, that there several institutions dealing with the use of participatory approaches, but there is no agreed definition of what participation is and very few studies undertaken. It then goes on to give the purpose of the study this was to assess the quality of approaches used in the PAVIDIA project. The chapter highlights the objectives, rationale, scope and limitation of the study.

### **1.12 Organisation of the Dissertation**

This dissertation is organised as follows: The first chapter gives an outline of the topic and background of the study. It highlights the objectives, rationale, scope and limitation of the study. The chapter also includes the two theories of empowerment by Freire and hegemony by Gramsci. It goes on to give a review of literature related to the study in Chapter two, this mainly focused on the concept of participation and participatory approaches. The methodology of the study follows. This gives the research design, the target population and the techniques used to collect and analyze data. This is followed by the findings of the study and, lastly, a chapter on the discussion of findings and recommendations of the study.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Introduction**

This chapter presents literature related to participatory approaches. It looks at the concept of participation, forms and types of participation and presents some participatory approaches.

#### **2.1 The Concept of Participation**

Participation has been variously described as a means and an end. As a means, it is defined by the Asian Development Bank (2004), who stated that participation is not a goal in itself but a means to achieve an objective. The use of participation should have a clear purpose. As an end this is defined as the end result after being involved in a programme. The United Nations Development Programme (UNDP), following Sen (1999), has identified participation as both a means and an end in development projects. As a means, the agency states that participation is a process in which local people co-operate with externally introduced projects to improve outcomes. As an end, participation in itself is a key goal and indicator of human development. When people fully participate, they are agents in, and responsible parties for, their own development. It is essential within agencies, as it is in the field, and as an educational and empowering process necessary to correct power imbalances between rich and poor. It has been broadly conceived to embrace the idea that all “stakeholders” should take part in decision making and it has been more narrowly described as the extraction of local knowledge to design programmes off site (VSO:2002).

Participation is involvement by a local population and, at times, additional stakeholders in the creation, content and conduct of a programme or policy designed to change people’s lives. Built on the belief that citizens can be trusted to shape their own future, participatory development uses local decision making and capacities to steer and define the nature of an intervention.

Adebo (2000:20) came up with a list of definitions of participation is key among these is national development. Participation is a voluntary contribution by people to public programmes, contributing to national development. It begins by sensitizing people to increase their receptivity and ability to respond to development programmes, thereby encouraging local

initiative. Though participation is defined with emphasis on the involvement of the local people, there is very little participation in shaping the program or criticising its content.

The PAVIDIA approach is at two levels: at programme and at process levels. At both levels there is no involvement of the local community in shaping the program or content. Adebo (2000) defines participation as a considered active process where the group or person in question takes initiatives and asserts his/her or its autonomy to do so. It is an organised effort to increase control over resources and regulate institutions and movements of those hitherto excluded from such control. Popular participation in development should be broadly understood as the active involvement of people in the decision making process in matters that affect them.

This study adopted the definition of participation that is provided by PEA (2002) and VSO (2002) that states that participation refers to community involvement. This means that people have both the right and duty to participate in solving their own problems, have greater responsibilities in assessing their needs, mobilising local resources and suggesting new solutions as well as creating and maintaining local organizations. Participation means people's involvement in decision making processes, implementation of programs, sharing in the benefits of development programs and involvement in efforts to evaluate such programs.

This assertion is supported by several writers including Cohen and Uphoff (1977), and Wolfe (1983), who discuss participation and rural development. In a summary of their discussion, Cohen and Uphoff (1977: 20) say:-

*With regard to rural development participation includes people's involvement in decision making process and control of the activities that affect their lives, in implementing programmes the community should be able to mobilize their resources and are active actors in the development, sharing the benefits of development programmes and their involvement in the efforts to evaluate such programmes*

Another group involving development organizations such as the World Bank and FAO talk about participation as a process where stakeholders influence and partly control development initiatives, decisions and resources which affect them (World Bank, 1996). This definition does not give total autonomy to the community. The definition given by FAO on the other hand is more participatory. FAO (1991) defines participation as an active process in which people take initiative and action that is stimulated by their own thinking and deliberation and which they

can effectively influence. In summary, literature shows that participation has been defined differently. Common among these definitions is the term voluntary, meaning that participants are free to take part. Joint decision making and involvement of all members of the group or community are the other two common terms. When writing or defining what the best form of participation is, several authors have come up with measures of participation. More formal analyses of different models of participation have been put forward in various typologies of participation, each pointing to different axes of differences characterising alternative models of participation.

The major issue arising from literature on participation was that participation has different meanings and that depends on the organization defining the term. Common among most of the literature reviewed is that there should be empowerment and involvement of the whole community in the development programme. That is not to say all reviewed literature was of this opinion; others talk about participation in terms of rural development and a community having partial control and authority over the resources and the development programme. The current study adopted the concept of participation as the involvement of the entire community from the planning and implementing to the evaluation of the programme. This is because, if the community is left out of all decision making processes, there will be no sense of ownership, leading to the failure of a project or programme

## **2.2 Frameworks for Assessing Participation**

Frameworks for assessing the extent, level and scope of participation in research projects offer a series of continua along which applications can be placed. Three ways or scales of measuring understanding and analysing participation were reviewed in this study. These were Biggs modes of participation (1989), Arnstein ladder of participation (1971) and Pretty's typology of participation (1995).

### **2.2.1 Biggs's Modes of Participation**

The first measure of participation is given by Biggs (1989). Writing in the field of agriculture, he distinguishes four modes of participation. These range from contractual to collegiate; in the contractual mode people are contracted into the projects of researchers to take part in enquiries or experiments. In the consultative mode people are asked for their opinion and are consulted by researchers before interventions are made. This is followed by the collaborative, where researchers and local people work together on projects designed, initiated and managed by researchers. Lastly, in collegiate researchers and local people work together as colleagues with different skills to offer in a process of mutual learning where local people have control over the process.

Biggs (1989) writes mainly from an agricultural perspective. For him, participation involves the researcher and the local people working together in agriculture. The work is designed more or less like an experiment. However, it is quite difficult to use Biggs's four modes of participation as a measure outside the field of agriculture. This is because participation is contextual. Each mode of participation is dependent on the context in which it is happening. Nonetheless, this limitation did not affect the application of the model because the study fell within an agricultural context.

### **2.2.2 Pretty's Typology of Participation**

The second measure of participation is that of Pretty. The following are what he considers to be the types of participation, presented from low to high order: (a) Passive Participation: People participate by being told what is going to happen or has already happened. It is a unilateral announcement by an administration or project management without listening to people's responses. (b) Participation in Information giving. The information being shared belongs only to external professionals. People participate by answering questions posed by extractive researchers using questionnaire surveys or such similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research are neither shared nor checked for accuracy. (c) Participation by consultation: People participate by being consulted, and external agents listen to their views. These external agents define both problems and solutions, and may modify these in the light of people's responses. Such a consultative process



does not concede any share in decision making, and professionals are under no obligation to take on board people's views. (d) Participation for material benefits: People participate by providing resources such as labour, in return for food, cash or other material incentives. Much of farm research falls in this category, as farmers provide the fields but are not involved in experimentation or the process of learning. It is very common to find this called “participation”, yet people have no capacity to continue the activities when incentives end. These four steps on Pretty’s Typology are considered to be low, and he describes them as not having a high level of participation as there is very little sense of ownership and continuity of the project. The next three levels are : (e) Functional participation: People here participate by forming groups to meet predetermined objectives related to the project, which can involve the development or promotion of externally initiated social organization. Such involvement tends not to be at early stages of project cycles or planning, but rather after major decisions have already been made. These institutions tend to be dependent on external initiators and facilitators, but may later become self-dependent. (f) In Interactive participation, people participate in joint analysis, which leads to action plans and the formation of new local institutions or the strengthening of existing ones. It tends to involve interdisciplinary methodologies that seek multiple objectives and make use of systematic and structured learning processes. These groups take control/ownership of local decisions, and so people have a stake in maintaining structures or practices. (g) In Self-mobilization, people participate by taking initiatives, independent of external institutions, to change systems. Such self-initiated mobilization and collective action may or may not challenge existing inequitable distributions of wealth and power.

The last three on Pretty’s typology are what he considers more participative. Though quite elaborate in its classification, Pretty’s Typology may be difficult to use as a scale of measurement because it does not take much consideration of outside external people’s influence on the local people’s behaviour. Research shows that projects do become more sustainable, appropriate and effective as the level of local participation increases (Narayan, 1995). People are unlikely to commit to projects that are not relevant to them or that they cannot control. Nevertheless, it is worth considering the view that different levels may be appropriate at different times to meet the expectations of different interests (Wilcox, 1994).

In spite of the weakness of Pretty's scale with regard to external influence, this study adopted and modified some elements of the scale to measure participation. The selected elements were functional participation, interactive participation and self-mobilizing. This is so because it was only the last three on Pretty's Typology that were applicable and could be adopted for the study. The nature of the study was from an agriculture perspective and it involved the learning of various methodologies that were practical in nature, requiring the community to have, in existence groups or committees. Also worth noting is that it involved mobilizing local resources. This was done through social and wealth ranking, terminologies from PRA.

### **2.2.3 Arnsteins' Ladder of Citizen Participation**

The last measure of participation is given by Arnstein (1969: 216-224). Writing about citizen involvement in planning processes in the United States, she described a "ladder of citizen participation" that showed participation ranging from high to low. The simplicity of the ladder metaphor explains much of its appeal to a wide range of audiences: a graded movement upwards through 8 steps (rungs) from manipulation of citizens (i), through consultation (iv), to citizen control (viii.) Each set of steps corresponds to changes in degrees of citizen engagement, ranging from non-involvement through tokenism to citizen power. As Arnstein herself recognised, the ladder is based on a conceptualisation that "participation is a categorical term for power" (ibid, p.216). The ladder is shown as figure 5 and it depicts participation as essentially a power struggle between citizens trying to move up the ladder and controlling organisations and institutions (intentionally or otherwise) limiting their ascent to the top and barring citizen's ability to claim control or power for themselves.



**Figure 5:** Arnstein's Ladder of Citizen Participation

Arnstein's ladder of participation was used to measure participation in the community by comparing the rungs of this ladder against the description of participation given by community participants and facilitators.

What emerges from literature on measuring participation is that participation is complex. Participation has come to mean many things, but the cardinal point in involvement is the level and degree at which the community is involved that classifies it as a different type of participation. The forms or typology of participation range from passive to collaborative. It is important to note, however, that being at the receiving end, as in the case of being passive, is not participation; and when looked at objectively, collaborative participation may not address the issue of equity. In community work, the best approach to be taken is the back seat as a facilitator just guiding and giving advice. Pretty's Typology is the best one in as far as involving the community is concerned. Participation may tend to be passive, but control over the above is liberating. Participation involves a lot of things, for example, it leads to increased sharing of benefits and to decision-making power in the development context. It materializes, meaning that

people or groups of people access skills to analyze their living conditions, to plan for themselves and that they are enabled to act. It also means social processes that take place within certain groups or collaboration networks and beyond them, are not an end in themselves, and should not be looked at in isolation. Most often, increased participation is a powerful catalyst towards achieving other objectives, such as improved management of natural resources. This study, however, had a greater leaning towards on Biggs's Modes of participation because of the agriculture perspective under which this study fell.

Participation must also contribute to the quality of the project, add value, have a multiplier effect, have a long lasting effect and must improve the status of participants. Participation must: (a) involve leading from behind, clarifying objectives, learning together, making sure no one is left behind as all the participants are part and parcel of the ongoing process. (b) Organize this to ensure order, sequence, self government and show direction. (c) Empower, which means help all to listen to the smaller voices, facilitate sustainability and provide for "Letting go". (d) Empowerment implies control of technology, information, material resources, money and decision-making (VSO; 2002).

### **2.3 Participatory Approaches**

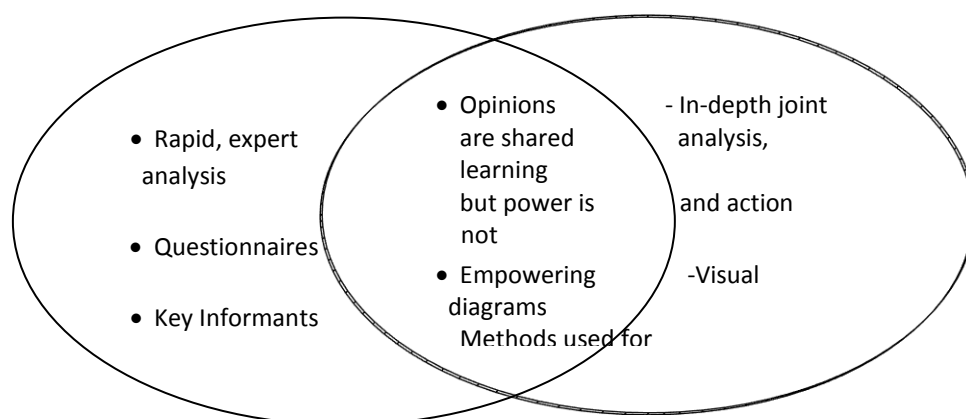
There are many participatory approaches in use today, but this literature review focused only on three. These are the participatory rural appraisal, training for transformation and the visualization in participatory processes.

Participatory processes or approaches are cardinal to the development of any individual, community or nation (VSO, 2002). Participation begins with inclusiveness, meaning that each individual is availed the opportunity to participate. There is also need for empowerment, both mentally and economically. Change which stems from the acceptance of the need for change is instrumental. It is important to note that participatory approaches are flexible in both use and application. In today's society, where NGOs are mushrooming everyday there are newer emerging approaches as a result of modification of the already existing ones. Variety entails choice. It is important to take into consideration group dynamics and processes, the person at the end of the receiving line. Each individual counts and the role of the facilitator is to select an

approach that strikes a balance and not simply sticking to the one approach because it is the one you are familiar with, or because it had worked in another community.

Purposes of participatory approaches include: (a) Empowerment as a result of skills and knowledge acquired, the participants are supposed to be self sustaining, what has been learnt needs to have a capacity to have an impact on their livelihood. (b) Accountability, each and every resource used has to be accounted for through a process of checks and balances. (c) Transparency means all members are involved and are aware of all activities as there is collective action, leadership is chosen from among the community, there is a hierarchy system in place there is shared ownership and active participation of the community (VSO, 2002).

Participatory approaches are a product of long lasting interaction between researchers, development workers, government agents and local populations. In reality, a range of approaches exist that lie along a scale from the more “extractive” to the more, “empowering” (Figure 6). Extractive tools, or tools used in an extractive way, retain power in the hands of the development worker. Empowering tools or tools facilitated in an empowering way, hand power over to the participants. It is not that one end of the scale is better than the other, but simply that they achieve different things. It must be clear about the purpose, select the right approach for the job, and not encourage participants to have expectations of empowerment if the methods and attitude do not permit any meaningful transfer of decision-making control (VSO, 2002). Much has been said about participatory approaches, the diagram below is an illustration of a scale of measure for participatory approaches.



**Figure 6:** A Scale of Participatory Approaches, from Extraction to Empowering  
**Source:** VSO (2002)

### 2.3.1 Participatory Rural Appraisal (PRA)

The first approach reviewed in this literature review is Participatory Rural Appraisal. Participatory rural appraisal is a method that uses several approaches and methods, Participatory Rural Appraisal began in the late 1980s and offers methods which involve groups rather than individuals, and visual representation rather than ONLY verbal communication. The two streams from which PRA originates are:

1. A well-known expert in education from Brazil, Paulo Freire (1971), heavily criticised education system that was not participative and did not empower the students. He referred to conventional education and counselling as “domestication as a form of imperialism in the education system”. This philosophy of participative education in the system of education and counselling is adopted by the PRA method.

2. Field of research and science

According to Chambers (1992) there are five main trends that make the principle method of PRA:

- a. Participatory Action Research, born from the suggestion of Paulo Freire, stating that the poor can and have the capacity to analyze their own facts and conditions. Recognition of the ability of the village community in analyzing their problems is adopted into PRA;
- b. Agro-ecosystem Analysis is a combination of system analysis with ownership system by analyzing space, time and the cause-effect relation, relative values and decision making. The methods that were adopted into PRA from this method are the transect technique (locational trace), mapping, seasonal calendar, Venn diagram (inter-party relations) and ranking matrix;
- c. Applied Anthropology, created as a result of the critics of the science of pure anthropology that lays emphasis more on the comprehension of the community. Applied Anthropology is intended to judge the ability and validity of village community knowledge and to contrast between the soul-frame of the outsider with the insider. What PRA adopts from applied anthropology is that studying outside in the field is a flexible exercise and not a science that is rigid; rather, the difference between emic (community norms) and ethic (scientific norms) affects the validity of indigenous technical knowledge of the village community;
- d. Field Research on Farming System, the focus of attention is in field research participation; because the farmers as the main actors in agriculture are very experienced people that have their own ways to maintain the life of their agricultural system. This method contributes to PRA and its yard/garden sketching technique;
- e. Rapid Rural Appraisal/RRA developed because of a number of reasons, the first being, the increase of disappointment against anti-poverty bias as a the result of “village development tourism”. The bias as referred to are: (a) spatial bias (people only come to visit villages that are still close to the city, the main roads and village centre, and ignore the borderline villages); (b) project bias (only provide attention and support for villages that are in a project’s area); (c) personnel bias (favours men more than women, the elite than the poor, the service users than the non-users, etc.); (d) seasonal bias (preference to visit the villages during the dry season or during harvest time compared to the wet season or time of famine); (e) diplomatic bias (people from the outside do not wish to meet poor people or see appalling conditions that can touch their hearts). All these biases can combine to conceal the worst poverty; PRA has been described as “a growing

family of approaches”. According to Conyers (1984), positioning a community as the development actor is important for three reasons. The first reason is: (i) the community is the source of information on the conditions, needs and attitude of the local community. Without them development programmes and projects will fail because of inaccuracy. (ii) The community will trust a development project or program if they know its twists and turns. (iii) It is the right of the community to be involved in community development that targets members.

Participatory rural appraisal (PRA) has been defined by the World Bank (1995) as a family of participatory approaches and methods which emphasize local knowledge and enable local people to do their *own* appraisal, analysis and planning. PRA uses group animation and exercises to facilitate information sharing, analysis and action among stakeholders (World Bank, 1995:175; emphasis in original). In the last fifteen years, PRA and cognate tools have become the preferred methodology for participatory development, and have been widely adopted by development agencies. They have been particularly popular with NGOs because of their accessibility and freedom from complex technical demands that make them especially attractive as outreach tools. However, interest in PRA goes beyond the purely methodological. Its leading proponent, Chambers (1997), claims that it represents not just a set of research techniques, but rather a whole new paradigm of development. PRA offers, he argues, a new high ground, a paradigm of people as people. PRA fits a cybernetic model of fast feedback in conditions of rapid change. Good PRA goes further, in empowering lowers. Its principles, precepts and practices resonate with parallel evolutions in the natural sciences, chaos and complexity theory, the social sciences and postmodernism and business management. On the new high ground, decentralization, democracy, diversity and dynamism combine (Chambers1997:188). These are clearly elevated claims, and ones which, if they can be substantiated, have radical implications for development practice across a very broad front. Yet, surprisingly, the virtues of the approach have more often been asserted than demonstrated. According to Chambers (1997:3), most of the critical commentary has come from within the PRA movement itself, as part of the “self-critical epistemological awareness” which its theorists view as central to their ideology and practice. But, as Cooke and Kothari (2001:5) note, such awareness is less a critique of the approach than one of its intrinsic facets. Aside



from Cooke and Kothari's own edited volume (2001), and a few other broad reviews of participation such as that of Bastian and Bastian (1996), there have been very few systematic attempts to examine the precepts of the participatory movement, and almost none which have looked critically at PRA as its dominant methodology

### **2.3.2 Participatory Rural Appraisal Methods**

One of the strengths of PRA is that many of the methods are visual and therefore accessible to a large group of people. The group debates ensue and these debates further stimulate improvisation resulting in new applications. Group activities can also be very dynamic and promote further discussions, other than those which are pre-prepared.

Some of the methods used by PRA include triangulation, observation, semi-structured interviews, ranking and scoring techniques; that include preference ranking, matrix ranking, card sorting, scoring and wealth ranking, diagramming, participatory mapping, flow diagrams and Venn diagrams. All of these methods used in PRA enhance participation in a given project or activity.

This study benefited a great deal from reviewing literature on PRA because it was the main source of information and is the heart of the methodologies used under the PAVIDIA approach. Many of the methods used from mapping to triangulation were derived from PRA. These served as a guide and showed to what extent the PRA was used and is still used by development organizations.

### **2.3.3 VIPP - Visualisation in Participatory Programmes (VIPP)**

The second approach reviewed is the VIPP, which promotes the visible representation of ideas/topics while they are being discussed or presented. The visual aids should be made with materials which are locally available, and done in such a way as to allow everyone to follow the discussion (e.g. , drawings on paper/ground/ board; symbols/objects placed in front of people; writing on paper/ground/board). According to UNICEF (1993) VIPP synthesizes the approach of DSE, the visualisation techniques of *Metaplan* and the *conscientization* and empowerment approach of Freire and Fals Borda. VIPP is applicable to any situation where a group of people

want to work together to analyse and plan development activities, or to initiate interactive learning experiences. Two aspects are stressed: the humanistic and democratic philosophy underlying VIPP, and the central role of the facilitator who enables the generation of knowledge and dialogue between people without manipulating them. VIPP is a package of techniques with a philosophical base derived from creative processes of dialogue at the grassroots level. VIPP allows people to express themselves and to raise questions about hierarchical decision making in a creative and efficient way. If applied widely and properly VIPP has the potential of empowering people at many levels of the development process (UNICEF1993:18).



Figure 7: Chart showing a visualisation process

The above Figure 7 depicts a typical chart arising from a discussion with many dimensions to it. The whole idea of VIPP is empowerment. The chart shows the core that is Fals Borda's participatory action research, Paulo Freire's popular education and Metaplan German from which VIPP draws its roots.

VIPP is designed to enhance participation of the entire group. This is done by encouraging participants to write down what they visualise. Every idea in a group discussion counts and is written down or put in visual form, especially when some of the participants are illiterate. The visualization used should not make any one uncomfortable. Only locally available materials should be used. Each and every idea must be separated and written down on a separate card. These are of different colours which are used for the various ideas and at the end a summary of not more than 10-15 words, symbols or drawings are made.

The advantages of visualization are many: Some of these allow everyone to follow a discussion or learning process more easily.

- All ideas are treated the same way and accorded the same importance and attention. It eases learning and thinking processes,
- It is easier to remember things one has actually seen and it supports working processes by making it easier to come back to certain points that were discussed earlier.
- It also provides a simple way of keeping an overview of the whole process of developing ideas that can be seen at a glance

Visualisation is a key element in participatory methods. Using a questionnaire-based survey, the information is transferred by the words of the interviewed person to paper where it becomes the property of the interviewer. In contrast, when rural people draw and model their own villages and resources, and visually share the results, all those present can see, discuss, comment, manipulate and alter the results. All can reflect and participate. Local materials (the ground, seeds, stones, etc) have the advantage of belonging to the local people and are resources that they can use and change with confidence (Chambers, 1993:7).

The study reviewed literature on VIPP and found out that it was used by the PAVIDIA approach. The VIPP was used to stimulate dialogue among the community. It enhanced the participation of the local community. This study used and adopted this approach because it was related to the area under study and the concepts and methodologies used were applied in the study.

### **2.3.4 Training for Transformation**

The third approach reviewed in this literature is Training for Transformation. This is a four - phased programme that was started in South Africa. The books were developed by Hope and Timmel (2007) as a result of concern that despite the world developing, Africa has remained the same. There is still struggle for survival. The kind of democracy in place favoured a few elites. It is in line with this and several other issues that it was decided to come up with a means of equipping the masses to get involved, creating more or less a participatory democracy.

The term participatory democracy arose and some of the principles guiding this are:

- No project would begin within a community without broader consultation with civic, political and religious groups.
- No research could be done in communities without prior consent of the community. The people also required seeing clearly in what way the research would benefit the community.
- No more development aid that benefited the elite was wanted. The trickledown effect had to be seen in a tangible, real form by the community itself.

Training for transformation puts emphasis on education and development as a means of liberating people and transforming society. Training for transformation equips and empowers people. According to Hope and Timmel (2007), the starting point is transformation of the mind set. The authors start off with the Friarian thinking that it is important to involve the people. They are brought together in a small group where they share ideas and there is a genuine climate of listening. Each member in the group is free and encouraged to share ideas and experiences this affirms the value of the wisdom of ordinary people in quite a different way.

Training for transformation uses many training programmes. One of these is the DELTA training programme. This programme draws from five major sources: Paulo Freire's work on critical awareness, human relations training in group work, organizational development, social analysis and spiritual sources of inspiration, particularly the Christian concept of transformation.

The study adopted T4T in the literature reviewed because it was found to be one of the focus and tools used in the approach under study. It took into consideration the experience of the local people, transforming and liberating them.

### **2.3.5 The PAVIDIA Approaches**

One of the key learning and teaching processes used in PAVIDIA is the Participatory Extension Approach (PEA). The last approaches reviewed in this literature are the approaches used by PAVIDIA. These are what they have termed "Participatory Extension Approaches". According to Participatory Extension Approach (PEA 2002), the approach focuses on the full involvement and participation of the entire community in the development process and technology adaptation. The process strengthens the effectiveness and responsiveness of extension and research services. Some of the approaches used by approach include the Participatory Rural Appraisal (PRA), Participatory Needs Assessment (PNA) and the Participatory Monitoring Evaluation (PME).

### **PAVIDIA and the Participatory Extension Approach**

PEA is a participatory learning process in which all residents of a village and community members are involved in identifying, prioritising and analysing problems, making action plans to address their problems, as well as implementing and monitoring the activities through village organization committees. Through PEA, the community is able to seek assistance from development organizations and other rural service providers active in the area (PEA: 2002).

The key features of the PEA are: that the whole community residents are involved; the residents identify their priorities, make their own decisions and set their own agenda. There is a more comprehensive and systematic approach to planning; plans are broad-based so as to

address all the concerns of rural development; community committees are established to oversee the implementation of community action plans; the community is empowered to demand for quality and timely services, and that communities are responsible for conducting participatory monitoring of implementation and assessment of the impact and the results.

### **Objectives of the Participatory Extension Approach**

- To facilitate the community to identify members' problems, potentials and opportunities and to prioritise them.
- To enable residents to analyse their problems, their causes and propose solutions.
- To involve the community in the formulation of action plans to solve their problems.
- To legitimise community plans. The residents recognise and own the plans since they are a product of their efforts.
- To aid mobilisation of resources from within and outside the community to implement the action plan, and to put pressure on different partners (Government services, NGOs and other organisations that are active in rural areas) to deliver quality services in a timely fashion.
- To encourage the residents to monitor and evaluate the implementation of their action plans.

### **Participation Extension Approach cycle and key stages**

The participatory process involves a logical sequence of stages. These according to the PEA (2002) manual, are:

#### *1. Preparation*

The process is interactive. After a period of time the action plans are evaluated and the diagnosis updated to reflect on the progress made, the shortcomings and the lessons learned during the previous period. The preparation stage involves training of trainers, contracting authorities, selection of villagers /communities, contacting the selected community and collection of data.

## 2. *Diagnosis*

In this stage the village situation is examined and analysed. With the help of the multi-disciplinary team members acting as facilitators, the community learnt how to analyse the current situation using various steps. However, it is important should be noted not to exclude the poor community members, including women who have different needs from the other subgroups.

## 3. *Planning*

The action planning involves determining the activities to be carried out, the resources required, the timing, as well as the responsibilities. In the action plan, the objectives of the community are operationalised. With regard to responsibilities, this can relate to community leaders or institutions that have to support specific activities. The community residents propose actions that can help reach their objectives. Next, the facilitators, with a small group of village residents examine the list and eliminate actions that are not feasible, propose alternatives; and add technical solutions the villagers were not aware of. The revised list is then discussed with the community. The last step involves the community residents naming the practical steps needed to implement the activities and specify the tasks and roles of all the partners in the process.

## 4. *Implementation*

The activities that were planned need to be implemented and carried out to achieve the objectives set out. These activities can range from agricultural development, sanitation, nutrition and water supply among.

## 5. *Monitoring / evaluation*

A participatory approach is employed for the monitoring and impact assessment. The indicators to be used will be those agreed upon by the community. An impact assessment is made to gauge the progress on the wellbeing of the community.

## **Summary of the Literature Review**

The study reviewed literature on the concept of participation and from here it came out that participation is complex. It may have one meaning to one group of people and something different to another. The literature reviewed three scales of measurement on participation. These were Arnstein's ladder of citizen participation, Biggs's modes of participation and Pretty's

typology of participation. The study adopted Biggs's modes of participation, written from an agriculture context under which this study fell. The study went on to [select Pretty's typology](#). This study adopted and modified some elements of the scale to measure participation. The selected elements were functional participation, interactive participation and self mobilizing this is so because it was only the last three on Pretty's typology that were applicable and could be adapted for the study.

Lastly, the study reviewed literature on participatory approaches and it came out that many approaches have arisen as a result of the emphasis on bottom up approach to community development. The involvement of all key players means a sense of ownership. The approaches reviewed were TFT, VIPP, PRA and PEA. The PRA is an ideal participatory approach, both in principle and applicability. The approach has drawn from several sources, thereby coming up with something eclectic and flexible. The key features of this approach are what the PAVIDIA project has drawn from. The use of concepts from training for transformation and VIPP are also worth mentioning. The PEA used by PAVIDIA put the individual at the centre of the development process and also picks the concept of participation where the community is involved from the planning stage right up to the monitoring and evaluation. The use or selection of an approach that encompasses several tools in the implementation of its work means variety in what works, where and how it works. The level of participation among other factors determines how participatory an approach is. The review of literature has shown that there is still a gap in studies and literature on the use of participatory processes.



## **CHAPTER THREE**

### **METHODOLOGY**

#### **3.0 INTRODUCTION**

This chapter outlines the methodology of the study. This includes the research design, target population and the sample. It describes the data collection methods and instruments, data analysis, data quality and research ethics.

#### **3.1 Research Design**

A research design refers to the way a study is planned and conducted, and the procedures and techniques employed to answer the research question or problem (McMillan and Schumacher, 1994). The research can also be looked at as a blue print or guide of the research undertaking. It shows the tools to be used to collect data. It further defines the population and how the data will be collected.

The research design used by the study was a descriptive survey. It used narratives and descriptive statistics to describe participation. It was evaluative in that it was assessing the nature of participation. The purpose of this descriptive research was to describe that which already exists as accurately and clearly as possible and bring out conditions, relationships that exist, practices that prevail; beliefs, attitudes that are held, processes that are going on and effects that are felt. This design was selected also to formulate new knowledge as well as find solutions to the problems that may arise (Kombo and Tromp, 2009).

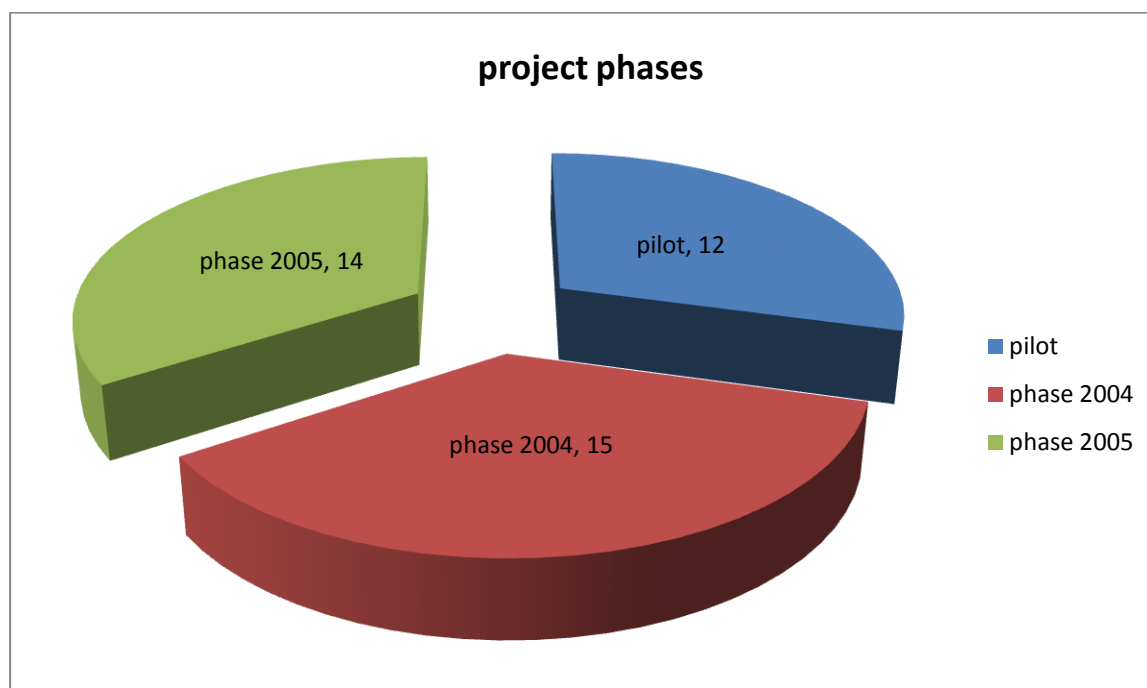
The information is given in form of narratives. Even the statistics are descriptive, given in the form of frequencies, mean, medium and modes. On the other hand, the study was evaluative in nature, in that it sought to assess the extent to which the approaches used by PAVIDIA are participatory. This research design required sampling from a population which is being studied in detail. This study sampled one province out of the five where the PAVIDIA project is running.

### 3.2 Population

This study adopted Mouton (1998; 13) who defines population as a collection of objects, events or individuals having some common characteristic that the researcher is interested in studying. It is also a sum total of all the cases that meet our definition of the unit of analysis. The population of the study comprised the recipients of the PAVIDIA Project, as well as the project facilitators and providers in Chongwe District. The population also included former recipients of the PAVIDIA project. The population size of the project was 8500 participants.

### 3.3 Sample size

A sample is defined by White (2003) as a group of subjects or situations selected from a larger population to be part of a research process. The study was conducted in Lusaka Province, with the sample consisting of 44 villages. The sample was selected from two project phases. The sample comprised 194 project recipients, 6 facilitators for the main study, and 30 project recipients and one facilitator for the pilot study. The sample therefore was made up of 200 participants. Tables 1 and 2 show the sample selected from phases one and two of the project in Chongwe District



**Figure 8: Distribution of Villages per Project Phase**

The figure above shows the distribution of the villages in project phases. There were 44 villages from which the sample was selected. In total, the population of the study was slightly over 8500. This population includes households that were still beneficiaries of the micro-project as well as those that were slowly being weaned off; it also included all facilitators/extension officers from Ministry of Agriculture and Livestock.

**Table 1: Sample Size from Phase 1 2004 and Pilot Project**

<b>Phase one village</b>	<b>Mukunya</b>	<b>Kapuka</b>	<b>Koto</b>	<b>Chimbali</b>	<b>Ndhlovu</b>	<b>Total</b>
<b>No of house holds</b>	110	196	150	170	120	746
<b>No of respondents</b>	20	30	23	23	30	126
<b>Facilitators</b>	0	1	1	0	0	2

**Table 2: Sample Size from Phase two 2005 Micro Project**

<b>Phase two village</b>	<b>Susu</b>	<b>Shiloto</b>	<b>Mwalongo</b>	<b>Kasubanya</b>	<b>Total</b>
<b>No of households</b>	115	117	120	116	468
<b>No of respondents</b>	24	25	25	24	98
<b>Facilitators</b>	1	1	1	1	4

### 3.4 Sampling Procedure

This study employed multi stage sampling to select two project phases from the existing ones in Chongwe District, after which eight villages with a total number of 1094 households were sampled randomly. Multi-stage sampling is a type of sampling involving different stages of sampling from a population that is not defined. This kind of sampling is useful when handling a large population spread over a large area. The target population is presumed to consist of sampling units at various stages and so it does not have a sampling frame (Borg and Gall: 1983). This was necessitated by the fact that it was not feasible to include all the project phases as well as all the 8500 households in the district. The project facilitators were selected using the purposive method as only those from the selected villages were included in the study. According to White (2005), this sampling is based solely on the judgement of the researcher, as it comprises of elements that contain the characteristics representative or attributes typical of the population,

The villages were selected using the lottery method where the names of the villages from the selected phases were put into two separate boxes, and out of each box, four villages were selected randomly. After this stage the names of members from the selected villages were put in

boxes according to their village of these, names were selected randomly. This was done so as to reduce bias. It was necessary to use this procedure because it was not possible to include all the PAVIDIA projects in Lusaka Province. The procedure was also necessitated by the terrain and distribution challenges because the population of the study was scattered over a vast area.

In the simple random procedure the individuals from the population are selected in such a way that each one is afforded the opportunity to be selected (Ghosh 2002:232). In this study the simple random method was used to select the households from the population. It removed any form of bias as it afforded each individual from the population an equal chance to be selected.

The sampling procedure for the project providers was purposeful in that it targeted the providers who were present at the time the study was taking place. According to White (2005), purposive sampling is based entirely on the judgement of the researcher in that the sample comprises elements that contain characteristics representative of the total population.

In the sampling of respondents, it was necessary for the researcher to use convenience sampling as some of the people selected to be part of the study were not available, resulting in the use of the replacement method to ensure that the study was viable- and these were selected randomly from the sampled households.

### **3.5 Instruments**

The study used interview and observation guides for both the recipients and project providers. Some questions used group interviews.

#### **3.5.1 Interview guide**

An interview is a method of data collection which is flexible and quick as a tool for collecting information because the researcher is able to get answers promptly. The interview is a good tool for collecting data because, where it is not clear, clarification can be obtained from recipients right away. According to White (2005:143), an interview provides access to what is inside a person's head and makes it possible to measure what a person knows about his value preferences, beliefs and attitudes. This study used an interview guide to prompt the researcher when collecting information. The interview guide was used to interview both participants and facilitators.

### **3.5.2 Observation**

Observation plays an important role in data collection. This is because there are questions where the answers given may be the opposite of what the body language is saying. Observation also provides accurate information because the observer is able to get first hand information. When done properly, observation reduces bias and distortions. Observation mirrors situations as they are (Kombo and Tromp, 2006). For this study, the observation method was effective in obtaining information, especially on issues that the participants were uncomfortable with and were not answering openly.

### **3.6 Data collection procedure**

The data was collected over a period of four months from the project participants and facilitators. The study used the interview and observation methods to collect data. The research used these two procedures as the information required was in-depth and, in some instances, probing that cannot be done by using use of a questionnaire. It was also used because much of the population was not literate and could not speak of English.

### **3.7 Data analysis**

The study used descriptive data analysis techniques such as frequencies to present collected data. Ngandu (2013), writing on data , refers to it as examining what has been collected in a survey experiment and making deductions and inferences. The data in the study is manipulated in order to draw conclusions which reflect on the interests, ideas and theories that led to the study.

The data collected from the interview was categorized according to themes and presented in narrations and themes. Qualitative data analysis procedures were used to provide explanations about participation. Some descriptive statistics, specifically frequencies and percentages were also used, and Statistical Package for Social Sciences (spss) was used to generate tables and pie charts.

The study was a descriptive survey because there was need to collect information by the use of interview guides. Kerlinger (1969) points out that descriptive studies are not restricted to fact finding, but formulation of important principles of knowledge and solutions to significant

problems. They are more than just a collection of data for they involve measurement, classification, analysis, comparison and interpretation of data.

According to Ghosh (2002), a survey is a process by which facts are collected about the social aspects of a community's position and activities. Orodho (2003) looks at descriptive survey as a method of collecting information by interviewing or administering a questionnaire to a sample of individuals. Orodho and Kombo (2002:71) describe the use of descriptive survey as a process for collecting information about people's attitudes, opinions, habits or any of the variety of educational or social issues. The research design was descriptive in nature because it was assessing certain characteristics of a given community. Bless and Achola (1988:88) agree with this assertion when they say that descriptive research design gives an accurate account of the characteristics of a particular phenomenon, community or persons. In this instance, the research design was a descriptive survey in that it was looking at the concept of participation, and certain characteristics of participation were looked at in assessing whether or not a process was participatory. According to Bless and Kathuria (1993), a descriptive design also allows data to be listed or even to be grouped in order to assess how often they occur, that is, their frequency is determined. These frequencies can be illustrated in various ways such as graphs, tables and diagrams. This study used descriptive survey techniques such as narration and percentages to present the level of participation in the PAVIDIA approaches, as well as the retention of knowledge and skills. The percentages were used to describe the level of participation while narration was used to describe the nature of participation.

### **3.8 Data quality**

The study undertook a pilot study to test the instruments to check for some weaknesses. It helped give a clear definition of the focus of the study. Frankland and Bloor (1999:154) state that the use of triangulation in a study helps to concentrate on the data collection spectrum of the projected and analytical topics. The quality of this study depended on triangulation of research methods, in this case interviews, focus group discussions and observation methods.

### **3.9 Research Ethics**

Ethics are a set of moral principles which are suggested by an individual or group, are subsequently widely accepted, and offer rules and behavioural expectations about the most

correct conduct towards experimental subjects and respondents, employers, sponsors, other researchers, assistants and students (Strydom, 1988:24).

Permission was obtained from the Ministry of Agriculture and Livestock to carry out the study in the ministry's area of operation.

Consent was also sought from all of the participants in the study and assurance was given on the confidentiality on the information collected. On confidentiality the researcher promises not to disclose any information given during the study publicly. Emphasis must be placed on accurate and correct information so that the subjects will fully understand the investigation and consequently be able to make voluntary, thoroughly reasoned decisions about their possible participation (Strydom, 1988: 25-26).

Disclosure entailed the researcher telling the subjects the purpose of the study. According to White (2003), the researcher should be open and honest with the subjects by fully disclosing the purpose of the research, unless in circumstances where withholding information about the research or deceiving the subjects can be justified.

### **3.10 Summary of the Methodology**

The chapter looks at the methodology used in the study; it looks at the design of the study the population and the instruments used in the study. The study took a mixed approach study in that it used both qualitative and quantitative procedures, for both collecting and analysing data. The study employed an observation guide as well as an interview guide.



## **CHAPTER FOUR**

### **FINDINGS OF THE STUDY**

#### **4.0 Introduction**

This chapter presents findings of the study. It itemizes the findings as per objective. The objectives of the study were: to assess the approaches used by PAVIDIA; to find out how participatory these approaches were; to find out the methods used by PAVIDIA; to determine the level of participation in the selection of project participants; and to determine participants' retention of skills and knowledge.

#### **4.1 Methods Used by PAVIDIA**

The main feature of the PAVIDIA methods is participation of the whole community in the process. The methods used are the participatory rural appraisal and participatory extension approach. From the study it was discovered that the methods used were group discussions, problem ranking, and problem tree analysis, transect walk, leadership styles, community mapping, interviews, action planning and monitoring and evaluation.

The village development approach is characterized by provision of opportunities to community members for implementing agriculture based income generating micro-projects. The distinguishing feature of this method is that it is local resource based, community members identify the local resources available and prioritize how best to use them for uplifting their own livelihoods. This approach includes availability of seed money in form of a community grant to complement local effort and wisdom. The village is thus the entry point and opportunity provider. Table 3 below shows the rank order of the methods the participants remembered using.

**Table 3: Ranking Order of the Training Methods Participants Remembered as having been Used**

<b>Method Used</b>	<b>No of participants out of 200</b>	<b>% of participants out of 200</b>
Interview	200	100%
Discussion	198	99%
Problem tree ranking	178	87.5%
Transect walk	150	75%
Mapping	120	60%

A large number of the participants in PAVIDIA remembered most of the methods used. The highest in frequency was the interview which everyone remembered, followed by discussion. The lowest was mapping which was remembered by 120 participants out of 200 or 60 percent. This number is inclusive of those who could name the method and give full description as well as those who just described what was involved in mapping. One participant, speaking on behalf of the others, said:

*Being interviewed is what we remember most followed by the discussion because these two took time as a lot was said. In the interview we remembered a lot of what was said, but in the discussion we remembered some, especially where there was a lot of heated debate. Others we cannot remember because a lot was said. In the one involving walking around and drawing, some of us remember because we were interested in wanting to draw and write but the majority did not participate that much. That is why we cannot remember we had little interest.*

The facilitators' responses on the use of approaches were all similar in the sense that there was uniformity in all the responses because of the use of the same document, the PEA manual and PAVIDIA.

*The participants were highly involved in the interview and the discussion. In the discussion a lot was said and it was so highly interactive that not everyone can remember all that was said. Most remember a lot due to the high level of participation in the two mentioned methods while in mapping some cannot remember because their involvement was minimal.*

The facilitators went on to explain that the PAVIDA project /approach applied the Participatory Approach to Sustained Village Development (PASVID) to achieve its objectives. The aim of PASVID is to develop a prosperous and autonomous village with rural amenities through implementation of a Micro Project (MP). To explain what a prosperous village is, PASVID lists six areas as development objectives:

- a) Poverty alleviation
- b) Economic expansion
- c) Stabilization of food production
- d) Environmental conservation
- e) Creation of amusement and
- f) Restoration of self confidence, pride and dignity of the village community

The facilitators explained further that on the other hand, autonomy of a village can be achieved through nurturing mutual reliance and self reliance among the village community and by reinforcing existing village rules and norms. In order to achieve the development of such a village, PASVID recommends that the village should begin with stabilization of agriculture methods and food production, as the foundation of village livelihood. Therefore the MP should be agriculture-oriented, focusing on sustainable agriculture (SA).

#### **4.2 The Level of Participation in the Approaches Used by PAVIDIA**

When asked whether the methods used by PAVIDIA were participatory, the facilitators responded that these methods were designed to be all-inclusive; and that selection of these methods was such that whatever method selected, it should involve the whole community. The participation of all members of the community was the number one priority. The methods used were at two levels or forms that is, programme and process, meaning the members could join and participate at each stage.

According to the facilitators, the PAVIDIA approach is a three-phase approach. The initial phase involved the extension officers visiting villages where the project was likely to be implemented. At this point information is collected with the use of a baseline survey. The members of the village are interviewed to find out, among other things, the total population, gender, age, level of education, economic standing, assets, income generative measures (piece

work, kantemba, etc) and some of the problems they encounter. At this level, members of the community were not involved, except that they were to be interviewed.

The next level involved the selection of the village to be part of the project. The extension officer selects the village that has qualified and introduces the PAVIDIA approach and later invites questions from the community on issues that were not clear to them.

According to the facilitators, the last level involved the members of the community and the extension officer doing a mapping of the whole area. This was followed by a transect walk which was done to define clearly what resources were available in the community. After this, the community sat down to do the problem tree ranking and analysis. This is the stage when all the problems the participants have encountered are listed, discussed and then placed in order of priority. This is the stage when the whole community was actively involved. Lastly, the community was told to select five problem areas on which they could work to improve the livelihood of the members.

The participants said they were involved in the selection of approaches to be used even though it was the extension officers who came up with the list from which they made their selection. At this level, the extension officers did not use approaches but methods. A participant said:

*We chose the approaches we wanted to use but these were not from our minds because we knew very little. The facilitators came with a list that we used to select from. They are the experts.*

The participants' response on how participatory the methods used were was in the form of narration of what took place. They stated that in the initial stage of the PAVIDIA approach, the extension officer met with the whole community in a central place. The community was not involved in the selection of methods as the extension officer was the one who selected the methods to be used. One woman explained the selection of methods as follows:

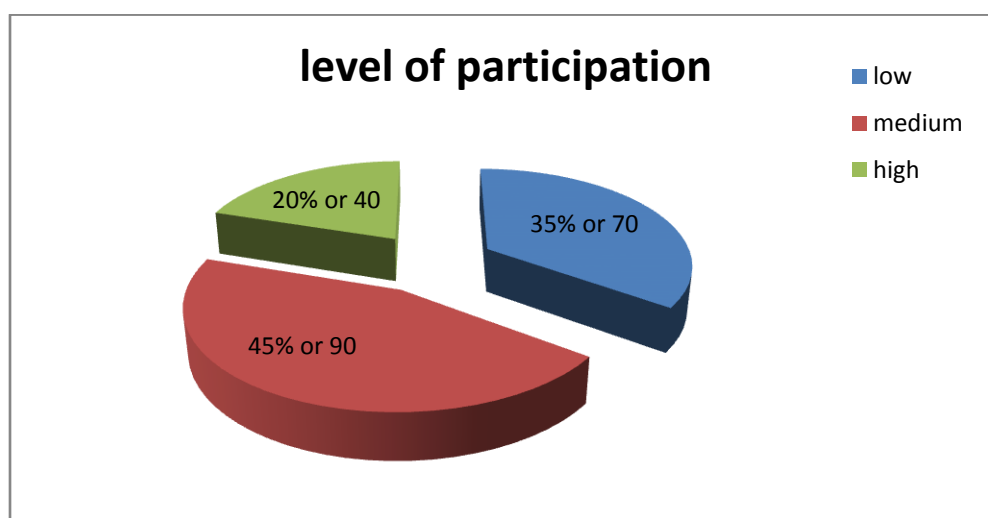
*In the beginning, when the people from agriculture came with the whites we were not involved in the selection of any method. We were all called for a meeting at the village square. We just sat and listened as the people from agriculture explained what we were going to do from a list they came with. We did not choose what was on the list but were just told in the meeting.*

The PAVIDIA approach was designed in such a way that the community came up with its own project and the extension officer was merely a facilitator in the whole process. In the beginning the whole community sat down and went through a process of problem identification, analysis and came up with possible solutions. The extension officer served only as a guide, but the discussion was open to the whole community to come up with their own problems. After the identification of the problems and possible solutions, the community selected what training was required. These ranged from styles of leadership to management of projects so that members were made aware of democratic principles and gender roles. The community was also trained in skills of tailoring, bricklaying and carpentry. Some of the training was specialised and required bringing in of a specialist to teach. Initially the participants said it was not easy to understand, but as time went on, and after further explanations and demonstrations, they began to understand.

The participants went on to say that they were involved in the methods used, though the facilitators introduced the list of approaches that were performed. At this level the extension officers were not introducing approaches but methods. One of the respondent's replies was:

*We sat down with the people from agriculture and learnt about the methods they came up with. We were involved at this level because we were all learning.*

Figure 9 below shows the level of participation in the selection of approaches ranging from low, medium and high levels of participation.



**Figure 9: The Level of Participation in the Selection of Approaches**

Out of the 200 respondents twenty percent or 40 of the participants said the approaches used were participatory while forty-five percent or 90 said to a certain extent they were participatory, while the remaining thirty-five percent or 70 said the approaches used were not participatory. The participants said they were involved in the selection of approaches to be used though the chosen approach depended on its easy application. The extension officers at the end of the day would select the approach they thought would be appropriate. The whole community was involved in the selection of a project that was to be run using available natural resources and labour. In response to how participatory the process was, one participant said:

*A few of us feel the methods we were using were participatory. Others felt that, to an extent, we were involved and the methods we used were okay while those who had little participation felt they were not participatory. Another response was that we were made to choose from a list of methods what we wanted to use. Those of us involved in selecting and learning feel what we chose was participatory. Some of the methods were very participatory and easy to understand, while others were difficult too even remember how we did them.*

In addition to the participants' subjective measurement of the level of participation, an objective measure of participation employing Pretty's typology of participation was used in the study. When measured using the scale this was at level six which is interactive participation. At the level of programme implementation the PAVIDIA approach is merely a teaching and learning interaction where the community members are recipients. At the level of process, it is more interactive. The programme is developed elsewhere and later introduced to the community. Here the only participation is in attendance. At the level of process, the methods and techniques involve the whole community, even though the members are not involved in the selection of methods to be used. Once the methods are selected the whole community is involved in the implementation.

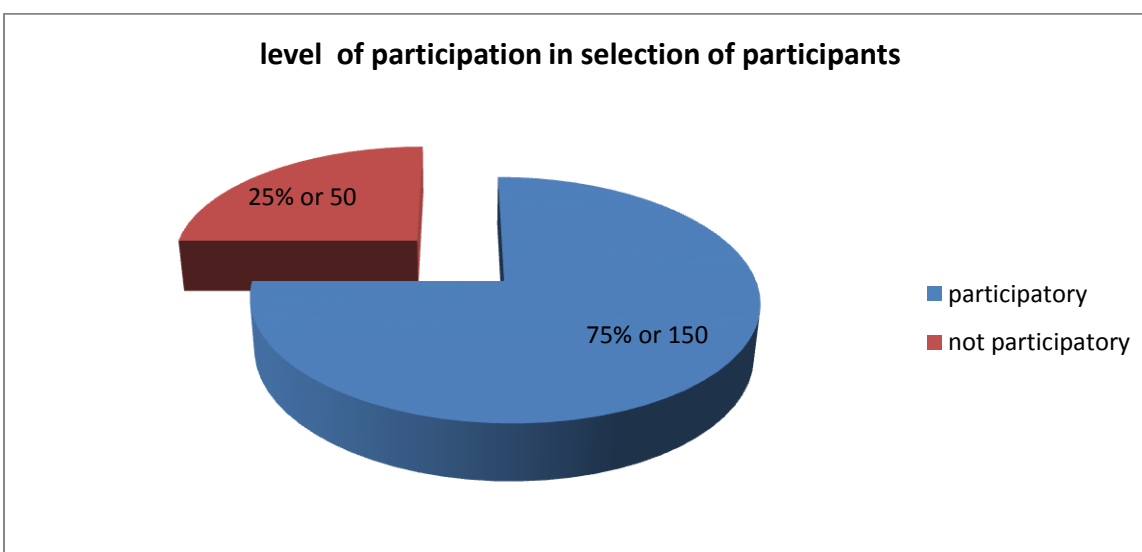
At the point of activity, the measurement of the level of participation is high as the projects to be implemented are chosen by the community. The community contributes labour, time and land, thereby creating a partnership. From the point of this activity, the type of participation when measured on the Biggs scale 4 is collegiate.

This study did not use Arnstein's ladder of participation in its entirety because some rungs were found to be unsuitable to the project context. However, the last three rungs of Arnstein's ladder

of citizen participation were found to be useful. These are: partnership, delegation and citizen control. The local community in the study partnered with Japanese International Cooperation Agency (JICA) and extension workers from the Ministry of Agriculture, Livestock and Fisheries in training and resource mobilization. At the level of delegation, there was delegation of authority from the project facilitators to local leadership. The various committees were managed by local people. Lastly, finances were under the control of community members, although under the watchful eye of the extension workers. Two signatories were selected from among the community members and one representative from the local district agriculture office.

#### 4.3 The Level of Participation in Selection of Participants

The extension officers responded that eligibility to participate in the project was open to the whole community; all adults were free to participate in the project. The whole community was asked to come up with their own projects, each of which would require a sub-committee to spear head it. The following are the levels of participation as shown in figure 10 below. Seventy-five percent of the participants thought their selection was participatory while the remaining said it was not participatory, this is because they felt they were not involved in any part of the project.



**Figure 10: Level of Participation in Selection of Participants**

When asked who were involved in the selection of participants and what criteria were used, the extension officers replied that the whole community was involved as everybody was eligible and there were no set criteria on selection of participants. The whole community came up with its own committee for the project; members sat down and held nominations and elected the office bearers. The extension officer only served as a guide in the selection of the participants, only advising on the number of positions a project committee should have. Various projects also needed to have committees and selection of participants in these was dependent on experience. The programmes ranged from poultry, tailoring, building, cows, school, borehole, vegetable gardening and a tuck shop. The members of the committee were nominated and elected. Here priority was given to members of the community with experience in the field while the other members were free to join.

The project participants' response on whether they were involved in the selection to participants in the programmes was that it was open to all members of the community. Even the various committees were open to the whole community; it was only that some required specialisation or members who had experience in a particular area. They went on to say that even in these it was not all members who were experts, may be two or three, while the rest were trained by experts who came to train the community as a whole. From their responses, it came out that those with interest were selected, by their mere interest and curiosity even in areas where they knew nothing or very little. One participant said:

*We were all involved in the programme. They informed all of us of the coming of the experts to train us. A community meeting was called that was compulsory for all. Only those who were busy or had urgent matters and were away were not involved. We even had small groups formed from the entire community. These consisted of people who had knowledge of the various activities we selected to undertake and those with interest in particular activities. Those of us who knew tailoring went to that group, for example, as well as some who wanted to learn about tailoring.*

From the study it was apparent that there was better service delivery on both sides of the project, the participants and project facilitators were all available and delivering their parts in the project in terms of labour, inputs and expertise. The community meetings were held twice a week involving the whole community as well as the project providers. This was followed by the specialised or specific group meetings where the different categories in the project met every



day. The meetings were specific in that it was compulsory for all members of the community to attend the meetings, and those who were absent were penalised unless apologies were given prior to this. In these meetings, there was no discrimination on the basis of gender or monetary status. The whole community was a direct beneficiary of the project. From inception, the project required the community to assume leadership roles. We had the main committee, which included the local leadership as well as selected members of the community. The project had different sub-groups handling the various projects and activities run by the community, and headed by different people who were specialized in a particular project

#### **4.4 Retention of Knowledge and Skills Acquired**

Participants in the PAVIDIA project were taught some basic livelihood skills such as numeracy, tailoring, health, democracy, marketing of agriculture produce and crop management. Two processes were used in order to determine retention in this study. Firstly the researcher confirmed which skills were used by participants in their daily lives. Participants who did not have these skills prior to their training in PAVIDIA reported that they were now able to sew, market their goods and even plant their crops properly. With regard to what participants had learned which they could remember, one participant said:

*Before we were trained some of us did not know how to sew, even what crops to grow when and how to sell them without making a loss and at the same time avoid going hungry. The more we participated the more we were able to remember what we were taught because we were practicing.*

Secondly, the facilitators were asked what they felt was the level of retention, and they responded that it was quite high considering that most of what was taught was hands on and was for immediate use in the participants' lives.

The participants' response on how much was taught and remembered was similar to that of the providers. They also said, that those who were involved remembered much, while those with little or no interest seemed to be separated from their colleagues. As a result of the project, the community was empowered in both skills and knowledge. There is supply of clean drinking water, meaning there are fewer diseases and more time to be productive. The community has a project that is empowering its members, bringing in income. The project has also enabled the members to plan for the future and have a revolving fund. So the community is able to develop

and have infrastructure as a result of the project. The project was tailored according to the needs of the community. They identified their own needs and so it is their choice all the way. The project is owned by the whole community and so everything is based on the needs they have selected.

The facilitators felt that the level of retention of knowledge and skills was high, especially among those who were involved directly with the project. Out of the total population of participants, sixty-five percent were able to remember what was taught while the remaining twenty-five percent did not know much. The sixty-five percent remembered and could even give an explanation of all they learnt, while the remaining twenty-five percent had minimal knowledge. The knowledge and skills are still in use even after the project has come to an end. This is because the programmes are still running and the project is designed to be flexible and relevant to the needs of the community. The project is revolving and has room for improvement and make changes to suit the needs at any particular time. The project can thus grow to include other things. From the study, it was discovered that the level of retention of knowledge and skills was equivalent to the level of participation. Some of the members of the community were left out because they chose not to participate for various reasons. Specialisation in what was taught was also linked to a high level of retention of skills and knowledge. There was always a committee which had a high level of both skills and knowledge. It also came to light that those who stayed longer and participated in the various projects had a higher level of retention of skills and knowledge.

#### **4.5 Application of Knowledge and Skills Acquired**

The facilitators stated that project participants were able to use the knowledge and skills acquired to run the project even after the project year ended. The facilitators further stated that the participants remembered most of what was taught because they were applying what they had learnt.

When asked the question on how much of what was taught was actually applied and remembered, the facilitators' response was that the skills and knowledge were being used in the communities' daily life, as the project and knowledge had remained with them. Their knowledge of hygiene means that they live a healthy life and apply its rules in their daily life.

The knowledge and skills acquired were also applied in various aspects, so it was difficult to forget them. Most of the knowledge and skills taught were put to immediate use. The other knowledge can be applied in future as in the case of rain-fed vegetable gardening, which is seasonal.

When the participants were asked what they could remember and do, it came to light that those who took part remembered while those who were passengers remembered knew very little or nothing. The skills acquired were hands on and the participants responded confidently that they were able to use the skills as well as teach others. Some of the skills were complicated and these required constant reminder and if you have all forgotten it is difficult to apply. There was also a problem of cooperation among the community members. Sometimes there were disagreements on issues of how to apply skills and how to manage funds.

#### **4.6 Summary of Findings and Conclusions**

The study revealed that the PAVIDIA approach involved many approaches brought together to form one. It also came to light that the approach is a two- level programme on the one hand and process on the other. The approach has stages involving different processes. The level of participation of the methods selected was dependent on the method selected and its ease of use or application. The level of participation on selecting participants was high, especially because the project was open to all members of the community.

The level of skills and knowledge acquired were proportional to the level of participation in that the higher the level of participation, the more the participants remembered. Much of what was taught was remembered, especially by those members of the community who were involved actively and stayed longer in the chosen projects. The use of what was taught was easy to apply and remember. The more it was put into use the more it was remembered.

## **CHAPTER FIVE**

### **DISCUSSION OF FINDINGS CONCLUSIONS AND RECOMMENDATIONS**

#### **5.0 Introduction**

This chapter gives a discussion of the findings of the study. It then goes on to give conclusions and recommendations for the entire study.

#### **5.1 Discussion of Findings**

This chapter discusses the findings for the study on the participatory approaches used by the PAVIDIA project in Chongwe District. This study focused on four objectives these were:

- To find out the methods used by PAVIDIA
- To assess the approaches used by the PAVIDIA project
- To find out how participatory the approaches used by PAVIDIA were
- To determine the level of participation of community members in the selection of project participants
- To determine the participants' retention of knowledge and skills acquired.

Many different labels have been attached to participatory approaches, some with a long lineage in the context of third world development work. They include participatory learning and action, participatory rural assessment, rapid urban environmental assessment, rapid rural appraisal, participatory action research and evaluation. The technique rapid assessment or rapid appraisal was developed in the 1970s and 1980s as an antidote or alternative to large scale survey studies which were perceived to give insufficient attention to people's local knowledge. The method encouraged the active involvement of local people with perspective and knowledge of the area's conditions, traditions and social structure in data gathering activities, using a variety of informal techniques that could be employed within a short timescale.

### **5.1.1 Assessing the Level of Participation**

It can be seen that most definitions of participation encompass indicators of participation developed by several authors. The study showed that there are contradictory conclusions on the level of participation, depending on whether one uses Biggs's modes of participation (1989) or Pretty's typology of participation (1995), and these are not necessarily in harmony. White (1994) states that the word participation changes according to the meaning attached to it by those involved. Participation can also be very elusive and thereby change from time to time. White further argues that participation is contextual. As such, local participation can differ from non-local participation. Generally speaking, however, participation can be defined as a "process through which stakeholders influence and share control over development initiatives, decisions and resources that affect their lives" (Cooke and Kothari 2001:5). Nelson and Wrights (1995) posit that participation can be used to mean empowerment of the weakest and the poorest so that they can objectively make decisions that affect their lives. Arrossi (1994) also maintains that while the term participation can be used in different ways, such as a means to reduce cost of the project, provision of cheap labour and a means of mobilising support, a very different understanding of participation is the one that encourages the community to become involved in the project's decision making process and to influence the manner in which resources are used, as well as make choices about what should be done.

This study showed that measuring participation is complex. During the process of literature review there was a dearth of literature on the complexities of measuring participation. However there were several measures of participation, for example, Barrow and Murphy (1988) and Schaffer's level of participation, Biggs's modes of participation and Pretty's typology of participation. Participation is not an easy thing to measure hence the need to come up with indicators to assess whether or not a process is participatory. The UNDP (2009:2) came up with criteria for the selection of indicators. These are: valid, relevant, timely, reliable, sensitive and cost effective.

The selection of indicators is a critical issue and the most important thing is to ensure that the proposed indicators meet the above criteria. There is little point in selecting indicators which, for example, are over-complex, demand enormous amounts of staff time or appear to be

unrelated to the objectives of the project. Furthermore, indicators of participation will need to be both quantitative and qualitative: quantitative indicators to measure the extent and the magnitude and qualitative indicators to describe and to explain the nature and quality of the participation which has occurred. The following is a composite list of possible indicators of a process of participation which is drawn from a range of project level examples:

The quantitative indicators of participation are numerical in nature, hence you are able to measure some of these are improved and more effective service delivery, number of project level meetings and attendance levels, the percentage of different groups attending meetings, for example, women or the landless, the number of direct project beneficiaries, project input take-up rates, the number of local leaders assuming positions of responsibility, the number of local people who acquire positions in formal organizations and those involved in different stages of the project. World Bank (1996) and ADB (1996) leaned towards quantitative measures. These measures are limited in revealing the nature and form of participation.

Chambers (1997), Jules and Pretty (1995) and CSO (2002) leaned more on qualitative measures. The question of how participatory the process was depends on whether a researcher used quantitative or qualitative measures. The qualitative indicators of participation are not necessarily numerical. Example include organizational growth at community level, growing solidarity and mutual support, knowledge of financial status of the project concern to be involved in decision-making at different stages, increasing ability of project group to propose and undertake actions, representation in other government or political bodies with relation to the project, emergence of people willing to take on leadership, interaction and the building of contacts with other groups and organisations, people beginning to have a say in and to influence local politics and policy formulation.

As a result of the project, the community was better organized. They were working better together as a team. All were able to access the financial records for the project. The decisions were made by consensus. There was mutual respect and joint decision making. The community were prompt in making decisions and taking action. The project had representation from government; the agriculture extension officer was part of all decisions taking place both as a

guide and team member. The provincial agriculture coordinator is a signatory to all financial activities taking place. As a result of the project, the community had made links with funders and other players and non-governmental organizations. The community were also able to come up with policies and guidelines.

Apart from measures of participation which are quantitative or qualitative is the context in which the participation is taking place. This study reviewed literature on three different scales of measurement. Arising from this it was found that each scale is contextual. Biggs's Modes of participation, written from an agriculture perspective, is what was adopted in its entirety for this study. The study was assessing a project that is agricultural in all its functions, but the other scales of measurement were not done away with. The study went on to adopt the last three of Pretty's typology of participation. This is because they were the only ones that could be adapted to fit into the context of the study. The purpose of any form of participation is to bring about a change in the behaviour of the community. Pretty's Typology is critiqued on that aspect as it does not take into consideration outsiders' influence. Arnstein (1969) on the other hand writes about a ladder, denoting that some are below and others above and there is need to climb up to get better incentives. As you move up the ladder, you notice that more power and authority are given.

According to VSO (2002), participation as a process aims to: change the balance of power so that everyone's rights and aspirations are respected, acknowledged and used as a basis for dialogue; generate shared understanding of problems, priorities and possibilities; agree achievable and sustainable change and action; build the capacity of local stakeholders to initiate self- mobilised action; celebrate achievements; develop strengths; and generate shared learning. Participation entails learning, partnership and empowerment, voluntary contribution to public programmes. Participation is people's 'involvement in shaping, implementing and evaluating programmes, and sharing the benefits. Lastly it is an active process where intended beneficiaries influence programme outcomes and gain personal growth (Oakley, 1989).

Why people participate in development programmes is answered by the World Bank. The World Bank's reasons for community participation are that: 1. Local people have a great amount of experience and insight into what works, what does not work and why. 2. Involving

local people in planning projects can increase their commitment to a project. 3. Involving local people can help them to develop technical and managerial skills and thereby increase their opportunities for employment. 4. Involving local people helps to increase the resources available for the programme. 5. Involving local people is a way to bring about 'social learning' for both planners and beneficiaries. 'Social learning' means the development of partnerships between professionals and local people, in which, each group learns from the other (World Bank: 2004)

Participation is not the overall goal, but is the means to achieve the objective. Each and every project has that which it hopes to achieve. The purpose of participation will vary, depending on the local conditions. The form or type of participation should have a clear purpose. It is worth noting that one cannot have one uniform or standard form of participation that can be applied in all forms of rural development. The practice of applying a standard packages of participation in all rural development projects without a clear purpose by hiring NGOs, organizing beneficiary groups, conducting consultation workshops, providing training courses, and developing village plans is not necessarily worthwhile, and automatic application should be discouraged.

The critique on the use of participation to improve the livelihood of communities has raised a few questions. Cleaver (1999) looks at a number of specific areas which may contribute to resolving some of the paradoxes of participation.

1. An analysis of the resources which people need in order to participate in development efforts and, in particular, an analysis of which participatory approaches are low cost and are of high benefit to poor people.
2. An analysis of whether and how the structures of participatory projects include/ protect/ secure the interests of poor people.
3. More data on participatory partnership' which are claimed to work, especially on the role of better, more responsive bureaucracy in such partnerships (Jarman and Johnson, 1997; Thompson, 1995).
4. Analyses of 'competent' communities and 'successful' participatory projects that focus on process, on power dynamics, on patterns of inclusion and exclusion. This would involve more



process documentation and analysis of conflict, consensus building and decision making within communities, not just those activities related to the particular development project in hand.

### **5.1.2 Level of Participation in PAVIDIA Approaches**

The study established that the PAVIDIA approach is not one approach but a combination of several approaches. The main purpose of participatory techniques is to enable development practitioners, government officials, and local people to work together to plan context appropriate programs (MACO, 2008:15). In line with this, it was evident from the study that PAVIDIA drew from the participatory extension approach which in turn draws from training for transformation, Paulo Freire, participatory rural appraisal and the rapid rural appraisal. The approaches used are two-fold. At the level of programming it was discovered that approaches were used, but at the level of the process they used methods such as transect walks, discussions, problem tree analysis and ranking.

At the level of programme it is mainly used by the funders of the programme and Ministry of Agriculture. The approaches serve as a guide to the programme providers and are of no use to the project participants. All in all, there is limited involvement at this level and the participants are not aware of any approach, while at the level of process the level of participation is high. The methods used are interactive and quite flexible both in use and application. These are not limited to one or two methods, but several used as the project progresses. The methods in use are level three to six on the Barrow and Murphy levels of participation, which consists of six levels that range from passive to self- mobilization.

Participation, as earlier stated is contextual. So are participatory approaches. The selection of the type of approach to use is dependent upon several factors, some of which include the terrain, the community and the level of competency of the facilitator in the use of a particular approach. In the NGO world there is no agreed upon or uniform application and use of an approach. There is very little participation of the rural communities in selecting the approach to be used. There is participation in the application of a selected approach. Holmes (2001), in a study on participatory approaches, had this to say: the practice of a participatory approach emerges from a complex process of negotiation where field workers are subjected to unique combinations of

competing influences from the organizations they work for, the community they work with and their personnel characteristics. It suggests that field workers can actively pursue personal agendas and can be actively involved in changing the structures that condition their actions. Chambers (1995) writes that the choice of development professionals is key in determining how participatory processes are used. In order for there to be an improvement in participatory practices, there is need for the approaches to be successfully institutionalised in organisations (Chambers, 1998).

Participatory approaches have been widely incorporated into the policies of non – governmental organizations and state organizations involved in developmental activities (Blackburn and Holland; 1998). There has, how-ever, been a gap between rhetoric and participatory practice (Nelson and Wright 1995). Many development organizations now want to apply participatory research and development more effectively and are now asking how to institutionalize such approaches into day to day practice (Thompson, 1995).

The PAVIDIA approach draws from many concepts; key among these is the participatory rural appraisal. In Zambia today very few studies have been done to assess the level of participation of the approaches used, hence the need for this study. The PAVIDIA approach is implemented in the form of a micro-project where the project providers come in to implement the project, but as is the case in such situations, the field workers come with their own orientation and culture. This is echoed by Chambers (1997) when he talks about inappropriate behaviour of facilitators.

Participatory projects are very difficult to implement fully. This is so because most of these are projects that have different levels or phases. The PAVIDIA approach is at two levels the programme phase where there is very little involvement of the recipients and project level where the community is involved. This is no different from other areas in Africa where projects have been undertaken by non-governmental organizations.

### **5.1.3 Selection of Project Participants**

The ideal participation is that a whole community is involved in the project or program. In most projects, especially externally funded ones, there is a lot of donor influence in who is involved and the criteria set for the selection of program participants. PAVIDIA selects participants as a whole, that is, it targets villages, not individuals, to participate in the project. Some of the

criteria for qualification are willingness to be involved in a project, living in an isolated area and being at high levels of poverty. Some of the activities used to assess the level of poverty include wealth ranking. Chambers (1997), writing on PRA, states that community wealth ranking involves the community sitting down and coming up with a list of their property. This includes the type of house, number of livestock owned and may be, the number of meals a family has in a day. At this level, participation involves information giving because the community, at the end of the day, has very little say. Here it is at programme level and can be compared to tokenism.

On the other hand there is programme implementation, if the said community has qualified and met the laid out criteria for selection. The community will now sit down and undergo brief training that will include project management. But before this the community sits down and decides on the projects they want to undertake. They also take the local resources into consideration when selecting these. In all this activity there are issues of democracy involved. There should also be a thirty per cent quota for women. Self-governance is also considered. PAVIDIA works with existing structures of authority like headmen and indunas (PEA: 2012). The community select their own sub-committees from among themselves. These are headed by members of the community with some experience in each particular field. Here participation is at a high level when measured against Biggs's modes of participation. It is collegiate, the highest level where the local community and facilitators are colleagues, with different skills to offer. In the end there is mutual learning.

Chambers (1997) writes that it is a male dominated world and the reality is that very few women would be selected to take part in a training programme. He goes on to say that the different categories of members of a community have diverse needs, perceptions and points of view, hence the need to have different selection criteria for each category to be represented. This statement by Chambers is conclusive on the level of participation and on the selection of project participants, but it can be challenged depending on what view one holds.

#### **5.1.4 Participation and Retention of Knowledge and Skills**

The retention of knowledge and skills was high, especially among those involved directly in the project, the project was open to all community members but it was not everyone who was willing to participate. When compared with the Pretty's typology it shows that this is the best one in as far as involving the community. According to Pretty (1995), participation may tend to

be passive but control over the above is liberating. Participation results in a number of things, for example, it leads to increased sharing of benefits and decision-making powers in the development context. People or groups of people access skills that enable them to analyze their living conditions and to plan for themselves. It also means that social processes take place within certain groups or collaboration networks that go beyond the community are formed.

### **Empowering Education**

Participation in any educational programme should result in a change of some sort. This is dependent on the type and purpose of the endeavour. Shor (1992), in his book on “Empowering Education”, has a few thoughts on participation. For him, participation is a form of empowering education which is a student-centered, critical and democratic pedagogy for studying any subject matter for self and social change. It takes shape as a dialogue in which teachers and students mutually investigate everyday themes, social issues, and academic knowledge. Through dialogue and problem-posing, students become active agents of their learning.

Shor further states that participation is a student-centered program for multicultural democracy in school and society. It approaches individual growth as an active, co-operative and social process because the self and society create each other. The goals of this pedagogy are to relate personal growth to public life by developing strong skills, academic knowledge, habits of inquiry, and critical curiosity about society, power, inequality, and change. He goes on to explain that the first step in creating empowering education is participation. A participatory pedagogy gets students to interact and allows them to feel involved in their learning. It allows them to feel as though their voices are heard and that decisions are mutual, not strictly teacher driven.

“Education can socialize students into critical thought or into dependence on authority, that is, into autonomous habits of mind or into passive habits of following authorities, waiting to be told what to do and what things mean.”

The correct type of education results in sustained knowledge among the learners. Empowered students make meaning and act from reflection instead of memorizing facts and values handed to them.

## **Chambers's Whose Reality Counts**

Chambers (1997), writing from a point of analysis of participation of local people, looks at approaches like ZOPP and asks several questions on participation. He looks at participants selected to take part in training: firstly, are participants male dominated, and is the sample adequate to be representative? There is no guarantee that the views of the sample will be those of the target villages they represent. By using methods which tended to marginalize some groups, the view of the problem and priorities were limited. Men, women, the youth and old have different skills, resources, rights, occupations, perceptions, needs, priorities and realities and demand analysis of difference in development (Welbourne 1991:183).

Much as scholars discuss the level of retention of knowledge and skills and endeavour to measure it, the focus should be on local people. The discussion given by Chambers brings out the issue of whose reality counts; you have the providers as well as the project recipients who bring out various categories of issues such as gender, age, and these influence perspectives. Measurement of the level of participation using retention of skills and knowledge is a daunting task because the preference and interest of local people may be heterogeneous. Women have different interests from men and the youth. They may thus participate more in one area as compared to another, and so if you are to measure the level of retention of knowledge and skills the findings might be biased.

Chambers and Shor bring another angle that is worth looking at when discussing retention of knowledge and skills. Chambers talks about an NGO coming up with its own selected topic, while Shor (1992) talks about the curricula making sense and having meaning to the learner. Both these authors are talking about a point worth taking note of because participation is contextual and the learning should be relevant and centred on the felt needs of a community. This will yield high levels of participation and retention of knowledge and skills.

## **5.2 Conclusions**

Several nongovernmental organizations in Zambia were using different participatory approaches at the time of the study. Key among these participatory approaches is the Participatory Rural

Appraisal. One approach that has risen and adopted elements of PRA and Participatory Extension Approach is the PAVIDIA approach. The study was an assessment of the participation in the PAVIDIA approach. This study took place at a time when there was a dearth of literature on studies that measure participation even though participation was in use by several organizations. The study sought to examine the level of participation in the PAVIDIA approach.

The study showed that measuring participation is complex. One scale of measurement may lead a researcher to conclude that participation is high and another may lead to the opposite conclusion. This implies a need to develop and adopt similar scales for measuring participation. The level of participation in the methods used was dependent on the method selected and how easy it was to use or apply. The level of participation on selecting participants was high especially because the project was open to all members of the community. With regard to sustaining the benefits of participation, this study established that those who participated in the selection process and were running the various projects were able to remember and implement all they had learnt. The level of skills and knowledge acquired was proportional to the level of participation in that the higher the level of participation, the more the participants remembered. Much of what was taught was remembered by those community members who stayed longer on projects and practiced what they learnt. Participation has no one meaning that is acceptable to all those engaged in participatory work. The danger of having several meanings of participation is that some development workers may engage in activities that are not empowering.

There were many approaches used at the time of the study and the selection of the approach depended on the organisation implementing the project as well as the level of familiarity of the facilitator in using that particular approach. Some approaches were used in their entirety while others had to be adapted to suit particular contexts.

### **5.3 Recommendations**

Government, NGO'S and other development agencies working as partners, should facilitate the development of participatory guidelines and a frame of reference for use in community development activities. This will address the varying meanings of participation identified in the

literature and ensure that all facilitators of development at community level use empowering participatory approaches.

Tertiary institutions and universities offering courses involving community development should make it mandatory for their students to study participatory approaches to development in order to ensure that all community development workers are familiar with empowering approaches.

Social science researchers should carry out more research on the application of participatory approaches by various organizations in order to establish levels of participation in the communities. The findings of such research will be used to ensure that community development workers use empowering approaches.

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## **APPENDIX 1**

### **Interview guide for facilitators**

**Dear respondent I am a master's student from the University of Zambia under taking a research in participatory approaches. You have been selected to be part of my study; this study serves academic purposes only. It will not be a requirement for you to give your name, and any informational shared will be regarded as highly confidential. Please feel free to be part of the study, but note that should you choose not to be part of the study it is all right.**

1. What are the approaches used by PaViDIA?
2. How participatory are the approaches used by PaViDIA
3. How is the selection of approaches done?
4. How applicable have been the approaches you have used?
5. How are the project participants selected?
6. How participatory is the process of selection?
7. What is the level of retention of knowledge and skills acquired?
8. Are the participants able to teach others from the skills and knowledge acquired?
9. How much of what is learnt applied practically by participants?
8. What is the level of project sustenance?
10. What are some of the problems the participants have in the application of skills acquired?

### Interview guide for farmers

**Dear respondent I am a master's student from the University of Zambia under taking a research. You have been selected to be part of my study; this study serves academic purposes only. It will not be a requirement for you to give your name, and any informational shared will be regarded as highly confidential. Please feel free to be part of the study, but note that should you choose not to be part of the study it is all right.**

1. What are the approaches used by PaViDIA?
2. How participatory are the approaches used by PaViDIA
3. How is the selection of approaches done?
4. Are you as the community involved in the selection of the approach to be used?
5. How applicable have been the approaches you have used?
6. How were you selected to be part of the project?
7. How participatory is the process of selection?
8. What is the level of retention of knowledge and skills acquired?
9. How much have you learn't as result of being part of this project?
6. Are you able to teach others from the skills and knowledge acquired?
10. How much of what you learn can be applied practically?
11. Are you able to use the skills you have acquired from the project at home without any difficulty?
12. What is the level of project sustenance?
13. Do you think this project is able to sustain itself even after the project has closed?
14. What are some of the problems you have in the application of skills acquired?

## **APPENDIX 3**

### **Informed consent form**

The purpose of this research is to assess the level at which the approaches used by the PAVIDIA project are participatory.

The information obtained in this study will be used to prepare a research report. Any information obtained from you in connection with study will be kept confidential and available only to the researcher. If the report is to be published your name will not be disclosed.

Your participation in this study is voluntary. If you decide not to participate you are free to withdraw your consent and to discontinue participation at any time.

YOU ARE MAKING A DECISION TO PARTICIPATE IN THIS RESEARCH. YOUR SIGNATURE INDICATES THAT YOU HAVE DECIDED HAVING READ THE INFORMATION PROVIDED ABOVE

**Signature**

**Date**

## Time line

ACTIVITY					
Month	Selection of topic	Proposal writing	Data collection	Data analysis and preparation	Report presentation
January	xxxx				
February	xxxx				
March		xxxx			
April		xxxx			
May		xxxx			
June			xxxx		
July			xxxx		
August				xxxx	
September					xxxx

## Budget

Item	Quantity	Cost price	Total
Reams of paper	05	K 29,000	K 145,000
Pens	20	K 2000	K 40,000
Pencils	20	K1500	K30,000
Rubbers	05	K1000	K5000
Ruler	01	K 1500	K1500
Tape recorder	01	K 500,000	K500,000
Transport	5 months	K 2,000,000	K 2,000,000
Talk time		K 300,000	K 300,000
Printing photocopying		K 200	K 1,000.000
Typing		K3500	K 1,000.000
Binding	06	K 70,000	K 420,000
Research assistants	04 x3 months	K 750,000 a month	K9,000,000
Compact disks	02	K 5000	K10,000
		Total	K13,551500
		Contingency 30%	K4,065.000
		Grand total	K17,616,950