Participatory action research guide for facilitators

development focus

RESEARCH PROGRAM ON Aquatic Agricultural Systems

CGIAR

PARTICIPATORY ACTION RESEARCH GUIDE FOR FACILITATORS

Authors

Dr. Robert Nurick is director of Development Focus and has designed training for professionals in community development, strategic planning, monitoring and evaluation, and children's participation. He is also executive director of the DfID-funded research consortium – Migrating out of Poverty – at the University of Sussex. Robert has previously worked at the University of New South Wales, and as director of teaching at the Institute of Development Studies, University of Sussex. He can be reached at robert@developmentfocus.org.uk

Dr. Marina Apgar is a knowledge sharing and learning scientist at WorldFish, focusing on participatory action research and community engagement in the CGIAR Research Program on Aquatic Agricultural Systems. Marina is a human ecologist with experience working with rural, marginalized communities and supporting endogenous development in local and global programs. She is a champion of using complexity theory and strives to support emergent change through nurturing safe spaces for reflection and learning. She can be reached at m.apgar@cgiar.org

Citation

This publication should be cited as: Nurick R and Apgar M. 2014. Participatory Action Research: Guide for Facilitators. Penang, Malaysia: CGIAR Research Program on Aquatic Agricultural Systems. Manual: AAS-2014-46.

Acknowledgments

We would like to thank the community facilitators for their patience and enthusiasm in working with this guide and bringing it to life in their work with communities in the Tonle Sap Biosphere, Cambodia. We are also extremely grateful for their comments and inputs into earlier drafts of this guide and for their reflections on their experience of using it that has shaped this version. In particular, we would like to thank: Sochanny Hak, Sithirith Mak, Seila Chea, Sopheak Seng, Kosal Mam, Il Ouer, Dyna Eam, Sylyvann Borei and Julie Tsatsaros.

We wish to acknowledge that development of this guide and building the PAR process in the Tonle Sap hub builds on and is made possible by the foundational work of the constellation in building the capacity of community facilitators through their community life competence process.

We would also like to thank Gareth Johnstone for his support and commitment to the PAR process and for his insightful and critical reflections on the guide.

We are particularly appreciative of Boru Douthwaite for his guidance and intellectual mentoring in the development of the guide, ensuring that it maintained its focus in contributing to realizing the goals of the AAS program.

A special thanks to Vicky Johnson for her advice and guidance on the methodology that builds on her earlier work at Development Focus.

Thanks also to all those who reviewed earlier drafts: Ranjitha Puskur, Tendayi Maravanyika, Michelle Rice, Miranda Morgan and Paula Kantor.

We would like to extend our gratitude to all those living in the communities of Tonle Sap, for participating in the action research process and giving up their time to engage and work with the community facilitators to articulate an agenda for the future, one that aims to enhance their well-being and create opportunities for equitable and collaborative development.

CONTENTS

LIST OF ABBREVIATIONS

AAS	Aquatic Agricultural Systems
ADIC	Analyzing Development Issues Centre
CBO	community-based organization
CLCP	community life competency process
DDT	design and diagnosis team
GADC	Gender and Development for Cambodia
HDC	Hub Development Challenge
NGO	nongovernmental organization
PAR	participatory action research
RinD	research in development
SALT	Support/Stimulate, Appreciate, Listen, Transfer
SCW	stakeholder consultation workshop

OVERVIEW OF GUIDE

This guide is a resource document for the training and capacity building of facilitators who conduct participatory action research (PAR) in the CGIAR Research Program on Aquatic Agricultural Systems (AAS).

AAS aims to improve the lives of poor and vulnerable people reliant on aquatic and agricultural systems for their livelihoods, through collaborative, inclusive PAR with communities and other stakeholders.

The design of the research process follows a PAR approach with people in communities and other stakeholders involved in the research design. It recognizes the multiple voices within communities that need to inform and influence the research. It is a dialogic method of inquiry that creates new insights and understanding for both facilitators and participants; and it is an iterative structure that focuses on praxis – research leading to action and reflection, that informs further rounds of research.

This guide provides a road map for facilitators to support them in delivering a rigorous PAR process, providing them with guidance for effective facilitation that allows for critical reflection throughout the engagement process.

This guide has been written with an explicit focus on the Tonle Sap hub in Cambodia. The material in the guide is also relevant to other AAS hubs.

Who the guide is for:
The guide is primarily for the team of facilitators engaged with the PAR process. The team comprises community facilitators, staff from CGIAR managing centers (Bioversity, IWMI and WorldFish) and staff from AAS program partner organizations. The guide will also be of use to partner NGOs working on similar projects.

How to use this guide:
This guide provides you with reference materials to accompany your training and capacity building as you implement the program. You can use it to help you understand AAS and the role of PAR in realizing the goals of the program.

The guide provides a description of AAS in the Tonle Sap hub in Cambodia. It also provides you with a step-by-step guide for facilitating a structured and rigorous community engagement process that includes a range of participatory methods and an explanation of how to analyze the data and share findings. It provides you with guidance on effective facilitation and how to reflect on what you are doing and how to learn from this reflection.

The guide is divided into three parts:
Part I: Section 1 gives you the background of AAS, its aims and objectives and the role of PAR as a process for realizing these goals. Section 2 describes the experience of implementing the initial stages of the AAS program in the Tonle Sap biosphere in Cambodia.

Part II: Sections 3–6 provide you with the steps and tools to implement the 'strengthened community and hub-level engagement' stage of AAS, and should be used as a reference source as you undergo training in PAR and when you facilitate the PAR process in the Tonle Sap hub. Section 3 provides an overview of the PAR process that you will implement in the hub and the sequence of community engagement activities that you will carry out. Section 4 provides a detailed methodology for community engagement and describes the different stages of community engagement: from reviewing initial action plans, developing a coding system for monitoring who you speak with, how to analyze your data, to developing action plans and indicators. Section 5 provides you with guidance on how to enhance your facilitation skills, plan your engagement sessions and ensure you follow appropriate ethical and safety protocols. Section 6 provides you with the structure and tools to reflect and learn from the community engagement process that you facilitate. It helps you to reflect on the aims and objectives of community engagement, on the community engagement activities that you conduct, and on the learning and transformation that you as a facilitator have experienced by being part of the PAR process. This section also provides guidance on how to enable members of the community to reflect on their experience by being part of the PAR process.

Part III: The tool kit provides you with a step-by-step guide on how to implement the participatory methods when facilitating the community engagement sessions. As you work through Section 3–6 you are referred to specific methods in the tool kit.

The following table provides the structure of the guide and a description of each section:

PART I: BACKGROUND TO AAS AND PAR	
Section 1: Introduction and overview of the PAR process in AAS	You will learn about AAS – its aims and characteristics. You will learn about the role of PAR in AAS, and understand how this approach to research provides the means for empowering people in communities to improve their lives. You will also learn how power relations, including gender relations, within communities have the potential for different groups and individuals to enhance their quality of life and you will recognize the importance of engaging with these groups within the PAR process.
Section 2: AAS in Tonle Sap Biosphere	You will learn about the hub development challenge as the overarching framing for AAS planning and implementation and the role of the stakeholder consultation workshop in forging a shared vision and collective ownership of the hub development challenge by key stakeholders in Tonle Sap. You will gain an insight into the community visioning process and the importance of the findings from this village-level engagement for informing the design process, which identified the initiatives to guide interventions of AAS in Tonle Sap.
PART II: STRENGTHENING COMMUNITY AND HUB-LEVEL ENGAGEMENT	
Section 3: Planning for cross-village and stakeholder engagement	You will learn how to plan for community engagement and coordinate your engagement activities across the villages in the hub.
Section 4: Building on initial visioning and action planning process for community PAR: Strengthened and continuous community engagement	You will learn how to deliver strengthened and continuous community engagement and ensure that the voices of all the community are reflected in action plans. You will also learn how to systematically collect and compile the information collected and how to analyze that data.

Section 5: Capacity building for community facilitators/effective facilitation	You will learn about: the different roles that need to be fulfilled when you facilitate a group of participants; ethical and safety issues you need to consider when planning your session; good practice in facilitation; activities to create a relaxed and informal atmosphere for participants to work in; and how to document the information that participants provide.
Section 6: Reflection and learning	You will learn how to reflect on the process of community engagement and your own learning as facilitators. You will also learn how to create an environment of co-learning and transformation through supporting people in communities to reflect on their learning from being part of the PAR process, and how this has influenced their own attitudes and behaviors.
PART III: RESOURCES	
Tool kit of methods	You will learn about a range of participatory methods to strengthen the effectiveness of your community and stakeholder engagement activities.

Section 1: Introduction and overview of the PAR process in AAS

In this section you will learn about the aims and characteristics of the CGIAR Research Program on Aquatic Agricultural Systems (AAS). AAS seeks "to improve the livelihoods of poor and marginalized people dependent on aquatic agricultural resources" (Kantor and Apgar 2013, 2). While the CGIAR has worked with participatory action research (PAR) approaches in the past, this program is innovative and represents a significant break from mainstream agricultural research that has been predominantly top-down and uses a supply–push approach.

In contrast to the 'business-as-usual' top-down approach to agricultural research, AAS engages with stakeholders and communities in focal hubs, facilitates reflection on their development challenges and opportunities to collectively design interventions that work towards achieving hub goals. Within the hubs, in a small number of focal villages, community facilitators engage people in cycles of action and reflection, and work collaboratively with neighbors, staff of government and non-government organizations (NGOs) and agricultural researchers, to develop strategies for diversifying and improving their livelihoods. The results of community deliberations are shared with external stakeholders – including organizations working in the field of community development and agricultural research in the hub – resulting in the design of hub-level interventions focused on promoting diversified livelihoods of the poor and marginalized.

The engagement process of AAS facilitates reflection and learning, taking a PAR approach. PAR is an approach to research that recognizes the expertise and centrality of people in communities to deliberate on their own reality, to negotiate change with others and transform their own lives.

You will learn how power relations, including gender relations within communities, structure the potential for different groups and individuals to enhance their quality of life. You will learn how transforming power and gender relations is key to achieving the aim of improving livelihoods for poor and marginalized people. You will also learn about the PAR methodology and understand how this approach provides the means for empowering people in communities and in hubs to improve their livelihoods.

The CGIAR Research Program on Aquatic Agricultural Systems (AAS)
AAS is an ambitious program that seeks to reduce poverty and improve food security for the millions of small-scale fishers and farmers who depend on the world's floodplains, deltas and coasts. It focuses on people living in aquatic agricultural systems where there are high numbers of poor people dependent on the natural resources and are vulnerable to change – the coral triangle of Solomon Islands and the Philippines, on the Asia mega deltas of the Mekong and Ganges–Brahmaputra–Meghna river systems, the African freshwater systems of the Niger and Zambezi rivers, the Victoria and Kyoga lakes, and African coastal systems.

The program's theory of change is that impact will be achieved through "putting the poor and vulnerable at the center of the program… [using] an approach that empowers communities and individuals to engage more effectively in their own development" (CGIAR Research Program on AAS 2012, ii). The program has articulated its approach as Research in Development, with PAR as one of its core elements (Apgar and Douthwaite 2013). The transformative change agenda of the program and its emphasis on taking a gender transformative approach requires that the PAR process provide for critical reflection and depth.

The program proposes to achieve its aims by implementing through the RinD approach and using three interconnected scaling pathways, together these form the theory of change for the program(Figure 1.1).

Pathway 1 involves engaging with local people to identify issues and opportunities, and to find innovative ways of building on existing strengths and skills to improve their lives. This engagement takes place across communities; learning is shared within and between communities and involves local government (including commune and village chiefs), local NGOs and CBOs working at the community level. This process is termed 'scaling out'.

'Scaling up', which is also part of pathway 1 refers to the broadening of this process to involve actors/ stakeholders at the district, regional and national levels. Representatives of organizations at these levels are brought into the conversation to deliberate on innovations and contribute their research and technical expertise as well as resources, to co-create action plans with communities that link to and inform subnational government development plans and commune investment/rolling plans.

Deliberation, dialogue and collaboration within communities, and between communities and external organizations have the potential to transform relationships within households, between households, and between communities, government and NGOs. While the focus of the engagement and action planning through Pathway 1 centers on issues, problems and technologies, it is the learning and reflection that takes place in those involved that can act as a catalyst for more transformative change.

Pathway 2: Is about unlocking the potential within communities and organizations to share learning and strengthen capacity to innovate. It is anticipated that this will result in the strengthening of existing networks of learning across different scales, defined as 'network weaving'. In other words, the transformative effect of Pathway 2 leads to a change in attitudes and behaviors across scales that will enable creative and innovative thinking to address development issues.

The experience and outcomes of Pathway 1 and Pathway 2 will be shared at the international level within CGIAR and with other research-focused and international development agencies. This sharing will influence strategies of these organizations and help to support more outcomes and impact-focused programs that build capacity to innovate and enable greater spread of transformative change – Pathway 3.

The AAS engagement process in hubs
Initial engagement with stakeholders and communities in program planning in focal hubs – known as rollout – culminates in a co-owned

Pathway 3: Influencing RinD Focus on national, regional and global scaling (working with networks of key partners at multiple scales)	• Ensuring highest quality research • Demonstrating significant outcomes • Communicating effectively • Working through high quality development partnerships
Pathway 2: Fostering social learning Focus on hubs: transforming enabling conditions (working with communities and partners)	• Working through effective coalitions of stakeholders • Transforming power relations and gender norms • Creating opportunities to experiment • Improving knowledge, information and technology systems • Building capacity • Informing policy reform
Pathway 1: Scaling up and out Focus on hubs: direct engagement with communities and partners (community-community learning and partner expansion)	• Fostering community-led innovation • Developing and disseminating technologies • Supporting improved governance • Engaging with power relations and gender norms • Building strong partnerships with key development partners in hubs

Figure 1.1. AAS scaling pathways.

strategic design framework to address a collective hub development challenge. Implementation of the designed program continues through annual cycles of action and reflection with stakeholders across scales (Figure 1.2).

In the first year of rollout, stakeholders are encouraged and helped to construct a collective hub development challenge and define the RinD initiatives. In subsequent years annual after action reviews (AAR) and mid-year reviews support cycles of implementation and reflection in communities and with stakeholders.

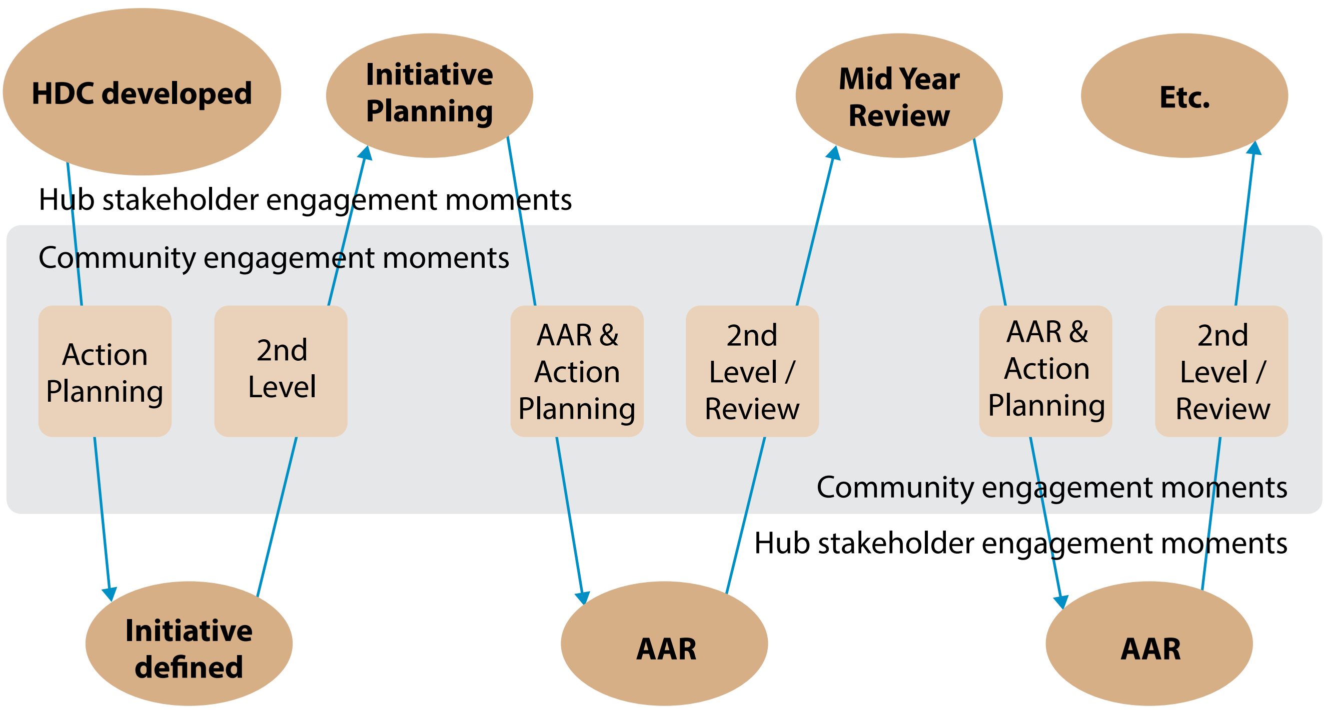
This guide provides the tools and guidance for supporting ongoing engagement through a team of trained facilitators drawn from the communities, NGOs, CBOs and other organizations, who can facilitate PAR.

Engagement through rollout includes scoping, diagnosis and design phases. The results of these provide the context and parameters for implementation of RinD initiatives and are briefly summarized here:

Scoping phase

This phase begins with studies highlighting the national context, government priorities and strategies for poverty reduction and a review of human development indicators; a review of governance structures and institutions is also part of these studies. The output from this stage is a national situation analysis report that provides a national level baseline for the work to follow.

Hub scoping is the next step in this phase and represents a shift in focus from the national level to the region/agroecosystem – termed the hub. The team that conducts the hub scoping exercise typically includes AAS staff (from WorldFish, Bioversity and/or IWMI) with expertise in gender, aquatic and agricultural systems, and partner representatives including development practitioners with particular knowledge and expertise of the hub area. This team becomes the design and diagnosis team (DDT).



Stakeholder & Community Engagement Cycles in AAS Hubs
- Oval shaped textbox are hub stakeholder engagement moments
- Rectangular shaped textbox are community engagement moments

AAR = after action review
HDC = Hub Development Challenge

Figure 1.2. Stakeholder and community engagement cycles in AAS hubs.

The scoping exercise includes consultation with a range of stakeholders including community representatives and involves mapping out the communities in the hub, the livelihood activities, the aquatic and agricultural production systems, gender relations, markets and infrastructure, institutions and governance arrangements at the local and hub levels. The hub scoping report documents these findings and drafts a hub development challenge that encapsulates the key social, economic and environmental challenges facing people and communities in the hub.

The final step in the scoping phase is the convening of a stakeholder consultation workshop. This is the first opportunity for community representatives, representatives of local NGOs, CBOs, the business community and local and regional government representatives to discuss and review the findings from the national situation analysis report and the hub scoping report. The participants also validate/refine the hub development challenge and agree a broad vision for the focus and direction of AAS in the hub, and finalize the village selection for research and engagement.

Design and diagnosis phase

This phase involves initiation of community engagement in the selected villages. The process of engagement within communities is facilitated by a team of facilitators drawn from the communities, local CBOs and NGOs, and representatives from other agencies. The task of this group is to facilitate the dialogue between people in communities, researchers, extension workers and community development practitioners and report on progress.

The facilitation team is trained in the process and tools for strength-based community visioning and action planning. This training is experiential, with team members being trained and mentored as they facilitate workshops with groups of people in communities. The output from the community visioning and action planning is analyzed to provide a cross-village picture of the main community development challenges, people's priorities and an identified action plan in each village.

The DDT reviews the findings emerging from the scoping phase and the community-level visioning process in a facilitated design workshop.

The DDT identifies the key emerging areas for research that will form the focus of the implementation phase of AAS through research in development (RinD) initiatives. The DDT then presents these draft initiatives at a workshop comprising stakeholders in the hub that include community representatives. The main objectives of the workshop is to share the draft framework for future work in the hub and to get feedback from participants.

The DDT reflects on the feedback from the participants at the stakeholder engagement workshop and finalizes the strategic framework that provides the structure and focus for the implementation of AAS in the hub.

Operationalization of the hub strategic framework: Implementation of RinD initiatives

During rollout, engagement with communities and other hub-level stakeholders is carried out as parallel processes. During the implementation phase, the engagement process with communities and stakeholders is integrated into a common approach around implementation of RinD initiatives. This common approach is through a PAR process, which supports engagement at community and hub levels – described in an AAS PAR program brief (Apgar and Douthwaite 2013).

The PAR cycles iterate through two interconnected stages of implementation – continuous community engagement and hub stakeholder (theory of change) workshops (see Figure 1.4). These bring together the voices from the communities and the perspectives and agendas of organizations and agencies, including government, NGOs and academia, to plan actions and interventions around the hub initiatives. (The focus of this guide is continuous community engagement. Guidelines on the theory of change workshops are being developed.)

Box 1 – What is participatory action research (PAR)?

PAR represents a departure from conventional disciplinary research characterized by a separation of researcher and researched. Within a PAR process, people in communities are recognized as experts in their own development process and as co-owners and active participants of the research and inquiry process, not passive subjects. This has a number of profound implications for the research process:

1. Co-ownership of research – people in communities and other stakeholders are involved in the research design including the research questions, the methods of inquiry and the analysis of data. The research questions and design are defined through a collaborative process between researchers and communities.
2. The hierarchy between researcher and researched becomes less, with researchers taking on the role of facilitators rather than extractors of data. This means that researchers need to acquire additional skills of facilitation to enable people in communities to articulate their views, concerns and priorities; to analyze and reflect on these; to deliberate on solutions and actions to address them; and to document and share the lessons elsewhere.
3. The research process is designed to allow for multiple voices within communities to be heard and to influence the analysis, deliberations and outcomes, with special attention to the most marginalized voices.
4. The dialogic method of inquiry that PAR uses results in new understanding and raised awareness amongst both participants and researchers/ facilitators. This realization has the potential to transform relationships between participants, and between participants and facilitators, as prevailing norms, attitudes and behavior are critically questioned in deliberations on future paths.

PAR is best thought of as a cyclical or iterative process; each round of inquiry is followed by reflection and learning that informs the next round.

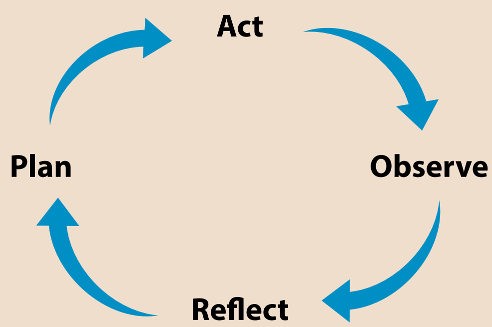


Figure 1.3. The cycle of PAR (after Lewin,1946).

Researchers plan for each stage of the engagement process with people in communities, act on the plan, observing and documenting how it went. Reflecting on the engagement activities is an important part of the learning process for researchers and participants. Reflection involves both interpreting the data generated and reflecting on the process of engagement. Lessons from both aspects of reflection support researchers as they prepare for the next round of engagement activities.

For a brief history of the origins of participatory action research in social theory see Fals Borda (2007).

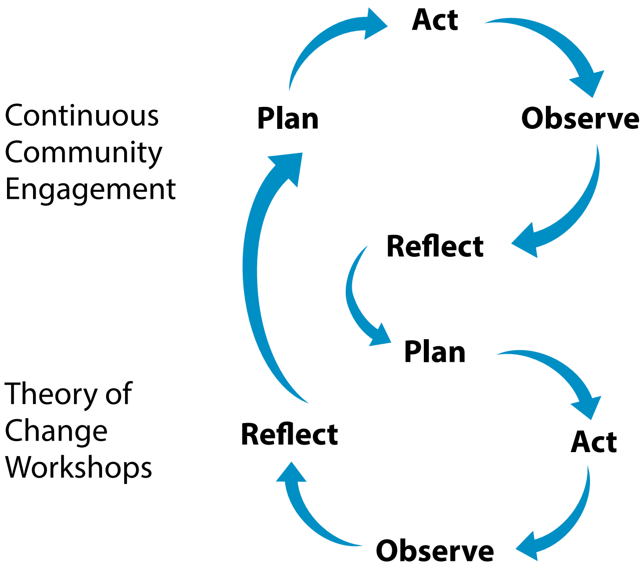


Figure 1.4. Stages of implementation.

Continuous community engagement (Sections 3-6 provide detailed guidance on how to implement this process in villages)
Continuous community engagement builds on initial visioning and action planning, and goes further by providing a systematic and robust approach to community engagement as villagers implement their action plans and opportunities for research support emerge.

The PAR process during this stage is analogous to a 'research funnel' (Figure 1.5). The visioning and action planning during rollout identified broad open-ended research questions such as: What is your vision/ dream for the future? What are the opportunities for reaching your vision? These questions are designed to capture a wide range of views around livelihoods.

Reflection on the implementation process of the action plans represents a focused and specific part of the PAR process – a narrowing of the research funnel. The PAR process starts to broaden out during the deepening and broadening community engagement phase when more groups become involved, and the research questions are designed to reveal perspectives around the initiatives developed as part of the hub level strategic plan. In Section 4 we will discuss strategies for ensuring that individuals/households within communities have an opportunity to articulate their perspectives and priorities using household approaches and other tools.

Building authentic and rigorous PAR
Social and gender relations structure the life opportunities of individuals and groups within communities. An example is provided in Box 2.

Authentic PAR requires that the voices of the less powerful are heard. This requires spaces in which to negotiate power relations and has significant implications for building capacity of the facilitation teams. In planning for continued community engagement, social and gender relations need to be revealed and understood so that facilitators can plan to reach all groups and individuals differentiated by these relationships. Reflections on how social and gender norms, attitudes, behaviors reveal themselves through the PAR processes will allow for effective planning for continuous authentic community engagement.

If the PAR process is to be effective in leading to social and ecological transformation (Pathway 2), continuous community engagement needs to be designed so that analysis and reflection of the data by facilitators and participants is conducted through a social and gender lens. Through this process of engagement and analysis, local people can change their social dynamics to support more equitable choices and opportunities within communities.

Adapted from: Johnson and Nurick (2006, 6)

Figure 1.5. Research funnel.

Box 2 – Social and gender relations example from the Tonle Sap

People living in poorer households are obliged to migrate to look for work elsewhere as the household crop production is not sufficient to last the year. Households' access to and control of resources influence their abilities to meet their livelihood needs and to sustain those livelihoods. Households often struggle to make ends meet, become indebted to moneylenders, and if they default on repayment they loose the small amount of land that they have, further impoverishing families and concentrating assets into hands of the wealthier members of the community. In many societies, gender, age, class and caste determine and influence people's life choices, inclusion and exclusion from decision-making and self-determination. At an individual level, gender influences opportunities for education, degrees of autonomy and freedom from exploitation and oppression. The children of poorer households are usually sent to work in garment factories in Thailand, after completing primary level education.

Based on Wealth Ranking Report by Seila Chea, March 2014.

Within a sub group of selected villages, a benchmarking exercise will take place that will seek to capture data on gender norms, attitudes and behaviors and how they interact with other social differences (such as ethnicity) and local capacity to innovate and adapt. The findings will feed directly into future 'social-equity-focused' PAR cycles; documentation of the social and gender dimensions of ongoing and future PAR processes will provide evidence of the process of gender transformative change.

Facilitation of reflection and learning on implementation of the action plans (e.g. on water management) using a social and gender lens will enable specific perspectives and challenges faced by the marginalized to be revealed and appropriate interventions designed. It will do this through developing a coding and monitoring system that allows the facilitation team to keep track of who is participating and their specific views on the livelihoods discussions that will be taking place. Analysis and reflection will reveal the specific perspectives and challenges and opportunities facing different individuals and groups within communities.

Section 2: AAS in the Tonle Sap Biosphere

What this section is about

In this section we will review the experience of AAS planning phase, or rollout, in the Tonle Sap hub in Cambodia. We will review each stage of the planning phase, including their objectives and approach. We will briefly review the outputs of each stage and their links to the proceeding stages. The stages are:

- national situation analysis
- hub scoping
- stakeholder consultation workshop
- community visioning and action planning
- design workshop.

In this section you will learn about the hub development challenge as the overarching framing for AAS planning and implementation and the role of the stakeholder consultation workshop in forging a shared vision and collective ownership of the hub development challenge by key stakeholders of Tonle Sap. You will gain an insight into the community visioning process, and the importance of the findings from this village-level engagement for informing the design process that identified the initiatives to guide interventions of AAS in Tonle Sap.

National situation analysis: Cambodia

The scoping phase began with the national setting review culminating in the *AAS in Cambodia: National Situation Analysis Report* published in May 2013.

This report concluded that the potential of aquatic agricultural systems to benefit poor and vulnerable people was hampered by: a neglect of common property resources, such as land, water, fish and forests; an excessive emphasis on technological interventions, while social and institutional issues (e.g. local capacity, power dynamics, market access) were neglected;

a narrow focus on sectoral objectives and approaches; scattered efforts by many uncoordinated players; limited communication and coordination among government agencies and between the government and NGOs; limited attention paid to developing post-harvest sector and value chains; and a lack of effective extension mechanisms and effective mechanisms to enhance women's role in AAS.

The report also highlighted opportunities to enhance the potential of aquatic agricultural systems through institutional, technical and social interventions through: improved governance, decentralization and de-concentration reforms and private-public partnerships; decreasing the pressure and dependence on fisheries through increased agricultural productivity and diversification; addressing the challenges of landlessness and land poorness through a number of interventions, including developing management regimes outside formal groups, engaging women, and building capacity through experiential learning.

Hub scoping: Tonle Sap

Hub scoping of the Tonle Sap biosphere was conducted by a team including CGIAR managing centers, including WorldFish and partner agencies. The scoping exercise involved reviewing the *National Situation Analysis Report* and interviewing people in communities in villages that represented the different ecological zones in the hub – land-based villages, land-water-based villages and water-based villages. The interviews took place between 30 April and 4 May 2013. In addition, the team interviewed representatives from government, fishery, agriculture and water management institutions as well as NGOs and private sector organizations.

The objectives of the scoping exercise were to:

- gain a broad and shared understanding of the development issues and opportunities in the hub as they relate to AAS;
- identify the main factors and drivers affecting the people in Tonle Sap;
- understand past and ongoing development efforts;
- identify important partners and potential partners for AAS implementation.

The team investigated five areas and for each presented the opportunities, challenges and knowledge gaps. The five areas were:

- AAS production systems – fish, rice, aquaculture;
- livelihoods, poverty and gender equity;
- value chains and markets;
- institutions and governance;
- knowledge management and partnerships.

Based on their analysis of the findings, the team drafted a proposed hub development challenge to provide the overarching framing for the subsequent stages of AAS planning and the research to be conducted during the implementation phase.

Proposed hub development challenge:
"To make more effective use of knowledge networks and practices for improving land and water management and value chains that can optimize productivity from the flood pulses and facilitate the people that depends upon them to diversify livelihoods, ensure food and nutrition security and maintain a healthy ecosystem."

Stakeholder consultation workshop

The workshop was held over three days (18–20 June 2013) and was attended by 62 participants representing a wide range of organizations with an interest in the Tonle Sap hub. In addition to WorldFish, the provincial authority, fisheries administration and a range of provincial government departments were represented. Universities and research institutions were also represented. Commune council members, villagers and fish and rice traders, NGO and INGO representatives also participated in the workshop. Representatives from villages in each ecological zone participated in the workshop.

The objectives of the workshop were to:

- develop a shared vision of success around the hub development challenge;
- identify opportunities for addressing the hub development challenge;
- share and receive feedback on village selection for the community visioning and action planning process (see below).

Each stakeholder group represented at the workshop undertook a problem tree analysis of issues around land and water management, and constructed value chains to identify opportunities to address the hub development challenge. These opportunities clustered around the following themes:

- value chain/market;
- governance and institutions;
- knowledge and information sharing;
- waste management;
- land and water management;
- livelihoods, food security and gender.

Participants were facilitated to define a shared vision of the future for Tonle Sap. The resulting vision was built upon the following common elements from stakeholder visions:

- improved livelihoods and incomes for villagers, with good quality housing and access to education;
- sustainable management of lakes and water resources – good fish stocks, appropriate family-based fishing practices, effective governance and regulatory regimes;
- rice cultivation throughout the year – effective dry season irrigation systems, low chemical fertilizer input and fertile soils;
- improved agricultural techniques and animal husbandry;
- forest conservation – harvesting of non-timber forest products (NTFPs) and promotion of ecotourism;
- improved health for villagers – good nutrition, access to health services, improved water quality and effective waste management;
- effective management of lakes and adherence and enforcement of conservation management regulations;
- participation of villagers in decision-making;
- greater resilience to climate change;
- effective networking and communication and cooperation between agencies.

Community visioning and action planning

Community visioning and action planning was conducted in 12 villages – four villages in each ecological zone defined during the hub scoping exercise (land based, land-water based and water based villages). Within each zone villages were selected on the basis of the issues faced under the hub development challenge.

The process of engagement within communities was facilitated by a team of trained facilitators drawn from the communities, local CBOs and NGOs, and representatives from other agencies. The task of the group as the program moves into implementation is to facilitate the dialogue between people in communities, researchers, extension workers and community development practitioners, and report on progress.

Two community facilitators were recruited from each village – one male, one female. (See Section 5 for more details on the skill set of those recruited as facilitators.) Facilitators were trained by the constellation in its community life competency process (CLCP), which includes introducing facilitators to a number of participatory methods, as well as techniques for engaging with people in communities using dialogic and appreciative inquiry approaches. In addition to the 24 community facilitators, WorldFish and NGO staff working within the communities were also trained in the CLCP.

The training comprised of both a workshop-based training session and experiential learning. The initial workshop-based training took place from 19 to 23 August 2013 in Siem Reap where participants were introduced to the four steps in the CLCP. Box 1 provides a brief description of CLCP process.

Following the five-day workshop-based training, the community facilitators, supported by the NGO/CBO representatives conducted the four steps of the CLCP community engagement process in 12 villages in the period 2 September–18 October 2013. The engagement process in the communities followed the PAR cycle; each team of facilitators planned each step, implemented them and reflected on the process and experience that informed their planning for the next step in the CLCP. The knowledge fair was held in December 2013 (see below).

Each village group produced an action plan that the group agreed to and undertook to implement over the following three months. The first event in the continuous engagement process is for these groups to reflect on their progress in implementing the actions (see Section 3).

Box 3: Steps in the community life competency process

Step 1: Mobilization: who will join the process? (in the communities)
This step involves facilitators introducing themselves to the communities. The approach for doing this is to ask open-ended questions that are appreciative, and inquire about people's strengths and successes. This step is known as SALT visits – support/stimulate, appreciate, listen, transfer.

This is an important step for facilitators to gain a greater understanding of the context and situation of people's lives. It also begins the process of building rapport and trust between facilitators and people in communities. Both these allow for greater depth of outcomes in the following steps.

Step 2: Dream-building: Where do we want to be?
This step involves facilitating individuals within a community group to draw a vision or dream of how they imagine the future in their community. Individuals then share their dream with others, before the group collectively draws a combined dream.

The facilitator then engages in discussion with the group identifying the activities/actions needed in order to realize the dream/vision.

Step 3: Self-assessment
This step involves appraising how close the group is to realizing their dream through assessing where the group is in relation to the key activities/actions identified in Step 2. For each activity/action, the group is asked to identify which of the following five statements best describes where the group is in relation to the activity/action:

- "We are aware of this;
- We know about this and made some preparations but haven't done anything;
- We sometimes do this;
- We do this regularly;
- This has become a natural part of our life".

Step 4: Prioritize and plan for action
This step involves identifying the activities/actions that the community group wishes to prioritize and develop an action plan to address these.

For each activity/action, the following information is gathered and presented in a table:

- what are the actions to address the element;
- what existing resources do we have available;
- who will be responsible for implementing the action;
- how will we know we are making progress;
- when will we do this.

The CLCP culminates with a knowledge fair, when all facilitators come together for a reflection workshop aimed at providing an opportunity for the community facilitators to share stories of carrying out community engagement; to reflect on the progress made in their villages in implementing the action plans; and to plan together for the future.

For further details of the CLCP:
http://www.communitylifecompetence.org/en/8-community-life-competence-process

The initial action plans drawn up as part of the CLCP were developed after three days of engagement with one group in each community. While these action plans represent a first step in the PAR process in the communities, more comprehensive engagement was needed with a wider cross section of each community to ensure that the voices of all sections of the community are heard and reflected in the agreed actions. In Section 4, we will build on these first steps in the community engagement process and deepen and broaden the community engagement process. The action plans that will be developed in collaboration between communities and development organizations will take shape during the theory of change workshops (see Figure 1.4, in Section 1).

Design and diagnosis workshop

The design and diagnosis team was made up of representatives that included WorldFish staff and staff from partner organisations with expertise and experience working in the Tonle Sap Hub. These organizations ranged from government agencies including the fishery administration, the Ministry of Women Affairs and the Tonle Sap Authority, to development NGOs working in the Tonle Sap villages, e.g. Analyzing Development Issues Centre (ADIC), Gender and development for Cambodia (GADC) and Neary Khmer.

The task of the DDT was to review the findings and analysis of the earlier activities of AAS planning – hub scoping, the stakeholder consultation workshop and the community visioning and action planning process. The outcome of this review was the development of a draft strategic framework for the Tonle Sap hub that provided a road map for addressing the hub development challenge. The draft framework was shared with a wider group of stakeholders that included representatives from NGOs and villages in Tonle Sap, resulting in the creation of an agreed strategic framework (Figure 2.1).

The three RinD initiatives that will form the focus of interventions for the implementation phase of AAS in the Tonle Sap Hub are: water quality and health; land and water management; and livelihood diversification.

- Water quality and health will focus on issues such as wastewater management, clean drinking water and WASH (water, sanitation and health). This initiative will also include issues related to the infrastructural development needs for domestic and commercial farm water use.
- Land and water management will focus on aquatic agricultural production systems for mixed farming that will include rice, fish, livestock and home gardens.
- Livelihoods diversification focuses on vocational training for off-farm activities such as post-harvest processing of agricultural products, ecotourism and handicrafts. An analysis of value chains and market assessment would be required as part of the development of this initiative.

The DDT and other participants at the stakeholder engagement workshop identified crosscutting themes relevant to all three initiatives. They are:

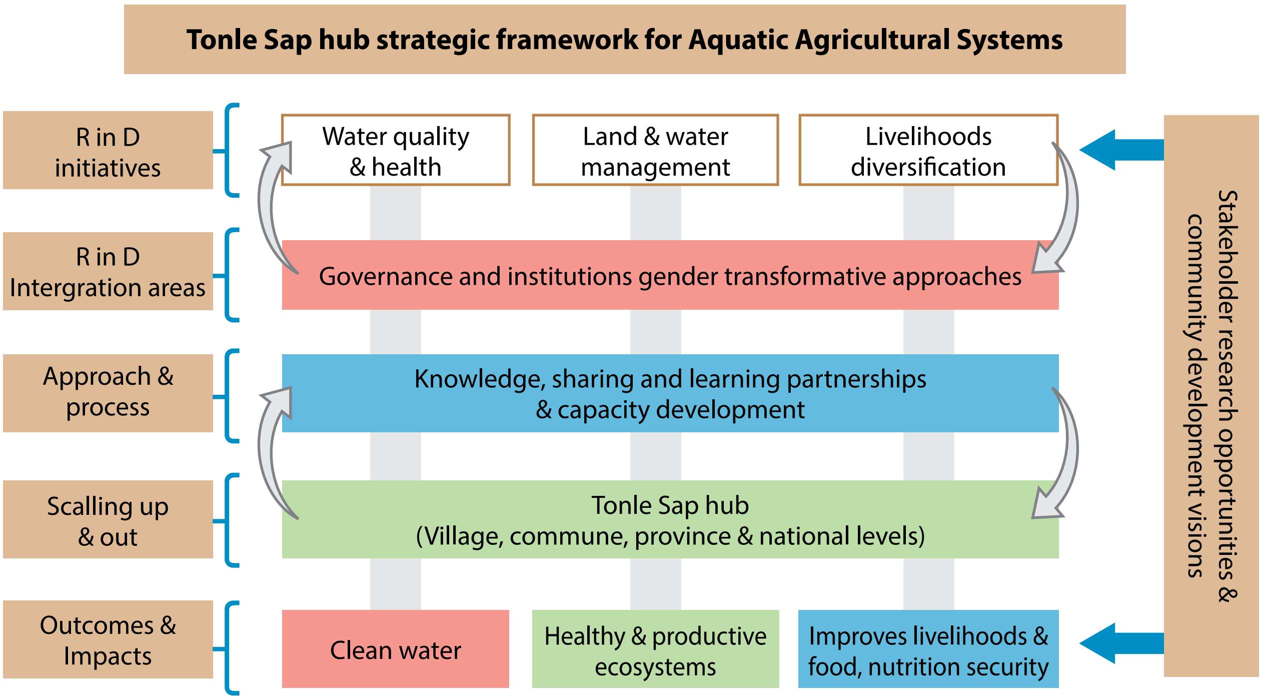
- RinD integration areas: All interventions within each initiative need to be framed and designed within the context of the social and gender relations within communities. The transformational goals of the program require that the impact of interventions on these power relationships are mapped out such that an assessment can be made on the positive (and negative) effects of each intervention and combination of interventions. The second row in Figure 2.1 highlights the social and gender lens that the initiatives need to be viewed through.
- Approaches and process: A PAR process will be followed to identify the interventions within each initiative. Interventions must be grounded in local people's knowledge and priorities. The process needs to be designed such that people in communities, and particularly those in marginalized groups, have ownership over and/or benefit from the research process and co-create solutions with partners in agencies and organizations. As you learned in Section 1, the PAR process is designed to build capacity within communities to deliberate and reflect on issues and findings. It is designed to facilitate a dialogue within and between communities, and between communities and agencies.

The approach and process for each initiative is designed to allow for the strengthening of networks and creation of new ones, that can act as pathways for collaborative working.

- Scaling up and out: The community engagement process is planned across villages by the team of facilitators using a common methodology and data is analyzed both at the community level and at the cross-community level. Such a design enables 'scaling out' across villages, and the engagement with external stakeholders at commune, district, regional and national levels facilitates ('scaling up').

Knowledge fair

The final stage of the planning phase of AAS in the Tonle Sap hub was the knowledge fair (part of the CLCP – see Box 3). The knowledge fair provided an opportunity for sharing and learning lessons among all those involved in community engagement in the Tonle Sap hub. The forum provided the potential to introduce other communities and potential partners to AAS.



Source: Strategic framework Tonle Sap – PowerPoint slide

Figure 2.1. Tonle Sap hub strategic framework for AAS.

Section 3: Planning for village and cross-village engagement

In this section we provide a plan for implementing PAR in the Tonle Sap hub, bringing together community-level engagement and hub-level engagement. Working as a cohesive team of facilitators, you will develop a common coding system to record social, economic and cultural characteristics of all those you speak with in communities, and a common set of initial research questions and methods for the first level of community engagement – that will focus on reviewing the experience of implementing the initial action plans. This is followed by a second round of community engagement that aims to reach out to other groups in the communities and begin the process of strengthening engagement.

Thematic analysis of data will take place at the village level. The data will be analyzed through a gender and social lens; the issues, challenges and opportunities facing different groups in different villages in relation to the identified priority areas (e.g. land and water management) will be explicitly explored. The village-level findings will be scaled-up to present a village-wide analysis, revealing the commonalities and differences between villages and people within villages. This analysis will be shared with the hub level stakeholder group that is working to address the hub development challenge who will discuss and reflect on the role of their organizations to support their agreed theory of change around specific initiatives. Community-level engagement continues with a focus on developing action plans and indicators for monitoring and evaluating interventions. Agencies and communities work in collaboration to propose an agenda for research for the next stage of the AAS program to be delivered through the initiatives and the emerging PAR groups.

As you will recall from Section 1, PAR in the AAS program represents a way of working that emphasizes the changes in attitudes and behavior of those involved in the process – people in communities and representatives from external agencies. Capturing the evidence that shows how this transformation has occurred for different actors and at different levels is equally as important as developing the agenda for action (see Section 6 for the process of documentation).

In this section you will learn how to plan for community engagement and coordinate your engagement activities across the villages in the hub.

Phases of PAR

Figure 3.1 shows the flow of activities for PAR in the hub. The village-wide level refers to activities that all community facilitators from across the hub are involved in. The village level refers to the activities carried out within each village (refer to Section 4).

Initial planning workshop with AAS core team (cross-village level)

The AAS core team of CGIAR managing centers and partner staff plans for the review of the initial action plans developed through the visioning and action planning process in each village, and conducts wealth ranking with key informants to cross-check with official statistics on household poverty levels.

Figure 3.1. PAR in Tonle Sap hub.

The outcomes of this workshop are to:

- agree on the set of questions and methods to evaluate the progress of the action plans developed during the initial community visioning and action planning (Section 4);
- design an initial coding system based on the insights gained from the initial visioning and action planning (Section 4);
- identify the key informants in each village to conduct wealth ranking (Section 4);
- plan for introductions and seeking the informed consent of participants (Section 5);
- develop the post-session form to be completed after each session to records findings and reflections on the process (Section 6);
- plan for sharing the action planning review process with community facilitators and facilitating their reflections after the knowledge fair (Section 4).

Review of action plans and wealth ranking (village level)
In this phase of community engagement, facilitators focus on re-engaging with the community, starting with the groups that they worked with to develop action plans as part of the initial engagement. The community engagement will focus on evaluating action plans and wealth ranking.

The outcomes of this phase are to:

- determine the wealth distribution in each village;
- identify the local criteria for different levels of wealth;
- reflect on the dreams developed during the CLCP;
- assess the success in implementing the action plans;
- identify the barriers to implementation of the action plans;
- identify the key relations within the group and between the group and others in each village that influenced the implementation of the plan;
- reflect on the facilitation process;
- enable people in groups to reflect on their experiences and the lessons learned from this;
- identify other groups to engage with through second-level engagement.

Training of trainer workshop and community facilitator orientation workshop (cross-village level)
The AAS core team and community facilitators plan for the next phase of community engagement.

The objectives of this workshop are to:

- revise the coding grid in the light of the wealth ranking – the revised grid will be used throughout the research to record the socioeconomic and cultural data of all people interviewed during the community-level engagement;
- develop the aims and objectives monitoring framework (Section 6);
- draw on the village-level reports (Section 4) to document the lessons learned from the experience of implementing the action plans across the villages;
- through analysis of the wealth ranking and official poverty level statistics, identify those groups in the villages that should be spoken with to ensure broadening of the engagement process as we better understand the challenges and constraints that various groups face;
- identify what lessons can be learned from the experience of facilitation. Where are our strengths and weaknesses? What can we learn from each other about how to be good facilitators and team players?
- agree a common set of research questions and methods that will be implemented during the deepening and broadening community engagement phase in all villages.

Deepening and broadening community engagement (village level)
In this phase of community engagement, you will be extending the PAR process to the other groups identified during the review of action plans and the wealth ranking process. This stage is represented in the 'research funnel' (Figure 1.5) as broadening out from a focus on the review of the initial action plans. Your task is to get a comprehensive picture of livelihood activities as they relate to local priorities, the structural conditions that people experience, the social and gender dimensions of these conditions, and how these relate to the three initiatives in the hub-level strategic plan.

The outcomes of deepening and broadening community engagement are to:

- widen engagement within the villages;
- facilitate groups to reflect on their situation and the opportunities available to them;
- identify livelihood realities and opportunities for different groups, within the context of the three initiatives.

Cross-village analysis workshop (cross-village level)

The objectives of this workshop are to:

- aggregate the analysis across the villages to draw out the contrasts and similarities between villages under each initiative and other themes that emerge from the research;
- draw out the key messages emerging from the research, highlighting the opportunities and challenges facing different groups, across the seasons, as they plan for enhancing their livelihoods;
- explore institutional dimensions, relating to control and access to resources, decision-making powers, and social and gender relations as they provide the context for choices open to people in communities;
- review the coverage of the people spoken with across the villages;
- reflect on the lessons learned from the engagement process and the effectiveness of the facilitation;
- refer back to the aims and objectives monitoring framework and reflect on progress made and changes that may be required in the approach, objectives and activities (Section 6).

Section 4: Strengthened and continuous community engagement

The CLCP process introduced you to a number of participatory tools to enable you to facilitate conversations with people in communities, helping them to articulate their vision for the future and to identify some initial action plans to begin the process of realizing their visions.

In this section you will learn about other participatory methods and understand how they can be used to engage in dialogue with different members of the communities in which you are working. You will also learn how to select appropriate methods for the questions you are asking.

In Section 1 you learned about the importance of recognizing the different people that make up communities – young and old, male and female, those with disabilities and those without, those with many assets and those with few – and how their interests, priorities and issues may not always coincide. In this section you will learn how we can deliver strengthened and continuous community engagement, and reveal these differences and their underlying causes, to ensure that the voices of all the community are reflected in action plans; and that we engage with unequal power relations in how the hub RinD initiatives are designed and implemented. As a result, our work should be inclusive and inequalities addressed in ways appropriate to the context.

We will also learn how to systematically collect and compile the information and how to analyze that data. Data analysis allows us to gain insights into people's livelihoods and the part that aquatic and agricultural systems play in them. It allows us to map out the relationships between agriculture, income and assets. Data analysis reveals the different strategies and choices of households and household members depending on issues of difference and inequality. We can produce a narrative of life in communities and deliver this to people in communities and together with them explore different options for strengthening livelihoods based on aquatic and agricultural systems and enhancing well-being in equitable ways.

The strengthened and continuous community engagement in the 12 villages of Tonle Sap hub

Building on the CLCP, the sequence and flow of strengthened and continuous community engagement is shown in Figure 4.1.

The first step in the process is to revisit the groups you worked with as part of CLCP. These groups have been working on their action plans over the last four months and your reintroduction into the community will be through facilitating a reflection and review process with the groups to assess how far they have come in implementing their plans. We will

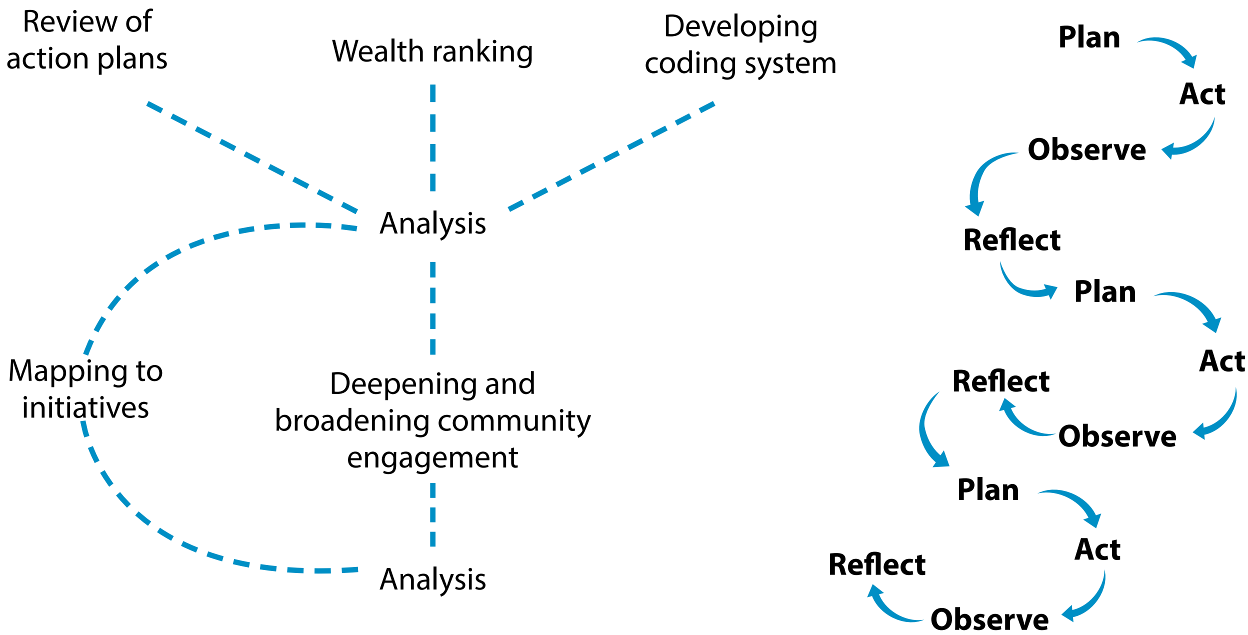


Figure 4.1. Steps in strengthened and continuous community engagement

revisit the team planning meeting held during the knowledge fair and build on this to plan for engaging with the groups to reflect on the implementation of the plans.

In addition to facilitating reflection of action plans you will also begin the process of developing a coding system to monitor all whom you speak with over the course of the PAR process in each village. This coding system will enable you to analyze the data you collect through a gender and social lens, revealing how gender and social differentiation within the community shapes opportunities and choices for individuals. You will use this information to facilitate a dialogue between different groups and work with them to identify potential for changing social and gender relations so that the interventions designed will result in equitable outcomes for people in communities.

You will also conduct household wealth ranking in each village. This data can be cross-checked with official poverty-level data. Profiling households according to local criteria of wealth and poverty will allow you to monitor and ensure that you are reaching all categories of households. At the household level, levels of wealth and poverty shape household opportunities and choices.

After each stage of the PAR process, systematic and rigorous analysis of the data you collect will result in robust findings that will inform the next stages of the research, and have credibility both at the community and hub levels.

The process of analyzing the data begins with the groups in the villages that you are engaging with. You will recall from Section 1 that PAR starts from the premise that people in communities are recognized as experts in their own development process and as co-owners and active participants of the research and inquiry process, not passive subjects (Box 1, Section 1).

Facilitating groups to reflect on their progress in realizing their action plans involves participants and researchers discussing the experience of implementation and understanding the reasons for the progress (or lack of progress) made. You will continue to analyze the data generated in the session as you begin to contextualize the experiences across the 12 villages. This further analysis and reflection will be shared with the groups, thereby increasing their understanding of their own experience, as well as yours.

The analysis of data generated from the engagement sessions, including the review of action plans and wealth ranking, involves mapping the findings that emerge from each level of engagement to the three initiatives – water quality and health; land and water management; and livelihood diversity – defined during the design and diagnosis workshop.

The next step in the process will be to widen the engagement to speak with other individuals and groups outside the original group that developed the action plan through the CLCP. The analysis of the wealth ranking data will help you in identifying different groups of people to speak with during 'deepening and broadening community engagement' (Figure 1.5 – this level is represented as a broadening out of the research funnel as you widen the community engagement.)

You will develop research questions that enable people in communities to reflect on strategies for sustaining livelihoods, facilitating discussion on the underlying factors that influence choices and opportunities available to them. As you analyze this data, you will draw out the findings that are relevant to the three initiatives.

The following parts of this section describe the sequence of research questions and methods that can be used to facilitate the PAR in the 12 villages. This section should be read in conjunction with Section 5 that provides guidance on how to plan for the sessions, the roles of the facilitators and the ethical protocols that should be followed.

Wealth ranking and coding system
There are two levels of social differentiation that we need to monitor and record as we engage with people in communities – inter-household difference and intra-household difference. In other words, we need to disaggregate our research data at the household level, and within households.

a) Inter-household difference
In order to identify inter-household differences and categorize households according to these differences we will use a method known as 'wealth ranking'. The tool kit provides you with a detailed step-by-step guide for conducting wealth ranking.

The results of the wealth ranking exercise (based on local perceptions of wealth) can be compared with official poverty level data (where it exists).

b) Individual difference
In order to capture 'issues of difference' between individuals, we need to monitor a range of socioeconomic and cultural characteristics of each person we engage with. This involves developing a coding grid comprising a set of closed questions that need to be recorded for each person who participates in the PAR. An example of a coding grid is shown below.

The specific coding grid for Tonle Sap will be developed based on the information generated during the wealth ranking and the knowledge and insights of the community facilitators.

The specific variables to be included in the coding grid will be finalized at a training of trainer workshop and a community facilitator orientation workshop (Figure 3.1) – with all community facilitators. A common coding grid will be used for the PAR in all villages.

The coding system developed for Tonle Sap draws on the coding system developed for PAR in the UK (see Johnson and Nurick, 2003).

Reflection and review of initial action plans
During the knowledge fair, you reflected on the success of community groups in implementing their action plans. To facilitate this reflection you considered the following questions:

- What has happened in the community since visioning?
- What needs to happen in the next four months?
- What will we (the community facilitators) do to support this?
- What will we (the NGOs) do to support this?

Participant #	Age group	Gender	Household wealth group	Ethnic group	Level of education	Spoken with before
1						
2						
3						
4						
5						

- What will we (the community facilitators) do to support this?
- How will we communicate and work as a team?

In planning for re-visiting the community groups to facilitate their own reflections on the progress in implementing their plans, you should review the questions above.

The tool kit provides you with a participatory method to assist you in facilitating the community group reflections – rating line.

Deepening and broadening community engagement
The results of the wealth/well-being ranking will help to identify people and groups to talk with. Choose groups and people from households in the different wealth groups, different ages and from different parts of the village.

During this phase of engagement, as at all phases, you should investigate gender and social relationships (that will complement and feed into the AAS benchmarking being conducted by AAS across all hubs).

The tool kit provides participatory methods that can help you facilitate group discussion. They are:

- visioning
- resource mapping
- safe and unsafe spaces
- institutional mapping
- seasonal calendars
- time lines
- network analysis
- pairwise ranking
- impact matrix
- bamboo bridge
- verification and action planning (VAP) grid

Thematic analysis
The data that has been collected during the 'review of action plans' and 'deepening and broadening community engagement' can be analyzed through thematic analysis. Thematic analysis of these comments involves clustering or grouping the comments into themes.

You will facilitate community groups to begin the process of thematic analysis and continue the analysis at the cross-village analysis workshop (Figure 3.1), mapping the findings to the initiatives defined at the design workshop.

The steps in the thematic analysis are:

Step 1: Individually, community facilitators note down on cards the key messages that they consider have come out of the PAR to date.

Step 2: Community facilitators share with each other their cards and group them into common themes.

Step 3: The themes that fall under the three initiatives – water quality and health; land and water management; and livelihood diversity – are allocated to each initiative.

Step 4: Each team of facilitators transcribes the comments/findings from each session that that team facilitated and allocates each comment to the themes defined in Step 2. Any comments that do not fit into one of the themes are placed separately. This exercise is repeated until all sessions have been transcribed and allocated.

Step 5: The comments that are unallocated to the themes are clustered into new themes.

Step 6: Analysis of the gender and social differentiation revealed in the themes is carried out by assessing how the content of the comments/findings under each theme relate to gender and social differences, and using the coding grid data linked to each comment to understand who said or experienced what and how this differs across participants.

Developing indicators
Throughout the community engagement process you should ask questions that capture different social groups' criteria of success that can be used to evaluate the effectiveness of interventions or actions. For example, the reasons given for ranking the relative importance of issues in the pairwise ranking activity reveals indicators, as does the reasons for the impact ratings in the impact matrix activity.

Questions that can reveal these criteria or indicators include:

- How would we know that the AAS program had been successful?

- What are the good aspects of living in the village?
- What are the bad aspects of living in the village?
- What are your hopes for the future?
- What are your fears for the future?

For each issue that is raised during the engagement process, ask:

- How would we know this issue has been addressed?
- How will we know that we have been successful in addressing water quality issues?
- How will we know we have been successful in addressing health issues?
- What does a successful land and water management system look like?
- What are we hoping to achieve through diversifying our livelihoods?

An evaluation matrix is one way of assessing the indicators. This method is described in the tool kit.

Section 5: Effective facilitation

In the previous section you learned about the approach and methodology for implementing the AAS program in selected villages. In this section we will review the skills that you need to be an effective community facilitator. The art of good facilitation is to create a safe space for your participants to express their views and reflect on these with others, with the assurance that the information they provide will be treated confidentially. You will guide them through a process of data generation and analysis, leading to conclusions and actions. Through this process, participants and you, the facilitator, have a deeper understanding of the challenges and opportunities facing participants and the nature of the relationships that interact to create these.

In this section you will learn about: the different roles that need to be fulfilled when you facilitate a group of participants; ethical and safety issues you need to consider when planning your session; good practice in facilitation; a number of activities to create a relaxed and informal atmosphere for participants to work in; and how to document the information that participants provide.

Planning a session
Preparing for your session is an important part of the community engagement process. When liaising with your contacts in the community, care must be taken to schedule the session at a time that is convenient for participants. Particular attention should be given to constraints facing women responsible for household chores and other livelihood activities. The venue where the session will take place needs to be accessible and one where participants are comfortable to come to. Again, pay particular attention to the needs of women, the young and the old. Ensure that you have organized food and refreshments for participants.

You must ensure that participants have been given ample notice of the day, time and location for the session, as well as advance notice of the topic for discussion and the duration of the session. You should make alternative arrangements if some participants are unable to attend, and provide support, e.g. transport for those that need it. Monitoring who attends and who does not allows you to plan future sessions as well as potentially highlighting social relations between individuals and groups.

Deciding which of the community facilitators will facilitate which groups also needs careful consideration. The participants in the group, together with the topic of discussion are factors that will influence the appropriate choice of facilitators. For example, if the topic relates to power and conflict issues within the household, it may be appropriate for male facilitators to work with men, and female facilitators to work with women. Similarly if you are facilitating a session with children, consideration should be given to the most appropriate facilitators to work with children.

Each session commences with introductions and an 'icebreaker' or 'energizer' that creates a relaxed and informal atmosphere that allows for participants to feel at ease with each other and with the facilitators. Creating such an atmosphere is conducive to effective facilitation and discussion. Planning for the session includes identifying the activity that will be used to facilitate introductions and icebreaking (see tool kit for examples of energizers and icebreakers).

Planning also involves preparing the questions and participatory methods that will be used to facilitate the discussion (Section 4 and tool kit). Prepare any flip charts that you may need in advance; ensure that you have sufficient resources, e.g. pens and other materials.

The ethics of research are an important aspect of the PAR process. You must ensure participants make an informed decision to participate in the session. You are also responsible for ensuring that their anonymity is maintained in the write-up and reporting of results. The safety of both participants and facilitators needs to be considered and steps must be taken to minimize any risks that may have been identified.

Facilitation roles

When planning for your event with villagers you need to consider the roles that each member of your team will play. There are three roles that need to be fulfilled for effective facilitation of groups:

- lead facilitator
- observer/co-facilitator
- documenter

The lead facilitator welcomes the participants and thanks them for attending. They explain the purpose of the session and how this fits with the wider engagement process that is taking place in the village. They introduce and explain the icebreaker activity that will be used to facilitate introductions between the participants and facilitators.

After the introductions/icebreaker activity has taken place, the lead facilitator introduces and explains the questions for discussion and the participatory methods to be used to facilitate this discussion. On completion of this activity, the facilitator concludes the session, explaining the next steps and thanks the participants for their time.

The role of the observer/co-facilitator is to support the facilitator, checking that all participants are actively engaged in the discussions and activities. If they observe that one or more participants are not taking part they should approach them directly and encourage them to do so, or if they prefer to discuss the topics on a one-to-one basis then they should facilitate that discussion. The observer may also step in and clarify, paraphrase, or expand on explanations given by the lead facilitator.

The role of the documenter is to complete the coding grid for each participant (Section 4). In addition, the documenter takes notes of the key points emerging from the discussion. This role should not be assigned to the lead facilitator, as this responsibility will lessen the effectiveness of the facilitation of the session. It is good practice for the documenter to make the notes of the discussion on flip chart paper so that it is visible to all. For those that are literate, this allows them to have the opportunity to clarify/modify what is written and to provide more detailed explanations.

While there are three distinct roles that need to be fulfilled for the effective facilitation of each session, the allocation of roles to each team member should not necessarily be rigidly adhered to. All roles need to be fulfilled but a different member of the team can perform each role at different times during the session. Flexibility and adaptability of team members are signs of a good working team; the insight to know when to swap roles and the confidence to do so during a session are skills that will come with experience and familiarity between team members.

Planning checklist

Task	Checked
Time and venue identified and appropriate	
Food and refreshments organized	
Participants identified and notified	
Facilitators and roles identified	
Ice breaker/energizer selected	
Questions and participatory methods prepared	
Ethical and safety issues considered	

Ethics and safety

Ethical considerations must not be overlooked in the PAR process. Facilitating individuals and groups within communities to share and deliberate on issues that are important to them will inevitably include sensitive information. Building rapport and an atmosphere of trust – the outcomes of a good PAR process design and effective facilitation – may result in people in communities being vulnerable to reprisals if others within the community or external agencies, become aware of their views on sensitive issues.

When assessing the degree of risk for participants you should consider whether their participation in your session exposes them to any risks. For example, if you are planning a session to explore issues around governance and enforcement of regulations on fishing practices, those within the community who break the rules, or local officials that take bribes to overlook such activity, may take reprisals against participants that share and discuss these issues with you. If this is the case, you need to ensure that you take steps to minimize these risks. For example, only notify details of the event and the topic to those who will participate.

Children and young people may be exposed to particular risks and vulnerabilities within communities. When working with this group, particular care must be taken to ensure that their welfare is the priority in all decisions relating to their involvement in the research. A risk assessment should be carried out for children and young people and other vulnerable groups who will participate in the research.

Regardless of the degree of risk to local people that take part in your sessions, there are a number of minimum ethical standards that you should adhere to when conducting research in communities.

- Informed consent: participants need to consent to taking part in the research. In some situations, other family members (e.g. the head of the household) may also need to give consent for participants to take part. In order to do this they need to be fully informed about the nature of the research, the questions that you will ask and the data that will be collect from them. They need to know how that data will be used, how it will be stored, and who will have access to it. Participants who give consent are entitled to withdraw this consent at any time without needing to provide a reason or justify their withdrawal. You should prepare a statement providing detailed explanation of the PAR and participants' roles in this, and a statement explaining the meaning of informed consent, and what consent is being given, print copies in the local language, and be ready to read it out to those that are not literate. Participants need to explicitly agree to take part – either by signing a declaration or giving their verbal consent, if signing a declaration is not deemed appropriate. If you are taking photos of individuals, permission to use these is required and participants should be informed as to how their photos may be used, e.g. in reports, on websites and so on. Participants are required to sign a photography subject release form or giving their verbal consent if signing a release form is not possible.
- Informed consent when conducting research with children: you need to be familiar with child protection laws in the country that you are working, or if these do not exist, or are not considered robust, you can look at guidelines issued by international organizations that work with children, for example UNICEF, Save the Children and Plan International. Under many jurisdictions children are not legally able to give their informed consent. In these circumstances, as well as obtaining consent from children, consent for their participation in the research also needs to be gained from their parent or legal guardian, including the use of their photos.
- Confidentiality: Participants need to be assured that the confidentiality of the information they provide will be respected. You need to take steps to protect their anonymity. This means ensuring that when results are shared with others in the community and with external stakeholders from government and NGOs, it is not possible to attribute comments to specific individuals. The coding system (Section 4) allows you to attribute comments to different categories of people – men, women, old, young, landless and so on, but no individual can be identified. Caution is needed not to inadvertently reveal identities. For example, attributing comments to a particular group session held at a specific time and place, may result in exposing the identities of those who

were present and therefore the comments attributed to the individuals in that group. When photos are to be used in the sharing of results, it is important that no individuals shown in photos are linked to specific comments or conclusions, without specific permission from the person in question.

- Keeping records of personal data: While individual identities will not be revealed when results are shared in reports, with external stakeholders and others, you will wish to retain the names of those you speak with, and the coding number linked to that individual (Section 4). The PAR process and community engagement will continue over several years. Revisiting participants at a later date to continue the dialogue is a significant part of the PAR design. Therefore, part of the process of gaining informed consent will be an explicit reference to this, and a request to retain personal data so that community facilitators can follow up with individuals at a later date.

Consideration of safety for both participants and facilitators should be addressed in planning for community engagement. For community facilitators you need to develop a set of safety guidelines. These will include:

- Not working alone: when working in communities also work in pairs, at a minimum (remember there are three roles that need to be fulfilled, so typically facilitators will work in teams of three). This rule should be adhered to at all times when you are within villages, not only when facilitating a group session. For example, when meeting key informants, when meeting village representatives, when invited to people's houses, when conducting a walk through the village (i.e. a transect walk). As well as minimizing the risks of physical and sexual assault, working in teams protects facilitators from false accusations of inappropriate behavior towards villagers.

- Informing others about your movements: ensure that someone has been informed as to where the team (of two or three) is working, at what time, who with, and the time that they are expected to return. A procedure needs to be agreed in the event that the team does not return at the expected time.

- Appropriate behavior: all community facilitators should wear appropriate/modest clothing, and should not wear expensive items such as watches and jewelry; you should maintain a professional relationship with the people in communities and be sensitive to local attitudes and culture in the way that you behave and present yourself.

- When working with children and young people, particular attention should be given to child protection issues; community facilitators should never work alone with this group. In many countries, police checks are carried out on adults that have access to children. Consideration needs to be given to any vetting or checks of community facilitators that will engage directly with children. As part of the risk assessment referred to above, these issues need to be addressed.

Do	Don't
Be nonjudgmental	Ask leading questions
Paraphrase what is being said "I think what you are telling me is…"	Agree/disagree with assertions/ positions – don't say "I agree that…" "I don't agree that…"
Empathize "I understand that you are feeling…."	Smoke when facilitating
Be patient	Be overfamiliar with participants
Be open-minded	Use bad language
Be supportive	Be discriminatory or racist
Rephrase question if not understood	Make inappropriate jokes
Challenge inappropriate behavior	Loose concentration/drift off
Actively listen	Interrupt
Be comfortable with silence	Create division between participants

Dos and don'ts of facilitation
The checklist above provides guidelines on behavior and attitudes that community facilitators need to display when working in communities.

Introductions, icebreakers and energizers
Creating a relaxed and informal atmosphere and beginning the process of building trust between community facilitators and people in communities is key to effective PAR. During the CLCP training, the SALT process was an effective way of building rapport and understanding, and introducing community facilitators. As you reach out to other people in the community you should use the skills learned in facilitating SALT visits.

Introductory meetings and events can take place in people's houses (as was the case in the SALT visits) and can also take place during a walk through the village. As with the household SALT visits, use open-ended questions to facilitate a conversation with participants to gain an insight into their lives. As you pass fields, buildings, ponds or wooded areas, ask questions that will stimulate a conversation about life in the villages, the challenges and opportunities and aspirations for the future. For example:

- What do you enjoy about living in the village?
- What have been the greatest challenges that you have faced in your life?
- How have you overcome them and what support have you had?
- What are your goals for the future?

As well as starting the process of building trust and rapport, the information that is gained will help you as you develop the research questions for community engagement (Section 4).

Trust and rapport can also be built on during the organized sessions with groups. Humor and laughter are effective for creating relaxed spaces in which to facilitate dialogue. Particular attention needs to be paid to creating a fun and interactive atmosphere when working with children and young people.

The tool kit provides examples of tools for energizing and 'waking up' participants. They are:

- Name-food game
- Throw the ball
- Simon says
- Samson and Deliah
- Squeeze the hand
- Cat and mouse game

They can be used at the beginning of the session and midway through the session. Facilitators learn to read the mood of participants – if the discussion is getting stuck or emotions start to run high – taking a break and facilitating an energizer can help to move the discussion forward.

Section 6: Reflection and learning

You will remember from Section 1 that a central element of any PAR process is reflection. Reflecting on our findings, our actions, our attitudes, our behavior and our assumptions enables us to improve our understanding of the realities of life for the communities in which we work and better equip us to facilitate a process of co-learning and transformation within those communities and within ourselves.

In Section 4 we learned how to reflect on and analyze what emerged from community engagement, and how, using this analysis, we are able to refine our research questions to get deeper insights into livelihoods and relationships within communities. This ongoing analysis allows us to develop and implement in an iterative manner action plans that are grounded in local people's own realities and to identify and use locally relevant indicators to monitor and assess how well the action plans address their priorities.

In this section we focus on two further aspects of reflection:

First, we will focus on reflecting on the process of community engagement and our own learning as facilitators. Questions we will address include:

- Have we been able to complete the tasks that we set out to do?
- Were these the right tasks to achieve our objectives?
- How successful were we as community facilitators in enabling local people to articulate their visions and engage with us, and each other, to work out a better future for all?

- What did we learn about ourselves, our attitudes, prejudices and behaviors by being part of this process?
- What will we do differently in the future as a result of this learning and reflection?

In this section, we will learn how to answer these questions in a systematic way that enhances our learning and effectiveness as community facilitators.

Second, we will learn how to create an environment of co-learning and transformation through supporting people in communities to reflect on their own learning from being part of the PAR process, and how this has influenced their own attitudes and behaviors. In this section we will learn about techniques to help us facilitate such a reflection with the people we engage with in communities.

Facilitators reflection on process and learning
Monitoring aims and objectives
As community facilitators, you should be clear about the objectives of the community-level engagement process that you are conducting. Having a clearly articulated set of objectives allows you to set up a system for reflecting and monitoring how successfully you are meeting those objectives. Ongoing monitoring of objectives also gives you the opportunity to reflect on the appropriateness and relevance of those objectives, allowing you to alter your strategies for meeting objectives and/or changing the objectives.

To help you think about what constitutes an objective, consider the following scenario: You return home to your family after a day's community engagement. Your brother or sister, husband or wife, son or daughter asks you: **What did you do today**?

Your reply may include:

- finding out what challenges people face in their agriculture and fisheries;
- working with community groups to identify the opportunities for increasing incomes;
- identifying the most important priorities for people in communities
- developing action plans to meet those priorities;
- finding out how relationships between different members of the community affect opportunities for different people.

These replies are sufficiently specific such that you can check to see if you actually achieved them and are therefore examples of workable objectives.

Your relative may follow up this question with "**Why did you do that?**"

Your reply may include:

- to support communities to improve their livelihoods and wellbeing;
- contribute to a process of change that leads to greater equity and collaborative ways of working.

These replies are more aspirational – achieving your objectives may contribute to these – but other factors will also mitigate or facilitate their realization. These represent your aims.

A third question your relative may follow up with may be "**How did you do that?**"

Your reply may include:

- facilitating workshops with farmers;
- developing a coding system to monitor the gender and age of those we spoke with;
- recording the socioeconomic profile of those we speak with;
- sharing findings with government and NGOs;
- spending time staying with families and learning about their way of life;
- talking to groups of women;
- talking to groups of children;
- having one-to-one discussions with village leaders;
- analyzing the results.

These answers represent the activities that you carry out that will help you meet your objectives.

Figure 6.1 puts the aims, objectives and activities together visually. The assumption that runs through the diagram is if we complete all our activities then we will have realized our objectives. Realizing our objectives will contribute to the overall aims. Throughout the PAR process we should regularly revisit

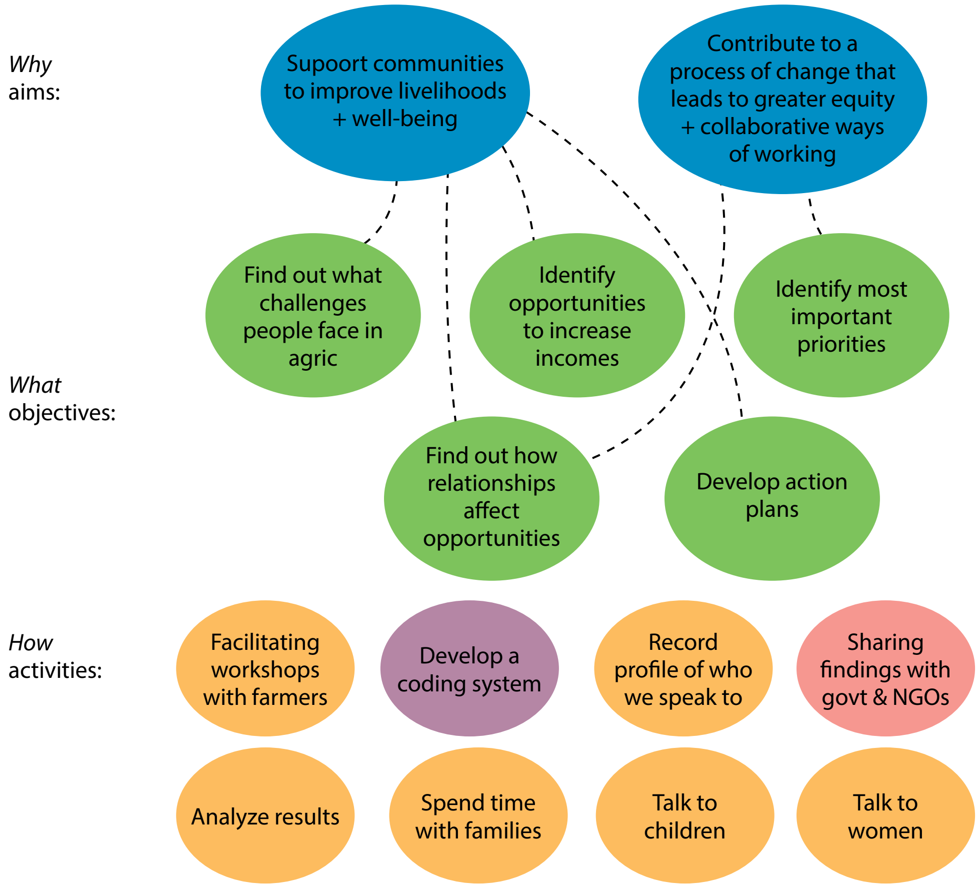


Figure 6.1. Monitoring aims, objectives and activities.

this diagram and assess on whether we are successfully completing our activities and reflect on whether these activities are enabling us to achieve our objectives.

A traffic light system can be used to indicate our progress in completing the activities. Red indicates that the activity has not yet started; yellow indicates that the activity is ongoing; green indicates that the activity is completed. As we revisit this diagram at regular intervals over the course of the community engagement process, we mark each activity with the appropriate color – red, yellow or green.

During these reflection sessions, we also consider whether our assumption that successfully completing the activities will result in realizing our objectives. Such deliberation may lead us to add more activities to the diagram. We may also conclude that some of our objectives need to be modified or removed, and others added. The process is dynamic; objectives and activities can change over the course of the PAR process as findings shed new light on assumptions we had made at the beginning of the process.

The process of regularly reflecting on aims, objectives and activities must be documented. Documentation of the reflection and review cycles is as equally important as the documentation of the village engagement sessions (Section 5). As community facilitators collectively reflect on progress and learning on completing activities and realizing objectives, they should agree who will be responsible for documenting the discussions.

Reflection and learning from activities

The team of community facilitators should reflect on each engagement activity that it carries out. This reflection enables the team to capture the successes and limitations of the engagement process and allows facilitators to identify the lessons learned that will be of use to all community facilitators in future engagement activities.

Allocating some time to sit together and discuss the experience of the engagement activity that is familiar to you – at the end of each day during CLCP you came together to do just that. This is good practice and as you continue to facilitate PAR in communities, always reflect on your learning on the engagement process soon after each activity.

As you reflect on your learning use the following checklist of questions to guide your discussion:

1) Were you adequately prepared for the session?
- Were participants informed in good time of the time of the session, the venue and the topic?
- Were you clear about the roles of your team (facilitator, observer, documenter)?
- Were ethical and safety issues reviewed?
- Did you have sufficient resources prepared (including refreshments) for participants?

2) Facilitating the session
- How did you work as a team – were roles clear and played effectively?
- Was the icebreaker/energizer you used appropriate?
- How well did participants engage with the process?
- How effective were the questions and participatory methods in enabling discussion and deliberation by participants?
- Were all voices heard?

3) Key learning points
- What were the greatest strengths of the session?
- What were the greatest weaknesses of the session?
- What steps will you take to build on the strengths and address the weaknesses in the next session?
- What will you do differently next time?

Documentation of this reflective process is required. As the community engagement continues over time, recording sheets that document reflection and learning represent a valuable resource for community facilitators to assist them in planning for future sessions. They also provide data that can be used to document the PAR process that can be shared with other hubs as they too embark on PAR.

Self-reflection and learning

Reflecting on aims, objectives and activities is a collective process for reviewing the progress and success of community engagement activities. You should also capture the learning that you as a community facilitator experience by being part of the team of community facilitators. Reflecting on this learning in an ongoing, formalized and systematic way will help you to maximize the learning potential from your involvement. It will enable you to apply your learning as you continue to facilitate the PAR process, not only maximizing your learning potential, but also increasing the effectiveness and impact of the PAR process itself.

As you participate and contribute to the PAR process as a community facilitator you should take some time to reflect on your own personal learning.

On a regular basis, consider the personal journey that you are on through the PAR process. The following questions can help you to reflect on this learning:

- What did I do today/this week?
- How did it make me feel?
- What did I learn from this?
- What will I do differently in the future?

This exercise can either be conducted individually or with a group of fellow community facilitators and over the course of the PAR process in the hub both should be conducted. Sharing these personal reflections with peers is also a good way to enhance your learning experience. Peers' reflections can help you to contextual your own learning and provide wider meaning to the experience.

Again, documenting these personal reflections is essential. You will build up a personal record of your learning journey through the PAR process. This will be an invaluable reference source for you in your professional life. The skills you acquire as a community facilitator and the personal reflections you record will be useful to you whatever path you take – these are life skills.

Creating a learning diary or learning journal is a common way to document your personal learning. This may be an A4 or A5 booklet that you carry with you, which is available for writing down any observations during the course of your work. As well as narrative you may also consider sketching in your journal and use diagrams to illustrate your learning, e.g. you may depict your journey of learning as a journey on a river or through a landscape.

Recording your personal reflection and learning in a blog may be appropriate for some of you. In this way you are sharing your journey with others online who may want to read it. Others will prefer to keep their personal reflections private.

Community reflection on process and learning
As we learnt in Section 1, Goal 2 of the AAS program – socio-ecological transformation in the hub requires a transformation in attitudes and behavior of people in communities and external stakeholders. We anticipate that this transformation will lead to more equitable and sustainable outcomes for people dependent on aquatic agricultural systems. Facilitating a process of personal and collective reflection and learning is a necessary part of creating the conditions for this transformation to take place.

Your role as community facilitator not only involves enabling people in communities to articulate and deliberate on their issues, priorities, challenges and opportunities, but also involves enabling them to reflect on the learning that they have experienced by being part of the PAR process.

As you facilitate community engagement sessions with individuals and groups in communities, a reflective element should be built into the session. Typically, this will occur at the end of the session as part of the closure/ wrap-up. There are a number of participatory tools to assist you to facilitate personal reflections and some examples are given below.

In addition to embedding a personal reflective element into each session that you facilitate with people in communities, you should also design sessions that aim to enable participants to reflect on their own learning by being part of the PAR process. Over the course of the PAR process in communities, participants will be involved in repeated engagement sessions. Facilitating sessions for these participants, specifically focused on personal reflection and learning at different points through the process, is an opportunity for capturing this learning.

The tool kit provides some examples of tools designed for this purpose. They are:

- mood meter
- evaluation person
- reflective conversation
- reflection line

You must ensure that the reflections and discussion are documented for all the activities. This provides evidence of any transformational changes that are taking place within communities. As you build this evidence within and across communities, this provides a strong validation for the PAR approach. Further validation will come from capturing evidence that learning and reflection leading to changes in attitudes actually results in changes in behavior and action.

Tool kit

This tool kit provides you with a step-by-step guide for implementing the participatory methods highlighted in Section 4–6 of the training guide. These tools are designed to support you as you facilitate people in communities to articulate their views and reflect on their situation.

The presentation of each tool or method follows a common format: the objective of the tool followed by the steps needed to implement it. Facilitator's notes are provided at the end highlighting additional tips and guidance.

The video 'Participatory methods in Indonesia' illustrates several of the methods described in this tool kit. This video is available at: http://www.developmentfocus.org.uk/Development_Focus/Training.html

Section 4: Strengthened and continuous community engagement

Wealth/well-being ranking
Objective: To categorize households into wealth/well-being groups based on local criteria

For this exercise you will need to identify one, two or three key informants in the village who know about all the households in the village.

Step 1: Write down each household name/household head on individual cards and assignment a unique number to each.

Step 2: With one key informant, take two cards and ask which household is wealthier; or which household is better placed to meet their needs. Ask the key informant the reasons why one is wealthier than the other.

Step 3: Take a third card and ask the key informant to place this household in relation to the other two in terms of wealth. Again, as the reasons why the card has been placed where it has.

Step 4: Repeat the exercise with each card until all cards have been ranked

Step 5: Key informant groups cards into 'wealth groups' and defines the key characteristics of each group.

The discussion as to why cards are ranked as they are provides you with detailed insight into the challenges and opportunities facing households, the assets and livelihood activities that generate the greatest level of well-being for households and the choices that households make, and the constraints households face in enhancing their well-being or wealth.

If you have identified more key informants, and time permitting, repeat the ranking exercise and then compare the results of the key informants. If there are significant differences in the ranking exercise between key informants, facilitate a discussion between them to ascertain the reasons why.

As you conduct the PAR in communities, record the household number of each person that you engage with and ensure that all comments and contributions made by the person has the household number assigned to them. Recording this data will allow you to disaggregate and analyze the data by wealth group.

[Reference: Grandin B. 1988. *Wealth Ranking in Smallholder Communities: A Field Manual*. Intermediate Technology Publications.]

Rating line
Objective: To evaluate the success in implementing the initial action plans.

Step 1: Draw a 'rating line' on paper (see Figure T1) and ask participants to consider the following questions:

How much progress has been made in implementing the action plan?
Who was involved?

Ask each participant to place a cross on the line that indicates the level of progress that has been made.

little progress	some progress	a lot of progress

Figure T1. Rating line.

Step 2: Facilitate a discussion around the following questions:

- What progress has been made and what are the reasons for achieving this progress?
- What has prevented you from achieving the plans?

Step 3: What steps need to be taken to achieve the plans?

For this session, draw the diagram shown in Figure T2 and ask participants to consider the steps that can be taken by participants themselves, steps that can be taken jointly by participants and others, and steps that need to be taken by others. As the steps are identified, write or draw them on cards and place them on the relevant part of the diagram.

As each step is identified, facilitate a discussion around the step, making sure to cover: those who need to be involved, the time frame and the resources required and who can provide these.

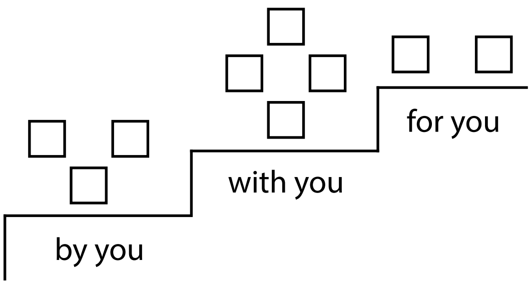


Figure T2. Steps to action.

Visioning
Objective: For participants to articulate and reflect on their visions for the future

Step 1: Complete the coding grid for each participant.

Step 2: Ask participants individually or in pairs to draw their 'ideal' village – what they would like the village to look like.

Step 3: Ask each to share their visions with one of the other participants/pair of participants in the group.

Step 4: Each pair of participants shares their visions and their reflections with the wider group.

It is important that the facilitator asks probing questions (Section 5) that encourage the participants to expand on their visions and provide more detail and context.

Facilitator's note: The documenter/co-facilitator (Section 5) is responsible for recording the discussion and ensuring that the code number or symbol corresponding to each participant is recorded by that participant's contribution.

Step 5: When all pairs of participants have shared their visions and reflections, the documenter/co-facilitator should summarize the discussion, highlighting the key messages and the areas of shared visions and those of specific participants and the reasons for these.

Barriers to realizing the vision
Objective: To identify different types of barriers to realizing visions.

Step 6: Prepare a diagram of concentric circles (Figure T3) labeling the inner circle as personal/individual, the middle circle as family, and the outer circle as community.

Step 7: In pairs, ask participants to reflect and discuss with each other the barriers that prevent the visions from being realized, classifying them in terms of the three levels.

Step 8: Each pair, in turn, reports back to the other participants while the documenter places the barrier in the corresponding circle. The barrier can be written and represented as an image, which is important for those participants who are not literate.

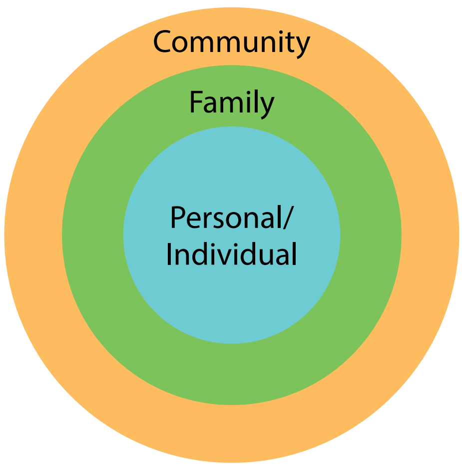


Figure T3. Barrier circles.

Facilitator's note: It is important that as the barriers are identified, participants are encouraged to expand, and others encouraged to comment and link with barriers that they have identified.

Step 9: Place the completed diagram on the floor (or table if appropriate); provide each participant with three stones/markers and ask them to place these on, what is in their view, the most important/significant barriers. The facilitator needs to encourage participants to explain why they prioritize the barriers as they have.

Facilitator's note: The documenter must record which barriers each participant is prioritizing by assigning the participants coding number to the barrier.

Overcoming the barriers
Objective: To identify potential actions to improving well-being.

Step 10: Select the three barriers that received the most votes and group participants into three equally sized groups, allocating a barrier to each group.

Step 11: Each group discusses the ways to overcome the barrier, consider the feasibility, what needs to change in order for the barrier to be removed, who is responsible, and maps out the process of removing the barrier.

Facilitator's note: Each group requires a facilitator/documenter to record the conversation and ask follow-up questions.

Step 12: Each group shares their discussion with the other groups.

Facilitator's note: The documenter records the comments/observations from the participants. If there is time, repeat the activity with the next three prioritized barriers

Resource mapping
Objective: To identify significant natural resources and infrastructure in the village and who has access and control of these resources

Step 1: Complete the coding grid for each participant.

Step 2: As a group ask participants to draw (if on paper) or construct (if using materials) a map of the village.

Facilitator's note: Keep the guidance you give to participants open. Do not be prescriptive. As participants are producing the map, record the discussions that are taking place as participants deliberate on what should be placed on the map.

Step 2: Facilitate a group discussion with participants explaining their map. Use the checklist below to guide the conversation:

- What are the important natural resources – e.g. farmland, grazing land, ponds, streams, rivers, forests – for participants and why are these so?
- Are there different times of year when these resources are used/play a more significant role?
- What changes have occurred in the importance and use of natural resources over time and what are the reasons for these changes?
- Who makes the decisions on how these resources are used and managed?
- What rules are there that control the use and access to these resources?
- How are these rules made and how are they changed?
- What are the biophysical factors determining crop production?

Safe/unsafe spaces
For this activity, ensure that each group you work with are split by gender and age. In other words, have women only groups, men only groups, young women only groups, young men only groups, boys only groups and girls only groups.

Aim: To identify where people feel safe and unsafe.

Step 1: Complete the coding grid for each participant.

Step 2: Ask participants to individually draw a mobility map with their house at the center and lines out to all the places that they go during the week/month.

Step 3: Ask participants to highlight all those places where they feel safe, and to highlight those places where they feel unsafe. Ask participants to share and reflect on their maps and the highlighted safe and unsafe spaces. Use the checklist to guide the discussion:

- Why are particular places safe or unsafe?
- Why do you need to go to the unsafe spaces?
- What steps do you take to minimize the risk at the unsafe spaces?
- Have these places always been safe or unsafe? If no, what has changed to create such conditions?
- What strategies do you use to minimize the risks?
- What needs to happen to make the unsafe spaces safe – who needs to be involved in the changes required?

Facilitator's note: it may be the case that the house is identified as an unsafe place for some

Institutional mapping
Aim: to identify the institutions and mechanisms that influence choices and opportunities for different social groups.

Step 1: Complete the coding grid for each participant.

Step 2: In the group, ask participants to identify those organizations that support them. Explain that these can be local village based organizations and external organizations such as CBOs, NGOs and government agencies/ representatives.

Facilitator's note: As the organizations are identified, facilitate a discussion about how these organizations support participants and what positive outcomes are enabled for people

Step 3: Ask participants if there are any organizations that hinder their efforts to sustain their livelihoods.

Facilitator's note: Again, as these are identified ask how and why these organizations are not supportive, and how does this affect them

Step 4: Ask participants to draw an organization map using circles to represent each organization. Explain that the size of the circle indicates the level of influence the organization has. Explain that the distance between circles represents the degree of connection between the organizations.

Facilitator's note: The resulting map will comprise a number of circles of differing sizes, some overlapping with others and some separated from the rest.

Step 5: Facilitate a discussion with participants to reflect on their institutions map. Use the checklist below to help you guide the conversation:

- How are different institutions connected
- Which institutions have the most power and influence – how does this show itself
- Who within the community is most closely associated with each institution
- Have there been any significant changes in the influence and relationships between institutions over the last few years – what have been the factors accounting for these changes

Step 6: Ask participants to consider how they would like to change the institutions map – should the circles of some institutions get larger or smaller; should the connection between institutions change. Ask participants to draw their 'ideal' institutions map. Facilitate a discussion around the ideal map using the checklist below to guide you:

- Why do you want to see the changes – how will these changes affect your lives
- Which changes are possible now, soon and later
- What are the barriers that would prevent the changes you want taking place

Seasonal calendars
Objective: to identify how livelihood activities and strategies change over the year

Step 1: Complete the coding grid for each participant

Step 2: Ask participants to identify the agricultural, household and income generation activities that they carry out at different times of the year. This can be presented in a calendar format starting with the beginning of the year and going through until the end of the year. Ask participants to draw the activities on the calendar.

Facilitator's note: Allow participants to define the beginning and end of the year, and the seasons/different periods in the year. This ensures that the information and analysis is grounded in local people's own realities and understanding of seasonal variation.

Step 3: Facilitate a discussion using the checklist to answer the following questions.

- When are the busy and less busy times of year?
- What are the particular challenges that participants face at different times of the year and how do they deal with these?
- What opportunities are there to improve incomes and well-being over the year?
- At what time of year do villagers face food shortages, how long do villagers experience food shortages? How do villages cope with shortages?

Facilitator's note:
Conducting this exercise with different social groups, e.g. men, women, children, landless, with those from different wealth groups, can reveal the differences and similarities in activities, challenges and opportunities between these groups over the seasons.

Time lines
Objective: To gain an historical perspective on life in the village.

For this activity you need to identify a group of older residents in the community who can provide you with a perspective of change over the decades.

Step 1: Complete the coding grid for each participant

Step 2: Ask participants to identify important events in the history of the village. Note these down on card and place them in a line in chronological order. For each event identified facilitate a discussion. Use the checklist to guide you to answer the following questions.

- What caused the event?
- How did it affect life in the village – immediate, and over a longer period of time?
- What were the positive impacts and negative impacts?
- Were different members of the village affected differently; why was there differing impacts?
- What support was offered to those adversely effected; who/which organizations provided this support?

Network analysis
Step 1: Complete the coding grid for each participant

Step 2: Take an issue arising from the thematic analysis of the first-level engagement e.g. decline in fish stocks in Tonle Sap Lake. Write this down on a large piece of paper.

Step 3: Facilitate a discussion on the causes of the decline in fish stocks and as these are identified write them down on the paper and link them with lines to the issue (Figure T4). It is important that the documenter documents the discussion around each cause. It is this information that provides the detail that will be needed when you start to look at interventions or actions to address the issue.

Step 4: Probe deeper – Many of the causes identified will be immediate causes. It is important to reveal the underlying causes for the issue. For example, an immediate cause may be 'many outsiders coming to fish'. An underlying cause may be that there is no effective regulation of the lake; it is an open access resource. Another immediate cause may be 'too much reliance on fish because of a lack of alternative livelihood activities'. Further probing may reveal that it is a 'lack of technical knowledge' that prevents diversification to animal husbandry or home gardens. It may also be a 'lack of credit available to women' that prevents diversification.

Step 5: After you have explored the immediate and underlying causes giving rise to the issue, examine the impacts that this issue has on individuals, households and communities. Impacts revealed may include: 'decline in household income'; 'illegal rearing of hybrid fish species', 'use of larger fishing gear', 'smaller mesh sizes'.

Step 6: Again, as with the causes, probe deeper and facilitate participants to identify second-order impacts, e.g. decline in household income may result in 'family members migrating', 'girls pulled out of school'.

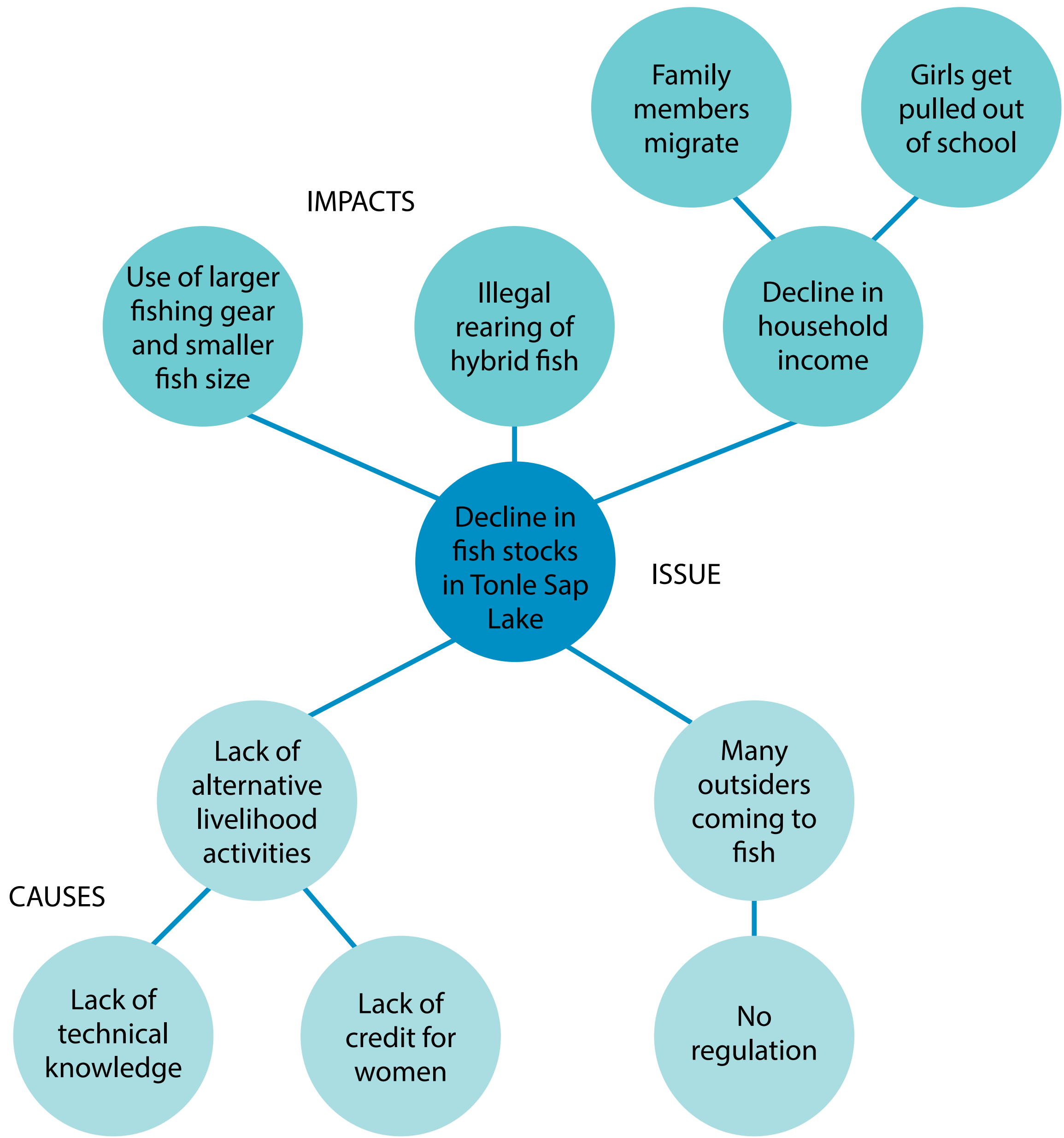


Figure T4. Network diagram.

Step 7: When all initial, secondary and tertiary impacts have been identified and discussed, facilitate a discussion around interventions or actions that could be introduced to address the causes and impacts of the issue. Link the interventions to the specific causes/impacts. As the interventions are identified and discussed use the following questions to help you facilitate the discussion:

- Who is responsible for the intervention?
- How difficult will it be to implement the intervention?
- What needs to be in place for the intervention to work – resources, cooperation between groups/individuals, change in social/gender relations?
- What is the time frame for the intervention?

Facilitator's note:
Comprehensive documentation of the discussion is essential for the following action planning stage. You have started the process of conducting participatory impact pathway analysis through this exercise.

RESOURCES

Pairwise ranking matrix
This tool is effective for supporting you to facilitate participants to systematically compare different issues, options, actions, and facilitate a discussion around the relative significance/ strengths/weaknesses of each.

Step 1: Complete the coding grid for each participant

Step 2: Take a number of concerns emerging from the thematic analysis. For example, the analysis may have revealed that for women important issues or areas of concern are: housing, health care provision, potable water and household toilets.

Step 3: Construct a matrix as shown in Figure T5

Step 4: Take two issues, such as housing and health care provision and facilitate a discussion around which of these is of greater importance to the women in the group. It is important to document the discussion and deliberations regarding which is the more important issue for the group. In particular, the reason why one is more important than the other must be documented. When the more significant issue has been identified, indicate this in the matrix as shown in Figure T6.

Step 5: Repeat Step 4 for two other issues (e.g. housing and potable water) and place the more important issue in the matrix as shown in Figure T7.

Step 6: Repeat Step 4 until all issues have been compared with the other three issues and the matrix is completed – see Figure T8.

Step 7: Add up the number of times that each issue was chosen as more significant and rank the results – Figure T9.

Step 8: Feedback the results to the participants and facilitate a discussion on the implications of the ranking for them.

Facilitator's note:
This is a useful ranking tool. Capturing the discussions around the choices provides rich data that can be used to help inform action

	Household toilets	**Potable water**	**Health care**	**Housing**	**Score**	**Rank**
Housing				X		
Health care			X	X		
Potable water		X	X	X		
Household toilets	X	X	X	X		

Figure T5. Pairwise ranking matrix 1.

	Household toilets	**Potable water**	**Health care**	**Housing**	**Score**	**Rank**
Housing			Health care	X		
Health care			X	X		
Potable water		X	X	X		
Household toilets	X	X	X	X		

Figure T6. Pairwise ranking matrix 2.

	Household toilets	**Potable water**	**Health care**	**Housing**	**Score**	**Rank**
Housing		Potable water	Health care	X		
Health care			X	X		
Potable water		X	X	X		
Household toilets	X	X	X	X		

Figure T7. Pairwise ranking matrix 3.

plans and the details of these. The reasons for choices – the 'Why' one over another – also provides you with indicators for assessing interventions based on local people's criteria. For example, when choosing between household toilets and housing, participants may choose household toilets as women and girls are safe from attack at night as they do not have to travel away from the house. The indicator revealed is: safety for women and girls.

An alternative to writing the issues in the matrix is to draw symbols that represent them. In this way, nonliterate participants can follow the completion of the matrix and take a fuller part in the discussion.

If two issues are tied, assign half a point to each, i.e. put both in the matrix cell.

Impact matrix

The impact matrix allows you to evaluate different interventions against impact and one other criterion, such as resources required.

Step 1: Complete the coding grid for each participant

Step 2: Select the interventions to be evaluated, e.g. the land and water management initiative, the following interventions have been identified in earlier sessions: home garden support; pond rehabilitation; training in animal husbandry; introduction of new rice seeds.

Step 3: Construct a grid like the one shown in Figure T10.

Step 4: Take one action, such as home garden support and facilitate a discussion around whether the intervention will have a low or high impact. Document the discussion that participants have on this subject.

Step 5: Facilitate a further discussion on whether the intervention will require low or high level of resources to implement. Again, document the discussion that participants have around this question.

	Household toilets	Potable water	Health care	Housing	Score	Rank
Housing	Household toilets	Potable water	Health care	X		
Health care	Household toilets	Potable water	X	X		
Potable water	Household toilets	X	X	X		
Household toilets	X	X	X	X		

Figure T8. Pairwise ranking matrix 4.

	Household toilets	Potable water	Health care	Housing	Score	Rank
Housing	Household toilets	Potable water	Health care	X	0	0
Health care	Household toilets	Potable water	X	X	1	3
Potable water	Household toilets	X	X	X	2	2
Household toilets	X	X	X	X	3	1

Figure T9. Pairwise ranking matrix 5.

IMPACT			
	High		
	Low		
		High	Low
		RESOURCES	

Figure T10. Impact matrix 1.

Step 6: When participants have agreed on the level of impact and the level of resources required place the intervention in the appropriate quadrant of the grid – Figure T11.

Step 7: Repeat Steps 4–6 for all interventions – Figure T12.

Step 8: Facilitate a discussion on the outcome of the activity. Highlight all those interventions that are predicted to have a high impact and a low resource cost. These are likely to be the easy win actions that can be pursued. Next, consider those with a high impact and high cost. Reflect on whether these are actions that should be pursued. Finally, point out those that have low impact and high cost – should these be pursued?

Facitator's note:
Other criteria can be used in addition to resources. Impact can be evaluated against time frame to implement (short or long); against ease of implementation (easy, hard) and so on.

As with the pairwise ranking matrix, the discussion around impacts – whether high or low – also reveal indicators that can be used for evaluating interventions. For example, support for home gardens may be rated as a high impact because it is an effective way women generate their own income. The indicator revealed is: income-generating opportunity for women.

Of course, during the discussion you would probe deeper and ask why providing women with income-generating opportunities is important.

Bamboo bridge
This is a planning tool to help you facilitate a discussion on the steps that need to be taken to achieve an intervention.

Step 1: Complete the coding grid for each participant.

Step 2: Explain to participants that we are on one side of a river and we must construct a bamboo bridge to cross the river to achieve our objective, or action. Each segment of the bridge represents a step towards achieving the action. Let's assume that the action is to rehabilitate the pond for fish farming.

Step 3: Facilitate a discussion around the steps that need to be taken to achieve the objective. As these are identified write them, or draw them on cards.

IMPACT	High		Home garden support
	Low		
		High	Low
		RESOURCES	

Figure T11. Impact matrix 2.

IMPACT	High	Pond rehabilitation Introduction of new rice seeds	Home garden support
	Low		Training in animal husbandry
		High	Low
		RESOURCES	

Figure T12. Impact matrix 3.

Step 4: Ask participants to consider the sequence of activities, or steps. Participants should sort the cards into sequential order starting at one side of the river and placing them across the river, with the last step reaching the other bank

Step 5: Further discussion can be facilitated, asking participants to reflect on the time frame required to complete each step, the resources required to compete each step, who is responsible for each step and so on.

Verification and action planning grid

This is helpful for feeding back to people in communities your findings from previous engagement sessions and to seek confirmation from them that you have interpreted their views accurately. It is also useful for sharing the views of particular groups in the community with other groups in that community as a means of assessing the degree of consensus that exists over issues or actions.

Step 1: Complete the coding grid for each participant

Step 2: Construct the VAP grid as shown in Figure T13.

Step 3: In the 'Action' column write down the list of actions, for example, for the Livelihoods diversification initiative: training in animal husbandry; investment in ecotourism; fish processing technologies.

Step 4: Ask participants to reflect on whether they agree with the action or not. For those actions that they support ask them to place an X in the corresponding cell in the 'Agree' column.

Step 5: For those that they support, ask them to prioritize their top action (if you have many actions you can ask participants to prioritize their top two or three actions) – ask participants to place a X in the corresponding cell in the 'Priority' column.

Step 6: For those actions participants have agreed with, guide them through the remaining columns and discuss each aspect of the action in turn.

Actions	Agree	Priorities	Who is responsible	Resources required	Time frame – now, soon, later
Training in animal husbandry					
Investment in ecotourism					
Fish processing technologies					

Figure T13. VAP grid.

Actions	Agree	Priorities	Who is responsible	Resources required	Time frame – now, soon, later
Training in animal husbandry	X X X	X X			
Investment in ecotourism	X X				
Fish processing technologies	X X	X			

Figure T14. Completed VAP grid.

Facilitator's note:
This tool is effective for a large group of people (20 or more) when you want to capture their views/perspectives quickly. Several facilitators will be working simultaneously with different participants to complete the VAP grid. This provides a very good visual feedback method to all those at the event. The actions that people agree with and the prioritization of those actions become clearly visible and understandable to all.

Evaluation matrix
Objective: For participants to evaluate a set of criteria, or indicators on a scale from 1 to 4 – with 1 being scored 'very highly' to 4 'very poorly'.

Step 1: Draw up a grid as shown in Figure T15 and write down the each criterion or indicator for each row as shown.

Step 2: Ask participants to put a cross in the corresponding cell for each criterion/indicator. For example if a participant rated indicator 1 very highly, she would put the cross in the cell associated with the happy face. If, on the other hand she rated the indicator poorly or very poorly, she would put her cross in the third or fourth cell.

Step 3: When all participants have scored each indicator, the pattern that is presented provides an effective visual message on the views of participants on each indicator.

Facilitator's note: The criteria or indicators to be evaluated may be identified by participants, or they may be externally defined, or the indicators presented in the grid could comprise both internally and externally defined indicators.

If all participants complete the evaluation matrix together, this may bias the results, as people may be influenced in how they rate criteria with others watching them. If this is a concern, arrange for each participant to score the indicators in private, maintaining their anonymity.

Section 5: Effective facilitation

Name–food game
Aim: Participants and community facilitators to learn the names of each other

Step 1: Arrange participants and community facilitators in a circle.
Step 2: Ask one participant to say her name and a food she likes that begins with the first letter of her name: e.g. My name is Channy and I like chillies.
Step 3: Ask the participant to the left of the first participant to state their name and a food that they like that begins with the first letter of his name, and then to repeat the name and food of the first person. For example, My name is Pritam and I like peaches, this is Channy and she likes chillies.
Step 4: Ask the person to the left of Pritam to state her name and a food that she likes, and then to repeat the names and foods of other two participants. For example, My name is Melanie and I like mangoes, this is Pritam and he likes peaches, and this is Channy and she likes chillies.
Step 5: Repeat step 4 until all participants have stated their name, the food they like and the names and food of all those participants that preceded them.

Facilitator's note:
This is an effective exercise for people to remember the names of others. For each participant, the exercise becomes progressively harder as each has to remember the names and foods of the others that have preceded them.

Indicator	☺ high			☹ low
Indicator 1				
Indicator 2				
Indicator 3				
Indicator 4				
Indicator 5				
………				

Figure T15. Evaluation matrix.

Encourage others to help those that struggle to remember all the names or foods. Arrange the circle such that one of the team of facilitators is the last to state their name, such that she has to then repeat all the others' names and foods. At the end of the process, you can initiate a final round where all participants call out the names and food of each person.

Throw the ball
Aim: Participants and community facilitators learn the names of each other.

Step 1: Arrange participants and community facilitators in a circle.
Step 2: Facilitator throws a soft ball (or orange) to one of the participants and states her name as she does so.
Step 3: Ask the participant who has the ball to throw to another participant, and to state his name as he does so.
Step 4: Repeat step 3 until all in the circle have caught the ball at least once and stated their name.
Step 5: When one of the team of facilitators catches the ball, explain that the rules of the game have now changed: rather than state your own name as you throw the ball, you are required to state the name of the person you are throwing the ball to.
Step 6: Throw the ball and state the name of the participant you are throwing it to.
Step 7: Repeat Step 5 until all participants have received the ball at least once.

Facilitator's note: You can introduce a second ball into the circle between Step 6 and Step 7 and the two balls are simultaneously thrown between participants.

Simon says
Aim: Energize participants

Step 1: Arrange participants and community facilitators in a circle.
Step 2: Explain the rules of the game; the facilitator will issue instructions. For example: step back, step forward; hop on one foot; jump in the air; and so on. Participants should follow the instruction only if the instruction starts with "Simon says...". If the instruction does not start with this phrase, participants should not move but stay still.
Step 3: Facilitator starts the game by calling out instructions, some preceded by the phrase "Simon says..." and some without.
Step 4: As the game proceeds, those participants that follow the instructions that are not preceded by "Simon says..." leave the circle.
Step 5: The game continues until only one person remains.

Samson and Deliah
Aim: To energize participants through a team exercise.

Step 1: Arrange participants into two groups.
Step 2: Explain the rules of the game; each group decides on which role to play – Samson, Deliah or the lion – and the group wins according to the following rules. Samson vs Deliah – Deliah wins; Samson vs the Lion – Samson wins; Deliah vs the lion – the lion wins.
Step 3: Each group decides the role it will play and prepares to act this role: Samson – each group member flexes their arm muscles; Lion – arms in the air and roars; Deliah – a dance.
Step 4: Each group forms a line with backs to each other. On the signal from the facilitator each turns to face the other group, acting the role that the group has chosen.
Step 5: Step 3 and 4 repeat with the facilitator recording the winner of each round. This continues for three to five rounds

Facilitator's note:
This exercise causes much laughter and joking. It also is effective at getting groups to agree and act on decisions made (i.e. which role to play). If the group has not done so, the sight of one group playing multiple roles simultaneously reveals the lack of coordination within the group.

Squeeze the hand
Aim: To energize participants through a team exercise

Step 1: Arrange participants into two groups.
Step 2: Each group forms a line with each line facing each other.
Step 3: The facilitator places a stick or pen at one end of the lines and moves to the other end of the lines, and explains the rules of the game; participants in each line hold hands with each other. At one end of the lines the facilitator holds the hand of the participant at the end of one of the lines and with the other hand, holds the hand of the participant from the other line. The two

participants at the other end of the lines places their hand close to the pen/stick. The facilitator explains that she will squeeze both hands at the same time. When the participants holding the facilitator's hand feels the squeeze, they then squeeze the hand of the one holding their hand. When this participant feels the squeeze, he then squeezes his other hand. When the participant holding this hand feels the squeeze, she squeezes her other hand. As the squeeze moves down the line, to the last participant, the last participant picks up the pen/stick. The winning group is the one that 'sends the squeeze' down the line the quickest and gets the pen.

Cat and mouse game
Aim: To energize participants

Step 1: The facilitator asks for two volunteers – one to play the cat and the other the mouse.
Step 2: The remaining participants form a circle and hold hands.
Step 3: The circle of participants allows the mouse into the circle with the cat remaining outside the circle.
Step 4: The facilitator explains the rules of the game: the cat tries to get into the circle to catch the mouse. The circle of participants prevents the cat from doing so. If the cat succeeds in entering the circle, the circle of participants releases the mouse from the circle and attempt to keep the cat in the circle. The cat then tries to exit the circle. If the cat succeeds, the mouse then reenters the circle.
Step 5: When the cat catches the mouse, two more volunteers come forward and the game is repeated.

Section 6: Reflection and learning

Mood meter
Objective: Participants to express their feelings before, during and after the session.

Step 1: Draw a 'mood meter' as shown in Figure T16

Step 2: At the beginning of the session, ask the participants to place a cross in the box that best reflects their mood – good mood, bad mood or indifferent mood

Step 3: Ask participants to reflect on the reason for their feelings and to share with the group if they are happy to do so.

	Before/ start	Midway	At end of session
☺			
😐			
☹			

Figure T16. Mood meter.

Step 4: Midway through the session, ask the participants to reflect again on their mood and repeat steps 2 and 3.

Step 5: At the end of the session, ask the participants to reflect again on their mood and repeat steps 2 and 3.

Step 6: Facilitate a group discussion, probing the reasons why participants' mood changed over the course of the session.

Facilitator's note:
If the session is short, you can omit the midway mood assessment.

During Step 5, you should highlight and facilitate further discussion on changes in mood that arise because of changes in attitudes and perceptions.

Evaluation person
Objective: For participants to identify what they gained from the session.

Step 1: Draw an image of a person as shown in Figure T17.

Step 2: Ask the participants to reflect on: what they learned from the session; what they liked about the session; what they will take away and use from the session; and what they will throw away as a result of the session.

Step 3: Ask participants to write on cards (or if they prefer to draw an image that depicts) what they learned, what they liked, what they will use and what they will throw away, and place these on the appropriate part of the 'evaluation person'.

Step 4: Facilitate a discussion on the reflections articulated by participants.

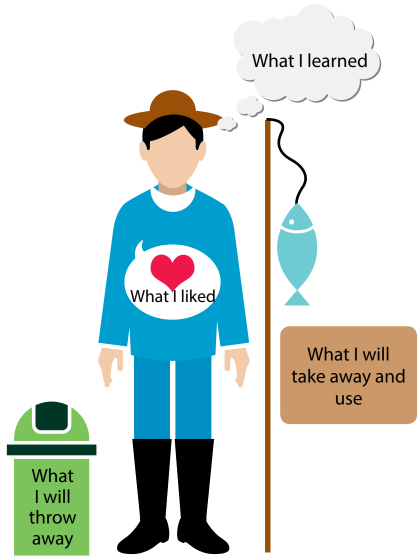


Figure T17. Evaluation person.

Facilitator's note:
When facilitating the discussion, go through each category in turn, drawing out the learning points and changes in attitudes highlighted.

Reflective conversation
Objective: To enable participants to articulate their learning and how this influences them.

Step 1: Group participants into pairs and ask each pair to reflect on the following question: What did we do during the session and how did it make you feel?

Step 2: After two or three minutes, facilitate a discussion asking each pair to report back to the others the key messages from their conversation?

Step 3: Ask the pairs to discuss the following: 'What did you learn from the session?'

Step 4: Repeat Step 2, facilitating a discussion on what had been learned.

Step 5: Ask the pairs of participants to discuss: 'What will I do differently as a result of my learning?'

Step 6: Repeat Step 2, facilitating a discussion on what participants would do differently.

Reflection line
Objective: To enable participants to reflect on their journey through the PAR process and how it has affected them.

Step 1: Reproduce Figure T18 and explain to participants that they should draw their own reflection line that starts with their first involvement with the PAR process that you have been facilitating in the village up to the present. Emphasize that the one you are presenting is for illustrative purposes and each will have their own personal journey to depict in their own reflection line.

Step 2: Explain that they should think back to their first encounter with the community facilitators and reflect on whether this had a positive or negative effect on them at the time. They need also to consider why the influence was positive or negative. Explain to participants that as they draw their reflection line over time, it should mirror the changes in their attitude towards the engagement process. Again, they should consider why these changes occurred.

Step 3: When participants have completed their reflection line, facilitate a discussion with the participants sharing their lines with the others and explaining the journey they have been on, drawing out the common themes emerging and the changes in attitudes that have occurred.

Facilitator's note: An alternative to the reflection line presented as a graph is for participants to draw their journey using a river as a metaphor, or a journey on a path. Negative attitudes can be represented as hazards or barriers and positive attitudes represented through overcoming these barriers/hazards.

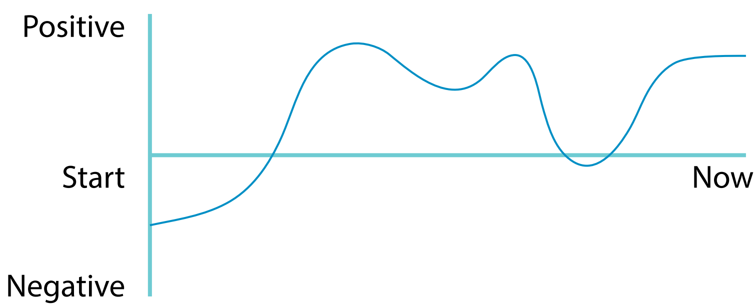


Figure T18. Reflection line.

REFERENCES

Apgar M and Douthwaite B. 2013. *Participatory action research in AAS*. Program Brief AAS-2013-27. Penang, Malaysia: CGIAR Research Program on Aquatic Agricultural Systems.

CGIAR Research Program on Aquatic Agricultural Systems. 2012. *Gender strategy brief – A gender transformative approach to research in development in aquatic agricultural systems*. Penang, Malaysia: CGIAR Research Program on AAS.

Douthwaite B, Kamp K, Longley C, Kruijssen F, Puskur R, Chiuta T, Apgar M and Dugan P. n.d. *Using theory of change to achieve impact in AAS*. AAS Working Paper. CGIAR Research Program on Aquatic Agricultural Systems.

Dugan P, Apgar M and Douthwaite B. 2013. *Research in development: The approach of AAS*. AAS Working Paper. Penang, Malaysia: CGIAR.

Fals Borda, O. 2007. Participatory (Action) Research in Social Theory: Origins and Challenges. In Reason, P; Bradbury, H (Eds) The Handbook of Action Research. Concise Paperback Edition. Sage, London.

German LA, Tiani A-M, Maravanyika TM, Chuma E, Jum C, Nemarundwe N, Daoudi A, Ontita E, Yitamben G, Orindi V, et al. 2010. *The application of participatory action research to climate change adaptation: A reference guide*. Ottawa, Canada: International Development Research Centre (IDRC).

Il O, Mam K, Sour K and Ratner BD. 2014. Innovations to strengthen aquatic resource governance on Cambodia's Tonle Sap Lake. Program Report. Collaborating for Resilience.

Institute of Development Studies. 2012. *Special Issue: Action research for development and social change*. IDS Bulletin 43(3). Brighton, UK: IDS.

Johnson G, Puskur R, DeClerck F, Mam K, Il O, Mak S, Pech B, Seak S, Chan S, Hak S, et al. 2013. *Tonle Sap: Draft scoping report*. Aquatic Agricultural System (AAS) WorldFish. Phnom Penn, Cambodia.

Johnson V and Nurick. 2003. Developing Coding Systems to Analyse difference. PLA Notes 47:25-32. International Institute for Environment and Development, London.

Johnson V and Nurick R. 2006. *Regeneration through community assessment and action overview of methodology*. Brighton, UK: Development Focus. http://www.developmentfocus.org.uk/Development_Focus/Training_files/Community%20Assessment%20and%20Action%20%28CAA%29%20methodology.pdf

Johnson V, Nurick R, Baker K and Shivakotee RS. 2013. *Children and young people's participation (CYPP). Training workshop guide*. Childhope, London. http://www.childhope.org.uk/wp-content/uploads/2013/05/Childhope-CYPP-Toolkit-FINAL.pdf

Kantor P and Apgar M. 2013. *Transformative change in AAS*. Program Brief AAS-2013-25. Penang, Malaysia: CGIAR Research Program on Aquatic Agricultural Systems.

Lewin, K.1946. Action Research and Minority Problems. Journal of Social Issues 2(4):34-46, November.

Munoru O and Duangsa D. 2013. *Visioning process in Tonle Sap. Trip report*. CGIAR Research Program in AAS. Penang, Malaysia.

Munoru O, Duangsa D and Nary T. 2013. *Community life competent process learning event*. 19–23 August 2013, Siem Reap, Cambodia. Penang, Malaysia: CGIAR Research on AAS.

Plan International and Development Focus. 2001. *Mainstreaming children's rights. A trainer's guide*. Development Focus. http://www.developmentfocus.org.uk/Development_Focus/Rights_files/trainersguideJul01b.pdf

Un B, Pech S and Baran E. 2013. *Aquatic agricultural systems in Cambodia: National situation analysis*. Penang, Malaysia: WorldFish, CGIAR Research Program on Aquatic Agricultural Systems.

WorldFish. 2013. *AAS CRP Hub Roll-out Handbook*. Version 2.0 (draft) Penang, Malaysia: WorldFish.

WorldFish. 2013. *Lessons learned from AAS roll-out in 2012*. Penang, Malaysia: WorldFish.

WorldFish. 2013. *Towards a collective understanding: Report on action research in Cambodia* WorldFish Mekong Regional Office. Phnom Penn, Cambodia: WorldFish.

WorldFish. 2013. *Tonle Sap hub stakeholder consultation workshop on aquatic agriculture systems*. Siem Reap, Cambodia, 18–20 June 2013.

This publication should be cited as:
Nurick R and Apgar M. 2014. Participatory Action Research in AAS: Guide for Facilitators. Penang, Malaysia: CGIAR Research Program on Aquatic Agricultural Systems. Manual: AAS-2014-46.

About the CGIAR Research Program on Aquatic Agricultural Systems
Approximately 500 million people in Africa, Asia and the Pacific depend on aquatic agricultural systems for their livelihoods; 138 million of these people live in poverty. Occurring along the world's floodplains, deltas and coasts, these systems provide multiple opportunities for growing food and generating income. However, factors like population growth, environmental degradation and climate change are affecting these systems, threatening the livelihoods and well-being of millions of people.

The CGIAR Research Program on Aquatic Agricultural Systems (AAS) seeks to reduce poverty and improve food security for many small-scale fishers and farmers depending on aquatic agriculture systems by partnering with local, national and international partners to achieve large-scale development impact.

Contact Details:
CGIAR Research Program on Aquatic Agricultural Systems
Jalan Batu Maung, Batu Maung, 11960 Bayan Lepas, Penang, MALAYSIA
www.aas@cgiar.org

Photo credits: Front & back cover, Robert Nurick/Development Focus

With communities, changing lives

development focus

RESEARCH PROGRAM ON Aquatic Agricultural Systems
CGIAR