# A Community Economic Development (CED) Training Guide for Peace Corps Volunteers

Peace Corps
2002

## Information Collection and Exchange

# A Community Economic Development (CED) Training Guide

# for

# Peace Corps Volunteers

## Acknowledgments

# Contents

# Introduction

# INTRODUCTION

This guide was developed specifically to show Peace Corps Volunteers (PCVs) why and how community economic development (CED) is used to improve individuals' and families' economic well-being. As you do the activities in this guide and read the text, you will discover the potential of CED in expanding communities' economies and building the capacity of citizens to take responsibility for their own economic future. The guide is based on the experiences of CED groups that first became active in the United States in the 1960s, the efforts of international development organizations, and experiences of Peace Corps Volunteers.

*A CED Training Guide for Peace Corps Volunteers* is presented in five modules.

**Module 1**    Promotes an understanding of CED by contrasting its unique approach to a more traditional economic development approach. Core CED activities are explained to afford a fuller understanding of CED concepts.

**Module 2**    Stresses the participation of citizens in CED and presents techniques to increase and maintain participation.

**Module 3**    Discusses practical methods—gathering community information and decision-making techniques—for planning a CED strategic agenda

**Module 4**    Discusses implementing a CED strategic agenda.

**Module 5**    Provides an overview of participatory monitoring and evaluation and discusses its importance in building community capacity and in gathering information for project stakeholders and to improve the CED project.

CED is a process by which communities enhance the quality of life of their residents by creating new community and business wealth and building the capacity of residents to take control of their own economic future. It is the second goal of CED, building residents' capacity to take control of their own economic future, that makes CED a unique economic development strategy.

CED's capacity-building strategy is consistent with the following Peace Corps programming criteria:

1.  Increases local capacity.

2.  Strives to address expressed needs of those who have limited access to resources and opportunities.

3.  Seeks sustainable results that complement other development efforts.

4.  Enlists local participants as partners in developing, implementing, and assessing the project.

5. Considers gender relationships and promotes women's participation to increase their status and opportunities.

6. Places Volunteers at the local level where needs arise.

As you approach your work with CED, whether you walk into a community that has never thought about how it can be proactive in improving its economic situation or a functioning CED group, you will be surprised at how many of the skills you already possess are useful in working in CED efforts.

Each module in the series is similar to a travel guide. It provides an itinerary that leads you from one CED site to the next. These self-directed modules allow flexibility in both the time spent and the opportunities to explore areas that interest you. Experiential activities, included in each module, are structured to encourage adapting what you know and topics discussed in the modules to the local community's economic environment. To maximize learning, you are encouraged to share your observations, experiences, and conclusions with your fellow travelers—other training participants, Peace Corps trainers, and staff.

Travel guides often include sections on the local culture and some useful phrases of the local language. In *A CED Training Guide for Peace Corps Volunteers*, key terms are defined and space is provided to write the local language translation. Questions highlighting cross-cultural issues are incorporated into the experiential activities.

How much you learn during your visit to the world of CED is up to you. If you observe carefully, interact with the local people, and are open to new experiences, you will have a rewarding experience. PCVs want to learn about their host countries and to work with the citizens to improve the lives of individuals and families. As you journey through these CED training materials, it is useful to have a journal to record your observations, experiences, and thoughts; a camera; and an open mind.

*A mind is like a parachute—only useful if it is open.*

## HOW TO USE *A CED TRAINING GUIDE FOR PEACE CORPS VOLUNTEERS*

Learning is not a spectator sport! To learn you must be actively involved. Your host community is a place for discovery, a place for observing, experiencing, processing, and implementing your learnings. Even "what you think you know" needs to be reevaluated in your new cultural environment.

Throughout these five modules are activities to promote community interaction. Adults learn best through experience—the most relevant experiences are in communities similar to those where you will live during your Peace Corps

service. Many activities include community observation, information gathering, and/or involvement.

Your technical expertise is nearly useless until you adapt and apply what you know to fit the local culture and you can share your knowledge and skills in the local language.

At the beginning of each module is a list of objectives regarding: knowledge, skills, and attitude. These learning objectives point you in the right direction. After completing each module you should review the learning objectives to determine if you have understood the module contents and if you have mastered the knowledge, skills, and attitudes.  In each module, you are reminded to analyze what you know and what you are learning in the context of local conditions. Technical training is not complete without the integration of language and culture.

*A CED Training Guide for Peace Corps Volunteers* is designed for the self-directed adult learner. Self-directed does not mean you have to learn on your own, but rather that you take responsibility for mastering the knowledge, skills, and attitudes. Activities, case studies, and hands-on exercises in these modules are based on experiential learning methodology.

## EXPERIENTIAL LEARNING CYCLE
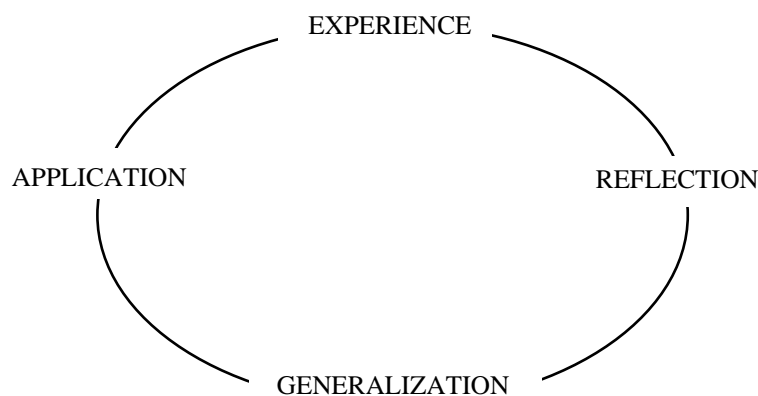


An experience that activates the experiential learning cycle may come from your past, an activity in your host community, a simulation game, or a written case study in a module.

Reflection is a special kind of thinking—it is both active and controlled. You are only reflecting as long as you stick to the problem or task at hand. Reflection is the kind of thinking that looks for the reasons for believing one thing rather than another, the kind of thinking that asks questions. It aims at making sense out of an experience. Practice reflecting on your experience, imagine the possibilities, and consider alternative meanings.

Many Volunteers find that keeping a journal encourages reflective thinking. Try writing in a journal every day for two or three weeks to determine if this works for you.

> *Socrates believed that it is through this kind of thinking [critical thinking, reflective thinking] that people shape their lives.*
> *He felt people need to think about what they do and why they do it, about what they believe and why they believe it.*
> *He said that a day should never pass without such questions and that a life without such questions is not worth living.*
>
> — reprinted with permission from Boostrom, Robert. *Developing Creative and Critical Thinking: an Integrated Approach.* National Textbook Company, Lincolnwood, IL, USA. p. 4.

During generalization, you expand on what you learned to fit new and different situations. Generalization is an especially relevant step in the experiential learning cycle for a PCV operating in a new and different country and culture.

The last step of the cycle, application, requires that you use what you have learned. As you apply your learnings, you generate new experiences and the experiential learning cycle begins again.

## As a self-directed learner, you are responsible for:

- Thoughtfully reading the modules;

- Actively participating in the suggested activities;

- Engaging with community residents to learn about microenterprises in the local context;

- Integrating cultural and language learnings to understand the technical subject matter in the local context;

- Provocatively seeking additional information to understand the microenterprise topics;

- Keeping an open mind to different ideas and ways of doing things; and

- Assuring that learning objectives are achieved.

Enjoy your
community economic development
journey!

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## TRAINER'S NOTES

## INTRODUCTION

**The role of the trainer:** The trainer is responsible for facilitating the learners' understanding of community economic development (CED) by:

- Identifying opportunities and materials to enable learners to experience, observe, and gather information related to the activities and topics;

- Helping learners contextualize their experiences and observations based on the trainer's understanding of the local environment and culture;

- Encouraging learners to take an appreciative approach, looking for resources and strengths rather than problems and needs in their journey of discovery, and

- Facilitating the processes of reflection, generalization, planning, and application, using the trainer's technical, cross-cultural, and country-specific expertise.

**How to use** *A CED Training Guide for Peace Corps Volunteers:* The modules are written for Peace Corps trainees and/or Volunteers (PCVs) who expect to work in CED through their primary assignment or in community outreach activities. These materials also should be useful for Peace Corps staff in understanding the development possibilities associated with CED. *A CED Training Guide for Peace Corps Volunteers* can be adapted for community partners and local development workers.

*A CED Training Guide for Peace Corps Volunteers* will be used most often during Pre-Service Training (PST) and In-Service Training (IST). Because the modules are designed for the self-directed learner, they can be adapted to a center-based, community-based, or hybrid training model. Also, Volunteers can use them for self-study anytime during their Peace Corps service, some sections can be used in CED Counterpart trainings.

Although a training participant benefits from individual study, working with a small group is often more interesting, and sharing ideas deepens understanding. Interaction of a knowledgeable skilled technical trainer is not essential, but highly desirable.

Trainer's Notes, continued

Writing training materials to fit every Peace Corps post and training situation is not possible. These modules are furnished electronically to facilitate making changes to better fit the local conditions, culture, and training model. We urge you to invest the time and effort to adapt *A CED Training Guide for Peace Corps Volunteers.* Work with the post's programming and training staff to:

• Rewrite sections not applicable to local conditions;

• Add country-specific examples and graphics; and

• Adjust activities to your training situation.

**Trainer's notes** are found at the end of each module. They include the following:

• **Overview** of the topics covered in the module/activities to explain the reason for including the topics.

• **Time** to complete the module/activities. You may need to adjust times to fit the training schedule.

• **Materials** that should be on hand before starting the module/activities.

• **Preparation** that should take place before beginning the module/activities.

• **Hints for debriefing and processing the learnings** of the module/activities to assist trainers in guiding training participants through the reflection, generalization, and application steps of the experiential learning cycle. Through debriefing and processing the experience(s), a skilled trainer adds value to self-directed learning.

At the beginning of the reader's section of each module are knowledge, skills, and attitude objectives. The learning objectives are stated in behavioral terms and stress the application of learnings developed during the module. Application is the final step in the experiential learning cycle. Key terms, listed at the end of each module, include significant words and phrases defined as they are used in the module. Space is provided for the local language translation of each key term. Encourage training participants to seek help from the language staff in translating and learning the key terms.

Listed at the end of each module are resources from the Peace Corps Information Collection and Exchange (ICE) Catalog and from select Internet sites. These readily available materials allow trainees and trainers to acquire additional information on topics covered in the module.

Continued

The following training books, available from ICE, are recommended for *A CED Training Guide for Peace Corps Volunteers* trainers.

*The Art of Facilitation: How to Create Group Synergy*. Dale Hunter, Anne Bailey, and Bill Taylor. (Fisher Books) 1995. 241 pp. (ICE No. TR114)

[Distribution to Peace Corps In-Country Resource Centers Only]

Provides an in-depth examination of the art of intervention and cooperative beliefs and values underlying facilitation for creating group synergy. The toolkit includes facilitative designs for workshops, meetings, projects, and evaluations. In addition, experienced facilitators offer a personal perspective on facilitation.

*101 Ways to Make Training Active*. Mel Silberman. (Jossey–Bass Pfeiffer) 1995. 303 pp. (ICE No. TR116)

Presents both fun and serious individual and group exercises to enlighten and deepen learning and retention in training sessions. Contains strategies and techniques to get active participation from the start and how to teach information, skills, and attitudes actively.

*Methods for Development Work and Research: A Guide for Practitioners*. Britha Mikkelson. (Sage Publications) 1995. 269 pp. (ICE No. TR074)

Describes and analyzes different development research models, devoting special attention to the participatory approach, but also considering conventional and quantitative research methods that can complement this approach. Discusses the development issues that are being researched, with a separate chapter on poverty and gender analysis. Offers detailed information that can be useful in training field workers to do research.

Trainer's Notes, continued

Training Trainers for Development–Conducting A Workshop on Participatory Training Techniques. The CEDPA Training Manual Series Volume I, 1999. 92 pp. (ICE No. TR111)

[Distribution to Peace Corps In-Country Resource Centers Only]

Compilation of training activities that CEDPA has used in many programs to strengthen the training capacity of health, family planning, and other types of development organizations. Manual prepares managers and trainers to conduct interactive, learner-centered training of trainers.
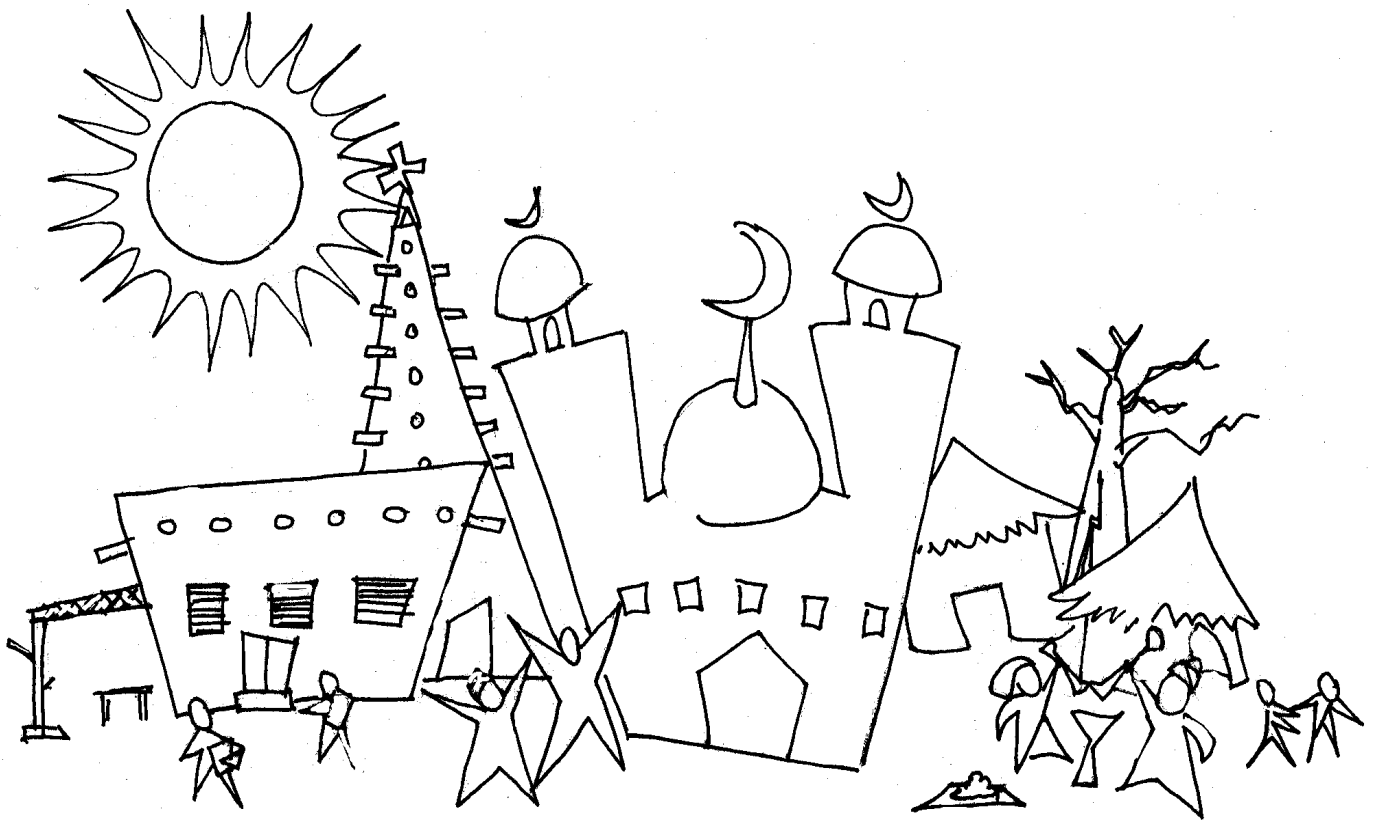
*The Thin Book of Appreciative Inquiry*. Sue Annis Hammond. (Kodiak Consulting) 1996. 61 pp. (ICE No. TR110)

Simple, practical explanation of Appreciative Inquiry and how to use it. Also includes useful information on project planning and nongovernmental organization development.

A CED Training Guide for Peace Corps Volunteers

# Module 1

# Understanding CED

MODULE 1

# UNDERSTANDING COMMUNITY ECONOMIC DEVELOPMENT (CED)

## A VOLUNTEER'S STORY

### Developing a Community

*Kubease was considered a sleepy and not especially attractive village in the Republic of Ghana. The villagers are mainly small farmers, and a few have jobs in a nearby town. Bobiri Butterfly Reserve is situated two and one-half miles from Kubease; the road to the reserve passes right through the village. But residents derived very little economic benefit from the tourists and scientists who visited the reserve.*

*A business Volunteer was the catalyst who changed the community. He formed a committee of nine villagers and introduced them to the possibilities for community economic development. An impressive entrance to Kubease with a welcome sign was erected. A tourism information center and toilet facilities were built. Houses were replastered, and a local artist painted murals depicting African life-styles on some of the houses. Sidewalks were built, trees planted, and an open pavilion constructed. Village merchants learned what goods and services visitors like and how to provide customer service. A bicycle rental shop opened to serve those who came by bus and wanted to ride rather than walk to the butterfly reserve.*

*Kubease has become a pleasant place where visitors stop and spend some of their money. Citizens enjoy both the new prosperity and improved community environment.*

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Community economic development is a process by which communities enhance the quality of life of their residents by creating new community and business wealth. CED concepts, and techniques to put these concepts into action, are presented through experiential activities, Volunteer stories, and readings. You will find out how Volunteers work with individuals and community groups to improve communities' economies. By the time you finish this module you should have gained the knowledge, skills, and attitudes to:

• Explain how CED differs from traditional economic development.

• Describe a significant shift in development strategy that has occurred over the last several years.

- Demonstrate ability to use strengths, weaknesses, opportunities, and threats (SWOT) analysis for CED.

- Identify five activities that a community might undertake to improve the quality of life of their residents by creating new community wealth.

- Identify four activities that a community might undertake to build community capacity.

## CED—A DEVELOPMENT STRATEGY

The synergy of working with an entire community rather than individual businesses appears to leverage economic benefits. There is no single successful CED approach because communities differ widely in their geographic attributes, social organization, economic resources, structure, and capacity of their political institutions. Each community, therefore, has a unique set of economic development challenges—this makes working in CED interesting.

Regardless of the community, several factors increase the likelihood of successful CED:

- Understanding the strengths and weaknesses of the local economy and its comparative advantages.

- Local leadership that brings together the human knowledge and financial resources of three sectors of society: government, business, and the third sector (nongovernmental organizations, or NGOs).

- Policies and programs that are planned around local needs and use local resources.

- A development facilitator with the right attitudes, skills, and knowledge willing to assist the community. This could be your job as a Peace Corps Volunteer (PCV).

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*"Nothing is permanent but change."*

— Heraclitus, 500 BC

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## A MINI HISTORY OF "THE FIELD OF DEVELOPMENT"

The Marshall Plan for the reconstruction of Europe after World War II is credited with launching "the field of development." Shortly after the Marshall Plan was begun, a number of international organizations were established. One of these was the World Bank, then known as the International Bank for Reconstruction and Development. Established originally to facilitate the reconstruction of postwar Europe, the World Bank went on to provide aid for the development of what became known as the Third World. The United States Agency for International Development (USAID), the International Monetary Fund (IMF), and the General Agreement on Tariffs and Trade (GATT), now

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known as the World Trade Organization (WTO), were also established. In addition to these government-sponsored organizations, international NGOs such as Care, PLAN, and Save the Children grew substantially during the postwar period.

The reconstruction process in Europe led development practitioners to believe that major infrastructure projects such as roads, dams, and other large-scale efforts were the most effective means to develop a society and a nation. What became apparent many years later is that the approaches used in Europe did not work when transferred to Third World countries. They had little effect on bringing developing countries out of poverty.

The visions of the 1950s and 1960s for a better world—full employment, decent incomes, universal primary education, health for all, safe water supplies, stable populations, and fair terms of trade between rich and poor countries—have not yet been realized in the Third World.

Practitioners have learned that to successfully develop the Third World requires not only addressing the infrastructure, but also requires a broader transformation that includes building the capacity of people, organizations, and communities.

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## A LEARNING MOMENT

Statistics taken from the 1999 United Nations Development Programme (UNDP) *Human Development Report*:

More than 880 million people lack access to health services, and 2.6 billion lack access to basic sanitation.

About 840 million people are malnourished; the overall consumption of the richest fifth of the world's people is 16 times that of the poorest fifth.

Nearly 1.3 billion people live on less than a dollar a day, and close to one billion cannot meet their basic consumption requirements. The share in global income of the richest fifth of the world's people is 74 times that of the poorest fifth.

More than 250 million children are working as child laborers.

Every year nearly 3 million people die from air pollution—more than 80 percent of them from indoor air pollution—and more than 5 million die from diarrhea diseases caused by water contamination.

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The Cold War, too, affected development in many countries. Competition for allies between the Western and Eastern blocs influenced the type of development aid that was offered and the projects that were undertaken. Military advantages

at times were given greater consideration than the needs of the underdeveloped countries. The fall of the Berlin Wall in 1989 marked the end of the Cold War. Our understanding of the importance of civil societies has improved with the lessons learned as communist societies have moved toward open societies with free markets. Today, strategies that empower people to build civil societies are being incorporated into Third World development programs.

Beginning in the 1990s and continuing today, globalization is a major force that affects Third World development. Globalization has been in fast forward, but the world's ability to understand and react to it has been in slow motion. Global markets, new trading groups—the European Union (EU) and North American Free Trade Agreement (NAFTA), for example—faster transportation, and the rapid flow of information are linking millions of people more closely than ever before. However, in less developed countries billions of people are not beneficiaries of globalization and in some cases are victims of globalization.

From the time the Peace Corps was formed in the early 1960s through today, various development theories and approaches have emerged and been modified or discarded: Growth to Equity, Minimum Needs Programs, the trickle-down theory, the trickle-up theory, and Basic Human Needs Programs. In applying these theories and approaches, development professionals came to understand better and experienced some success. Today, development professionals are applying their experience to a range of new theories and approaches, such as participatory methods, environmentally sustainable programs, replicable projects, promoting civil societies, and many others. And they are still learning.

**What the development community has learned through the years is that fundamentally people develop themselves. They are not "developed."**

The development field is wide and vast. Development is the building of latrines and a water supply system in small villages. Development is maternal and child health, reduction in communicable diseases, knowledge of nutrition, and more. It is education: preschool, primary, secondary, university, guidance counseling, sports, teacher training, and school management. It is economic development: generating new income, creating micro and small businesses, building employee skills, promoting the entrepreneurial spirit, and securing investment capital.

The Peace Corps works at the grass-roots level where Volunteers can make a difference in communities through the building of human capacity. PCVs try to understand individuals and groups, learn their aspirations, and work with them to build lasting "good" change in their communities. Over the next two years as a PCV you can join with others working and learning in the dynamic and ever-changing "field of development."

## ACTIVITY 1:1

## HOW INCREASING BUSINESS ACTIVITY MULTIPLIES COMMUNITY INCOME

Note: It is more fun and makes for a more dramatic experience to use role play to illustrate the situations.

**Situation 1:**

Assume Mr. X brings home a salary of $100. His family lives in the community of Lalaville, which has no businesses. What is the increase in community income? _____

Did you answer $100? You are right!

**Situation 2:**

Now assume a local store opens in Lalaville and Mr. X's family spends $50 of his salary at the local store to purchase food and household supplies. The store owner and clerk live in Mr. X's community. Of the $50 spent by Mr. X's family, $4 is the profit of the store owner, $1 goes to pay the salary of the clerk, and the other $45 goes outside the community to pay for the merchandise. Mr. X's family spends his other $50 outside the community to purchase a $10 school uniform for his daughter and a $40 chair for the family's home. How much did Mr. X's salary increase income in the community? _____

Did you answer $105? You are right.

**Situation 3:**

Two more businesses open in Lalaville, a seamstress who makes school uniforms and a furniture maker. The seamstress makes a profit of $3 on each school uniform she sells for $10, and the furniture maker makes a profit of $5 on each chair he sells for $40. Both purchase their raw materials outside the community. How much did Mr. X's salary increase income in the community if, in addition to his purchase at the local store, he bought the school uniform and chair locally? _____

Did you answer $113? You are correct. This is assuming that the store clerk, seamstress, or furniture maker did not make any purchases at the local store or from each other, which would slightly increase community income.

**Situation 4:**

Can you think of ideas for more businesses that would continue to circulate the funds in the community and would further increase the community's income?

Do you see that the more times earnings circulate in the community before they leave the community the greater the increase in community income? Economists call this the *multiplier effect*.

What about the income of people in neighboring communities? Doesn't this strategy of keeping funds circulating in Lalaville deprive them of income? It is true that other communities will not receive the dollars as quickly. However, eventually the $100 will leave Lalaville, just as it did in Situation 1. Considering the time-value of money, neighboring communities are somewhat worse off.

Discuss the following questions with your fellow trainees.

- What conclusions can you make about increasing the income of a community from the activity you just completed?

- What CED strategies might you suggest for communities based on your conclusions?


Note: For possible answers to these two questions, see Activity 1:1 Sample Answers, at the end of this module.

> *"When I was arguing that helping a one-meal family to become a two-meal family or enabling a woman without a change of clothing to afford to buy a second piece of clothing is a development miracle, I was ridiculed. That is not development, I was reminded sternly. Development is economic growth of the economy, they said; growth will bring everything. We carried out our work as if we were engaged in some very undesirable activities. When the UNDP's Human Development Report came out, we felt vindicated. We were no longer back street operators; we felt we were in the mainstream."*
>
> — Professor Muhammad Yunus, Founder
> Grameen Bank, Bangladesh

## WHY CED IS UNIQUE

Community economic development is an integrated holistic strategy that works at the community level to build citizens' capacity to take control of their own economic futures. CED has been successful in alleviating poverty in both developed and underdeveloped countries. CED assists families in meeting some of their basic economic needs—paying the school fees for their children, gaining access to basic health care, and providing nutritious food for the family. CED is an approach that highlights community cooperation. It is extremely difficult for one person to create a better business environment. It takes a collective effort for businesses to thrive and the economic well-being of community members to improve.

Study the following table to learn how CED differs from traditional approaches to economic development. Note how development lessons of the last 40 years have been incorporated into CED and how CED is consistent with the Peace Corps' development strategy.

CONTRAST BETWEEN
COMMUNITY AND TRADITIONAL ECONOMIC
DEVELOPMENT

|  | **Community Economic Development** | **Traditional Economic Development** |
|---|---|---|
| **Economic vision comes from:** | Residents seeking improvement | Investors seeking profit |
| **Perspective:** | Long-term, sustainable, and fair to citizens | Short-term profit |
| **Focus:** | The development process | Products and results |
| **Overall goal:** | Development of people and communities and economic growth | Economic growth in general |
| **Objectives:** | • Create jobs and benefits for residents<br><br>• Improve income distribution<br><br>• Produce goods and services for residents<br><br>• Invest community resources in self-sustaining activities<br><br>• Revitalize depressed local communities | • Short-term profits (jobs and benefits are byproducts of seeking profits)<br><br>• Produce economic activity<br><br>• Invest community resources in whatever is most profitable<br><br>• Promote growth in a cost-effective manner |
| **Resources:** | Starts with local people and material resources | Seeks least costly human and material resources |
| **Expertise:** | Supplements local experience and talents with outsiders | Supplements outside expertise with local people's experience and talents |

Note: *Community economic development* (CED) and *municipal development* (MD) have much in common. The distinguishing characteristic is who assumes leadership. In CED, citizen groups take responsibility for initiating economic development and partner with businesses and local government to achieve economic development. In MD projects, the local government is the most active player, and it seeks to enlist the assistance of businesses and citizens groups to develop the local economy and improve residents' quality of life.

A slightly expanded version of MD, local economic development (LED), includes regional governments or associations of regional municipal governments. The LED approach is similar to the MD approach; the primary leadership comes from regional governments or associations of regional governments.

When PCVs and other development workers assist an MD project, they focus on strengthening the municipal government through such activities as improving the skills of municipal employees and the ability of elected officials to analyze problems, identify resources, make decisions, and provide leadership. When PCVs and other development workers facilitate CED projects, they focus on building the capacity of citizen groups to analyze problems, identify resources, make decisions, and provide leadership.

MD and CED use many of the same strategies to achieve their goals: create business  and provide business development services, improve infrastructure, train the workforce, improve education, develop public–private partnerships, and promote a spirit of cooperation.

The CED approach is based on the assumption that development starts at the grass-roots level and the initiative, creativity, and energies of the people can be used to improve their own lives. It implies that through consciousness-raising, people at the grass-roots level can realize their own potentials. In an *ideal* situation, the members of the community organize themselves in a voluntary democratic manner to:

- Define their problems, assets, and aspirations;

- Develop plans and strategies; and

- Implement plans with maximum community participation to reap the benefits.

## CED ACTIVITIES

The uniqueness of CED is its equally important  goals of initiating economic growth and building community capacity. To better understand the core CED activities, we have divided them into those that primarily impact economic growth and those that primarily impact community capacity.

**CORE ECONOMIC GROWTH ACTIVITIES**

**Increasing business activity:** Because business is the engine of growth of a neighborhood, a town, or a city, CED efforts are directed toward:

- Creating new businesses,

- Renovating and expanding existing businesses,

- Attracting new businesses, and

- Assuring an adequate supply of local skilled workers.

Micro and small businesses generate income and create jobs. CED groups support the start-up and growth of informal and small businesses through:

- Provision of low cost nonfinancial services: information dissemination, technical assistance, management training, creation of networks among businesses, and access to markets.

- Facilitating the availability of financial services (credit and savings) through the attraction and/or creation of credit unions, village banks, or other types of microfinance institutions.

- Engaging as partners in major projects to organize business centers, business incubators, cooperatives, or business parks that benefit microenterprises and small businesses.

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### AN NGO'S PARTICIPATION IN CED

To combat the unemployment and poverty that plague Boston's Roxbury community, Nuestra Comunidad (Spanish for Our Community) Development Corporation launched a microenterprise initiative named Village Pushcarts in 1998. It purchased 10 pushcarts and rented them to residents.

Pushcarts are one of the oldest, most successful forms of urban enterprise. They represent a CED strategy because they offer a unique competitive advantage: low-income entrepreneurs can start a business with limited capital, and brightly decorated pushcarts contribute to the commercial vibrancy and festive look of a community.

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**Influencing national and international policies:** One of the most important lessons that communities embarking on CED activities learn is what they can and cannot do. Although CED activities must be tailored to local comparative advantage, the activities still occur within both a wider national and international context—contexts that profoundly influence the effectiveness of CED efforts.

The national government influences CED projects by making fiscal and economic policies that structure the economy, as well as by setting the nation's

financial, legal, and physical infrastructure. National governments create the economic and political environment in which local economic development can take place and structure how the community accesses the national and global marketplace. Put simply, national governments set the tax, regulatory, and legal structure that shapes the overall national business climate, which helps or hinders business growth.

High taxes and regulations place heavy burdens on businesses, especially small businesses. Taxes compete directly with money that a business would use to reinvest in the firm. Reinvestment creates jobs and expands the tax base through increased production and increased revenues.

Although national policy impacts local economics, citizens groups and local governments may mitigate negative effects of national policy by acting as a:

- **Catalyst:** Working to strengthen local governments by encouraging decentralized systems and national economic reforms.

- **Team player:** Understanding national economic policies and working with national officials to implement effective economic projects.

- **Information and service provider:** Providing services that help businesses navigate through the national tax and regulatory systems.

**Improving infrastructure:** Another factor to consider before embarking on a CED plan is the impact of infrastructure on the community's economy. Local economic development is held back by inadequate infrastructure. Infrastructure is the foundation of a good business climate because it facilitates trade. The main components of infrastructure are:

- A reliable transportation system means that companies can transport their products and receive materials. A good transportation system facilitates the movement of the labor force, allowing employees to get to work efficiently, thereby losing less work or production time.

- Reliable and reasonably priced utilities are important to businesses and to citizens' quality of life.

- Telecommunication is a fundamental factor in the elimination of time, distance, and geography as barriers to market competitiveness and access to information.

- Land management activities such as zoning, redeveloping blighted property, preserving historic landmarks, and offering land as a business incentive are approaches that have been used in CED.

- Municipal services affect the quality of residents' lives. Municipal services include fire, police, health department and emergency services, and garbage collection; they often serve as incentives for the creation, expansion, and attraction of business. These services create local jobs, and without these municipal services local economic development will not reach its potential.

When CED efforts are successful, business activity increases, the tax base increases, and government can provide better services without relying on tax increases.

The biggest obstacle to revitalizing infrastructure is the cost. Because infrastructure is a public good, investment in infrastructure remains, to a great degree, a public sector responsibility. However, CED players can make a difference by looking for creative ways for a community to improve its infrastructure and by facilitating partnerships between the government, business, and third sector (citizen groups or NGOs) to address infrastructure issues.

**Sustaining development:** Sustainable development is defined as development that meets present needs without reducing the ability of future generations to meet their needs. Sustainable development provides a framework under which communities can use natural resources efficiently, create efficient infrastructures, protect and enhance quality of life, and create new businesses to strengthen the economy. Sustainable forms of development are oriented toward redevelopment, reuse, and recycling.

## CORE COMMUNITY CAPACITY-BUILDING ACTIVITIES

Stabilizing distressed communities requires more than creating new business activity and decent housing. Part of what makes CED unique is the comprehensive economic development strategy that combines physical development activities with an array of capacity-building activities. Capacity-building activities build the ability of individuals and organizations to work together to take control of their economic future. Communities that have built capacity can turn their ideas into action.

**Expanding, diverse, inclusive citizen participation:** Where capacity is being built, an ever-increasing number of people are included and participate in all types of community activities and decisions.

**Enlarging the leadership base:** Community leaders that bring new people into decision-making are building community capacity. Also, providing opportunities to acquire skills and to learn and practice leadership is an important part of developing the community leadership base.

**Strengthening individual skills:** A community that uses a variety of resources to create opportunities for individuals' skill development is building community capacity in an important way. As individuals develop new skills and expertise, the capacity of both the individual and the community is increased.

**Creating a strategic community agenda:** Creating a vision of the best future is one step in bringing a community together. When individuals and organizations consider future changes and plan together, the result is a strategic community agenda. Setting a community-wide agenda is one way to understand and manage change.

**Increasing the effectiveness of community organizations and institutions:** All types of civic organizations and traditional institutions—such as churches, schools, and newspapers—are the mainstays of community capacity building. When organizations and institutions are run well and efficiently, the community will be stronger.

**Using resources efficiently:** Ideally, the community should select and use resources in the same way a smart consumer makes a purchase. Communities have to balance the use of resources today with the resource needs of future generations. A community faces many choices in allocating recourses. Which activities or projects will make the best use of scarce resources? Should the community seek external resources or rely on locally available resources? In most communities, human capital is the most readily available resource. People are a community's most valuable resource!

The degree to which each community successfully promotes economic development depends on the community's capacity to:

- Understand the local economy,

- Identify key goals,

- Design doable activities and projects to achieve the goals, and

- Provide leadership in mobilizing the people/resources of the local economy.

❋ ❋ ❋ ❋ ❋ ❋ ❋ ❋ ❋

## A LEARNING MOMENT

Reread the Volunteer story near the beginning of this module. What were the simple things the community of Kubease did to bring additional income to the community? To improve the infrastructure? To improve the residents' quality of life?

❋ ❋ ❋ ❋ ❋ ❋ ❋ ❋ ❋

Now it is time to apply what you have just learned about CED and its core activities by analyzing a local community's economic condition. SWOT (strength, weaknesses, opportunities, and threat) analysis is a useful method to collect and organize information. You may have used this technique before to analyze a private business.

ACTIVITY 1:2

COMMUNITY ECONOMICS SWOT ANALYSIS

Residents tend to focus on problems internal to their neighborhood or community when analyzing a situation. They often overlook the community's assets or fail to consider the external environment in which the community functions.

SWOT analysis (strengths, weaknesses, opportunities, and threats) helps residents take a more balanced look at their community. SWOT analysis forces residents to identify both strengths and weaknesses internal to the community and to look at opportunities and threats in the surrounding economic environment as well.

Practice using SWOT analysis in small groups. If possible, ask some local residents and/or Volunteers who have been in the country for several months to participate. Choose a local community with which you are familiar, such as your training community. Use the form at the end of this activity to complete a SWOT analysis.

1. List the strengths, which are located within the community and enhance its economic potential of the community. Examples: a stable local government is stable, workers are skilled, town is on a well-maintained highway.

2. List the weaknesses, which are also located within the community but hinder its economic potential. Examples: Electricity goes off and on several times a day, most unemployed workers are unskilled, secondary school does not exist in the community.

3. List the threats and opportunities. These are outside the community.

Review the Core Economic Growth Activities and the Core Community Capacity-Building Activities in this module to determine if there are other ideas that should be included in your SWOT analysis.

After completing the SWOT Analysis:

• Look at each strength and determine at least one action to capitalize on the strength.

• Look at each weakness and determine one action that could help eliminate the weakness.

<div align="right">Continued</div>

- Look at each opportunity and determine at least one action for the community to take advantage of the opportunity.

- Look at each threat and determine at least one action to prepare the community to deal with the threat.

SWOT analysis can be the first information-gathering step in designing a CED plan for a community.

Who would you involve in conducting a community SWOT analysis?

Activity 1:2, continued

## SWOT ANALYSIS

**INTERNAL**

Strengths:                                    Weaknesses:

**EXTERNAL**

Opportunities:                                Threats:

> *There are risks and costs to a program of action.*
> *But they are far less than the long-range risks*
> *and costs of comfortable inaction.*
>
> — John F. Kennedy

In your travels through the first CED module you encountered a mini lesson in the history of development and were introduced to the philosophy of CED and its core issues. You also practiced using SWOT analysis to analyze the economics of a local community.

Before you put this module away, take a minute to look through the suggested ICE and Internet references in the Resources section at the end of the module. If you see something that interests you, ask your trainers if a copy is available or how you can obtain one. The Internet contains almost unlimited information on a variety of topics including development and CED. Unfortunately, Internet access is not yet available at all Peace Corps training sites. Check with your trainers to determine if this resource is available.

As a final task, review the skills, knowledge, and attitude objectives at the beginning of the module. Test yourself. You are responsible for your own learning! Have you mastered the skills, knowledge, and attitude objectives? If so, Congratulations!

If there are items you are unsure of or want to know more about:

- Reread the material in the module.

- Investigate the materials in the Resources section.

- Discuss the material in this module with other trainees; share ideas and experiences. Volunteers come to the Peace Corps with various backgrounds and skills. You can learn a lot from your fellow trainees.

- Talk to your trainers. They are one of your resources as you prepare for your Peace Corps assignment.

\* \* \* \* \* \* \* \* \*

## KEY TERMS

Key terms are defined as they are used in this module. A  space  is provided to write the translation of a word or phrase into the local language. Building a local language vocabulary of terms related to CED prepares you to function effectively in this area of development. Work with your language instructors to find the appropriate translation and definitions in the local language and build your technical vocabulary as you study this module.

**Capacity** is the ability to put an idea into action.

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**Community** is a group of people having interests, work, ownership, or participation in common.

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**Community-based organizations (CBOs)** are those whose mission is primarily focused to meet a specific social or human-service need within a given community. The need may be of national concern as well and, in fact, the CBO may be part of a national association. The difference is that the small organization within a community is focusing on a particular problem within the demographic context of its immediate environment.

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**Community economic development** is a process by which communities enhance the quality of life of their residents by creating new community and business wealth.

---

**Development** is the process of making positive changes. When the number of life choices increases, development has occurred.

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**Empowerment** happens when people have the power to make their own choices. To become empowered people need to acquire the capacity to put their ideas into action and have the freedom to do so.

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**Goals** are broad statements of the desired changes that are expected to occur as the result of planned actions.

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**Microenterprise** is commonly considered a business with fewer than 10 workers, including the owner (some definitions say five or fewer workers including the owner). Most microenterprises support only one family.

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**Nongovernmental organization (NGO)** is the most common name used internationally for an organization formed to help others that is not governmental or a for-profit business.

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**Small business** is commonly considered to have fewer than 50 employees.

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\* \* \* \* \* \* \* \* \*

## RESOURCES

These resources are available through the Peace Corps Information Collection and Exchange (ICE). The citations are presented as they appear in ***The Whole ICE Catalog.***

> *Building Communities From the Inside Out: A Path Toward Finding and Mobilizing a Community's Assets.* John P. Kretzmann and John L. McKnight. (ACTA Publications.) 1993. 376 pp. (ICE No. CD051)
>
> Guide to asset-based community development, summarizing lessons learned by studying successful community-building initiatives in hundreds of U.S. neighborhoods. Outlines what local communities can do to start their own asset-based development, including how to rediscover local assets; how to combine and mobilize strengths; and how "outsiders" in the government can effectively contribute to the process of asset-based development.
>
> *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey.* Michael Winer and Karen Ray. (Wilder Foundation.) 1996. 179 pp. (ICE No. CD053)
>
> Gives expert advice on how to establish and operate a successful collaboration, including how to find and attract the right people, build trust, and change conflict into cooperation. Handbook includes numerous worksheets, sidebars, and tips for a successful collaboration.

*The Cutting Edge: Small Business and Progress*. Ernst A. Brugger, Jane Nelson, and Lloyd Timberlake. (McGraw Hill Interamericana in Chile.) 1994. 170 pp. (ICE No. SB190)

[Distribution to Peace Corps In-Country Resource Centers Only]

Explores the potential of small business to become the "cutting edge" of economic progress and development in Latin America. Straightforward description of the realities of small business and how the system can work against owners of small enterprises. Positive and optimistic look at the opportunities that small businesses can provide. Text includes excellent photographs and is bilingual (English and Spanish).

*Roles of the Volunteer in Development: Toolkits for Capacity Building*. (Peace Corps ICE.) 2002. 225 pp. (ICE No. T0005)

This unique publication is a series of toolkits that can be separated into seven booklets. The introductory booklet provides an overview of the Peace Corps' philosophy of development, introduces the capacity-building roles a Volunteer might play, and then provides guidance for Volunteers in identifying what roles they will play. The other six booklets each address one of the roles: Learner, Co-Trainer, Co-Facilitator, Mentor, Change Agent, and Co-Planner. In each booklet, there is a chart delineating the knowledge, skills, and attitudes needed for the role; background readings on the role; and activities to learn more about and gain skills in carrying out the role. The booklets can be used as self-study, or used in conjunction with training sessions.

**Internet:**

www.undp.org — United Nations Development Program

www.pactpub.com/PMEpdf.html — Participating Agencies Collaborating Together

www.aed.org — Academy for Educational Development

www.idealist.org — great information and links

www.sid.org — Society for International Development

www.devdir.org — The Directory of Development Organizations

A guide to microfinance institutions, small enterprise development organizations, NGOs/PDOs, development agencies, international organizations, private-sector institutions, banks, government ministries, universities, and development consulting firms.

Many of these sites have links to other sites that will be helpful to your work.

\* \* \* \* \* \* \* \* \*

ACTIVITY 1:1 Reference

SAMPLE ANSWERS

Two conclusions can be drawn from the situations described.

1.  Bringing new money into a community increases community income;

2.  Circulating money within a community from one business to another increases community income.

CED strategies include (1) identifying citizens' needs to purchase goods and services and attracting businesses to the community to meet these needs, and (2) encouraging citizens to "buy locally" to keep money circulating in the community.

In a healthy local economy, money circulates and recirculates. The benefits produced by these funds are retained within the community, making local people better off and economic growth possible. CED groups use both strategies to increase the income of community residents.

TRAINER'S NOTES

MODULE 1
UNDERSTANDING COMMUNITY ECONOMIC
DEVELOPMENT (CED)

**Overview:**

Training participants acquire an understanding of community economic development (CED) through readings and experiential activities. In the last part of the module, the Peace Corps Volunteer's preferred role in CED as a catalyst/ facilitator in development is explained.

**Time:**

Reading                              1 hour
Activities and debriefing   3 hours

**Materials:**

Flip chart paper, pens, markers, colored construction paper, scissors, colored pencils, large poster paper, note paper. Peace Corps Information Collection and Exchange (ICE) materials listed in the Resources section at the end of the module.

**Preparation:**

You are encouraged to adapt these materials to fit your local community economic conditions and training situation. Your experience as a trainer with first-hand knowledge of the training plan, the post's projects, and the country is critical in adapting these CED training modules.

As you prepare a training schedule for this first CED module, "Understanding Community Economic Development (CED)":

• Create situations where training participants can work with the community and listen to the community's wants and aspirations.

• Look for ways to integrate language, cross-cultural, health, and safety training with technical training. For example, host families are resources for technical training as well as language learning and cross-cultural understanding.

TRAINER'S NOTES

ACTIVITY 1:1
HOW INCREASING BUSINESS ACTIVITY
MULTIPLIES COMMUNITY INCOME

**Overview:**

This activity illustrates for training participants how community income is increased when new funds are brought into the community and recirculated.

**Time:** 30 minutes

**Materials:**

Photocopies of play local money.

Note: Do not use photocopies of actual currency. This is illegal in many countries. Make your own play local money if none exists.

**Preparation:**

This activity will be more effective if you use the local currency, the name of a local community, and actual residents for Mr. X, the seamstress, and the furniture maker. Photocopy play local money to use in the role-play.

**Debriefing the experience and processing the learnings:**

Discuss ways that local communities can attract new money and recirculate funds. How can PCVs work with community groups to facilitate these strategies? Concentrate on simple, doable suggestions. To help participants screen their own ideas, ask the following questions.

- Is the activity one that community residents would want to do?

- Will residents be able to see the results of the activity?

- Is the activity financially doable?

- Can the activity be accomplished in a relatively short time?

- Which residents will the activity benefit?

TRAINER'S NOTES

ACTIVITY 1:2
COMMUNITY SWOT ANALYSIS

**Overview:**

This activity introduces a useful tool and provides participants an opportunity to practice its application using a local CED example.

**Materials:**

Flip charts and markers if participants want to share their SWOT analysis with the larger group.

**Procedure:**

- Have participants work in groups of two or three. If possible, ask some local residents and/or Volunteers who have been in the country for several months to participate.

- Choose a local community with which participants are familiar. It may be your training community.

- Use the SWOT analysis form provided or draw the form on flip charts.

- List the community's strengths, which are located within the community and enhance its economic potential. Examples: Local government is stable, workers are skilled, town is on a well-maintained highway.

- List the weaknesses, which are also located within the community but hinder its economic potential. Examples: Electricity goes off and on several times a day, most unemployed workers are unskilled, secondary school does not exist in the community.

- List the opportunities and threats. These are outside the community.

- Ask participants to review the Core Economic Growth Activities and the Core Community Capacity-Building Activities in the module to determine if there are other ideas that should be included in the SWOT analysis.

Continued

Trainer's Notes, Activity 1:2, continued

**Debriefing the experience and processing the learnings:**

After participants have completed the SWOT analysis:

- Look at each strength and determine at least one action to capitalize on the strength.

- Look at each weakness and determine one action that could help eliminate the weakness.

- Look at each opportunity and determine at least one action for the community to take advantage of the opportunity.

- Look at each threat and determine at least one action to prepare the community to deal with the threat.

Discuss the use of SWOT analysis as a first information-gathering step in designing a CED plan for a community. (This idea will be expanded on in later CED modules.)

Ask participants, "Who would you want to involve in a community SWOT analysis?" Encourage them to be inclusive and not just involve community leaders.

A CED Training Guide for Peace Corps Volunteers

# Module 2

# Citizen Participation in CED
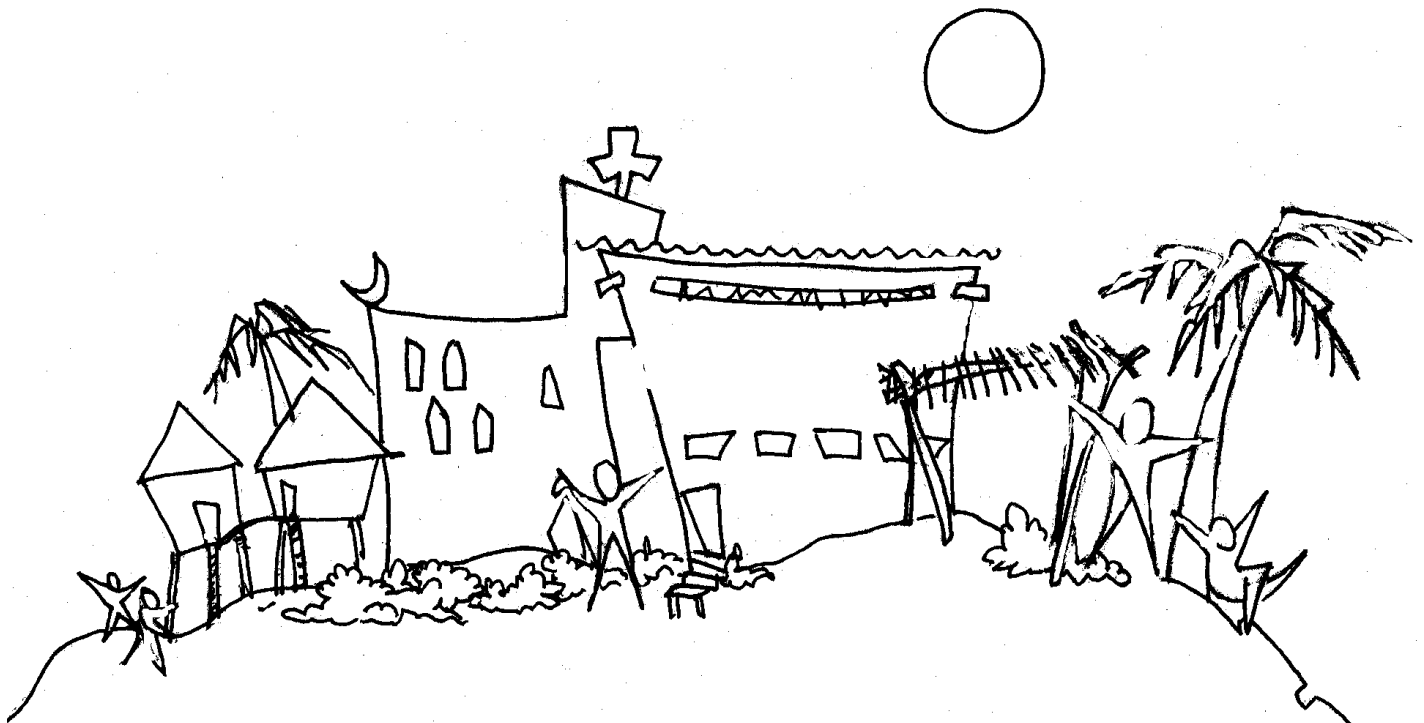
MODULE 2
# CITIZEN PARTICIPATION IN CED


## A VOLUNTEER'S STORY


### Coordinating the Public, Private, and Community Sectors

*A business Volunteer in Slovakia is assigned to the SOTDUM voluntary association and microregion. The association, comprised of eight villages and the city of Topolcany, was brought into being in 1996 with the assistance of the Slovak Ministry of Agriculture in a program intended to revitalize rural villages. The microregion's villages stretch along the valley below the Povazskym mountain range and enjoy a clean and beautiful natural environment.*

*The association's goals are (1) to support and encourage strong civic life and local democracy; (2) to pursue development in the context of the microregion's specific economic, cultural, historical, and social contexts; (3) to develop and diversify the microregion economically; and (4) to pursue sustainable and environmentally sound development. SOTDUM does this concretely by focusing on three areas: small business development, the development of rural tourism, and cultural and historical preservation and education. Current projects include the development of a bicycle route connecting much of the microregion, preservation of the Topolcany castle ruin, and a project where grandparents go to schools to share the history of the region. SOTDUM, in conjunction with the city of Topolcany, is developing a tourist information center that will also serve local residents with Internet access and business information services.*

*From time to time SOTDUM sponsors public events, such as a trade show, showcasing local businesses and their products as well as those of local craftsmen; an "unconventional boat" competition; and a national history and geography bee for sixth graders.*

*The participants in this extended CED program assessed their communities, determined their goals, decided which projects were important, developed action plans, and are now in the process of implementing the projects.*

*When the Volunteer arrived at her site the association was in operation. A significant part of the Volunteer's job is coordinating*

*the efforts of groups in all three sectors of society in the various villages and sharing project information between groups. Her latest activity involves the publication of a project newsletter to disseminate information on SOTDUM projects to all stakeholders.*

* * * * * * * * *

Citizen participation is a critical factor in successful community economic development (CED). The materials and experiential activities in this module draw your attention to the importance of individual and group participation in CED. A number of specific techniques are described that can increase and maintain citizens' participation. Seven commandments are included to help define the role of Peace Corps Volunteers (PCVs) in promoting participation. After completing this module, you will have the knowledge, skills, and attitudes to:

- Explain the benefits and provide examples of how citizens can become involved in the CED process.

- Describe actions a Volunteer could take to move community residents to a higher lever of participation.

- Identify five activities a community might undertake to improve the quality of life of their residents by creating new community wealth.

- Give examples of how each of the three sectors of society, government (public), business (private), and community (civil society) can participate in CED.

## INTRODUCTION TO PARTICIPATION

Participatory planning, participatory monitoring and evaluation, and participatory analysis are the development methods being promoted in the 21$^{st}$ century. There are good reasons for this emphasis on participation. Participation by project stakeholders, including beneficiaries, increases the odds that the project will meet local needs, will be culturally acceptable, will be able to mobilize adequate resources, and will be long-lived.

To achieve CED goals of improving the community's economic situation and building community capacity requires the participation of individual residents, organizations, and institutions. The experience of the Peace Corps and other development groups suggests that there is a significant correlation between the level and intensity of people's engagement in a project and the impact of the development activity.

The CED journey is a group tour. Are you prepared to be a tour guide? As you navigate through your two years of Peace Corps service, your participation in CED will stay on course if you obey these seven commandments.

- Do not do things for people.
    Do help them do it themselves and learn.

- Do not assume people should do things the way we do them in the U.S. What works for us may not work for them.

    Do respect local values, traditions, and ingenuity. Treat them as building blocks, not impediments.

- Do not try to push people beyond a pace and scale that exceeds their technical and managerial capability.

    Do establish realistic expectations about the type and amount of progress that can be achieved within a given time frame.

- Do not establish a relationship based on your being more knowledgeable or otherwise superior.

    Do establish a relationship based on a partnership approach in which you learn from each other.

- Do not introduce technology that the people cannot operate, maintain, repair, and replace using their own financial resources.

    Do emphasize use of locally available resources, materials, and supplies when possible.

- Do not base your ego fulfillment on how much material and economic progress you personally promote and get credit for.

    Do base your ego fulfillment on the progress people make in improving their productive capability and other social gains.

- Do not assume a leadership style based on an authoritative, forceful approach.

    Do assume a leadership style that promotes the concept that when the task is done the people say, "We did it ourselves."

(Adapted from Naomi Till, Peace Corps/Nicaragua)

The following activity shows how your approach to participation can affect an individual's creativity and level of involvement.

ACTIVITY 2:1

CONNECT THE LINES OR COMPLETE THE PICTURES

Translate the instructions "connect the lines" and "complete the picture" into the local language. Make enough photocopies of the page with line drawings for each member of your host family, others you would like to have participate in this exercise, and yourself.

Cut the sheets in half. Give participants, including yourself, the top half of the page and ask them to connect the lines. When they have finished, give them the bottom half, and ask them to complete the pictures. Share both drawings with others in the group.

Discuss how each participant felt connecting the lines and completing the pictures.

• Which task did people enjoy more?

• Which of the two tasks were participants more excited about? Why?

• Which of the two instructions led to creative involvement from participants?

**Learnings:**

What did you learn from this exercise? Typical conclusions from this exercise:

**Connect the lines** requests a limited amount of participation and that is what you usually get. People commonly look for the line that is missing and fill it in.

**Complete the picture** encourages individuals to visualize what might be, what can be created starting with a few simple lines. This instruction is more empowering.

Note how merely changing the instructions affected the results.

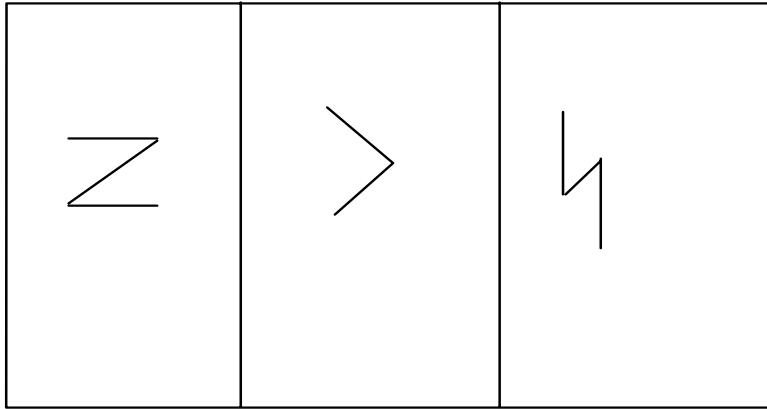What generalizations can be made about how participants are asked to become involved in an activity?

How can you apply what you have learned when requesting citizens' participation in CED activities and projects?
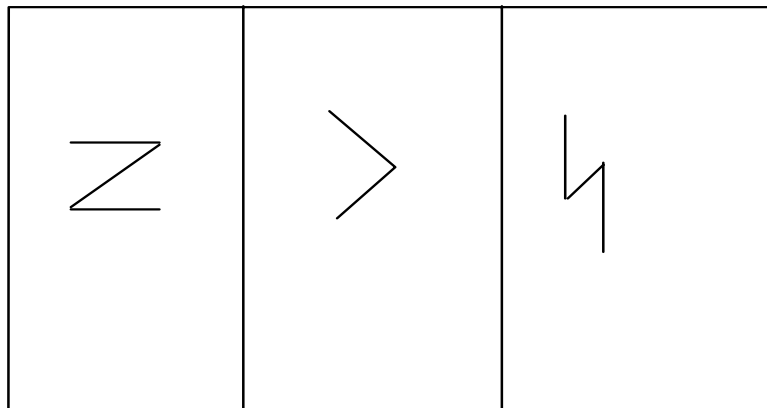
**CONNECT THE LINES**

Translation:

**COMPLETE THE PICTURES**

Translation:

## CITIZEN PARTICIPATION

CED success depends on active group participation. Organizing a CED activity on your own is not impossible—just very difficult. As individuals, we can make a difference, yet when we gather many individuals together, the results are greater than the simple sum of individual accomplishments:

$$(1 + 1 + 1 + 1 > 4)$$

Synergy is the term used to describe the power of a group. CED by its very nature includes many players, and at the core are community members working together for the betterment of the whole.

A critical element of CED is people's participation. It has emerged over the years as one of the key ingredients in development. Evidence indicates that long-term economic and sustainable environmental success comes about when people's ideas and knowledge are valued and power is given to them to make decisions.

This is the context in which development professionals are shifting focus from a macro model to a micro model, from working with large international organizations and governments to working with indigenous community-based organizations (CBOs) and nongovernmental organizations (NGOs). The shift is away from doing for others, telling others, and establishing projects and programs for other people to a participatory approach that builds human capacity.

The participatory approach evolved over the past decade as a means to help people take greater control of their lives and their environment by developing skills in identifying assets, problem solving, and resource management.

» SCALE OF INCREASIG PARTICIPATION »

**HIGHEST LEVEL OF PARTICIPATION**

**Self-Mobilization**
People participate by taking initiatives to change systems independent of external institutions.

**Interactive Participation**
People participate in joint analysis, which leads to action plans and the formation of new local institutions or the strengthening of existing ones.

**Functional Participation**
People participate by forming groups to meet predetermined objectives related to the project.

**Participation by Consultation**
People participate by providing resources, for example, labor in return for food, cash, or other material incentives.

**Participation in Information Giving**
People participate by providing information to outsiders by responding to questions filling out questionnaires and surveys, or similar approaches.

**Passive Participation**
People participate by being told what is going to happen or has already happened.

**LOWEST LEVEL OF PARTICIPATION**

The term participation has different meanings for different people. One core activity in CED is to move citizens to higher levels of participation. To learn about people's current participation comfort level, conduct the following activity.

ACTIVITY 2:2

LEVEL OF PARTICIPATION

Use this activity at your training site to gauge residents' level of participation. Practice the activity with your fellow training participants, instructors, and/or host family members.

**Procedure:**

- Explain that the activity helps the group understand how each member feels about community participation.

- Provide paper and drawing materials. Ask individuals to draw a picture illustrating their understanding of community participation. Allow them about 10 minutes to draw. Explain that if they feel they can't draw, they can use stick figures.

- Ask individuals to share their drawings and describe how they see community members participating. Can you identify which level of participation, based on the discussion above, individuals are expressing in their pictures?

- Consider combining the drawings into a group mural. Be creative; make the mural a work of art. Display it in a common area as a reminder of the value of participation.

- In debriefing the activity, engage the group in a discussion of what needs to happen to move them to a higher level of participation. Explore cultural norms that may affect the participation of certain community members. Use these insights into participation in planning and implementing CED activities and projects.

## TECHNIQUES FOR INCREASING PARTICIPATION

Why do people participate in CED? People join in community efforts for various reasons and to receive different kinds of benefits. Some participate because of issues that interest them. Others participate for personal or social reasons. And others participate for a combination of all three reasons. The leadership style and the "climate" of an organization also influence to what degree people participate.

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## A LEARNING MOMENT

What motivates you to participate? When you became involved in an organization or group, what motivated you—its cause, the opportunity to associate with people you enjoy, a chance to contribute, personal benefit, or other? Why did you decide to participate in the Peace Corps? Analyzing your motivation for participation is a first step in understanding what motivates others to participate.

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Do not expect everyone to always participate. The important thing is to leave "the door wide open" for participation by asking for ideas and input. An organization should not be a "one woman or man show." Recognizing and addressing people's concerns—family problems, busy schedules, and financial worries goes a long way toward maintaining healthy participation.

Many people first join in a CED effort because they are concerned about a particular community issue, such as youth's access to drugs, unemployment, or lack of municipal services. If the CED group is not addressing that particular issue or is not addressing it actively, these people are likely to stop participating. Also, when meetings are scheduled, the place, and the frequency may be factors in low participation.

**Set realistic expectations.** This cuts down on frustration and discouragement because of low participation.

1. People should be comfortable with the idea that everyone does not need to participate in the same way and assured that their contributions are valuable.

2. You may not need large turnouts at every meeting. Set goals for attendance and participation based on the work that needs to get done.

3. Establish a membership committee whose job it is to develop plans for recruiting new members.

4. Be realistic about what people can do, given the other responsibilities in their lives. Respect all contributions, no matter how small.

**Survey participants** periodically to make sure the CED group is really representing people's concerns and "the door is wide open" for participation.

1. Conduct a survey to learn (1) which issues are the highest priority, (2) the best location, day, and time for meetings, (3) how individuals would like to participate, and (4) what skills and talents they are interested in contributing.

2. The survey should be put together by representatives of the group and distributed door-to-door.

3. Publicize the results of the survey. People need to know their voices have been heard.

4. Conduct a survey periodically, say once a year, because communities change.

**Hold effective meetings** to keep people involved. The opposite will cause people to drop out.

1. Every effort should be made to have meetings start and end on time—on time has different meanings in different cultures.

2. Agendas should be prepared and distributed in advance. Agendas send a clear message—something will happen as an outcome of the meeting. Get Have everyone agree on the agenda at the beginning of the meeting.

3. Be clear about who should be at the meeting. Bored people do not stay involved.

4. Do not hold unnecessary meetings.

What follows is an example of an agenda designed to assure participants "Something will happen as a result of this meeting and your time will not be wasted." Use it for ideas when you need to draft an agenda.

## AGENDA

Group/Meeting Name _____

Date _____          Time: from _____ to _____

Location: _____

Meeting Leader: _____

Purpose: _____

_____

Desired Outcomes: _____

_____

**Action Plan to Achieve Desired Outcomes:**

| **What** will be done? | **How** will it be done? | **Who** will do it? | By **what time**? |
|---|---|---|---|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
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**Organize visible activities** to promote the work and progress of a CED group.

1. Publicize the group's activities and achievements, from the biggest to the smallest, in the media and/or in a newsletter.

2. Examples of concrete and visible CED activities include festivals, street clean-ups, and historical markers.

**Schedule social time and social activities.** Socialization creates a greater sense of involvement and is, in fact, a key reason why people join and participate in community groups. All work and no play makes for a dull group.

1. Schedule social time at some point in meetings—most groups do it at the beginning or the end of the meeting.

2. Form a social committee to plan not only social time at meetings, but also parties and other special events. These events might incorporate fundraising for the organization.

**Share resources and information** with participants. This is a concrete way in which an organization can benefit its members.

1. Publish lists in your newsletter of important phone numbers, organizations, and events that will be of interest to people and/or distribute these lists at meetings.

2. Invite people from different agencies and organizations to meetings to speak on topics of interest.

**Develop new leaders.** This avoids burnout of present leaders and encourages people to become more involved.

1. Use a "buddy system" where current leaders work closely with new or potential leaders to pass on skills, knowledge, contacts, and commitment to CED projects.

2. Find out about training workshops that would be helpful to new leaders and urge them to attend, or develop your own leadership training. Note: The Program, Design, and Management (PDM) workshops given by the Peace Corps are excellent for leadership training.

3. When giving out work to new leaders, assign one task at a time, evaluate at the completion of each task, make suggestions and criticisms in private, and praise an individual's effort in public.

**Show appreciation** for work well done. This encourages people to continue to work with the group.

1. Devote a column in your newsletter to publicizing people's efforts.

2. Give out certificates or awards at meetings and/or fundraising events.

3. Praise people in private as well as in public situations.

**Delegate "real" work to people.**

1. Break a job down into specific tasks; don't give general assignments, and follow up after a task is assigned.

2. Let people perform a task their own way, even if it is not how you would do it. Allow for mistakes—that is part of the learning.

3. Do not set people up to fail. Make sure they have the ability and resources to do the job.

4. Remember your role as a PCV—guide, but do not interfere.

**Be open to criticism**. When people are invited to participate, they need to feel that they can criticize their organization and its leaders without being attacked.

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*"Never doubt that a small group of thoughtful, committed citizens can change the world; indeed, it's the only thing that ever has."*

— Margaret Mead

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## THE THREE SECTORS' PARTICIPATION IN CED

Participation of public (government), private (business), and civil society (third sector) organizations is essential to the success of CED efforts. Broad-based organizational participation provides the community with a wide range of resources and knowledge. It depoliticizes CED projects, thus allowing for their long-term sustainability. The increase in resources and sustainability bolsters the confidence of potential investors, thereby increasing the attractiveness of the community to businesses.

The **public sector** consists of publicly (tax) supported governmental units. This sector includes:

- Municipal governments;

- Local representatives of national governments (i.e., agricultural extension offices or public health clinics); and

- Schools and universities operated by the government.

The **private sector** consists of for-profit businesses and their representatives. It includes:

- Individual commercial businesses (ranging from one person vendors to large corporations);

- Banks;

- Chambers of commerce and other business support organizations.

The **civil society** (third sector) includes all those parties not in the public or private sector. It includes:

• Individuals;

• Churches;

• Community-based organizations (CBOs);

• Nongovernmental organizations (NGOs); and

• Schools and universities not operated by the government.

ACTIVITY 2:3

ANALYZING AN ORGANIZATION'S LEVEL OF PARTICIPATION

Work with your Peace Corps trainers to arrange a meeting with representatives of a local community organization to learn about the nature of their organization and about how they involve stakeholders.

Prepare in advance a set of questions you are interested in discussing. Ask your language teachers for help in translating these questions. Keep the questions appreciative and open-ended. Organizational representatives are likely to be better prepared and more comfortable with a set of discussion questions. Explain to the representatives that you have been reading about and discussing the benefits of participation and would like to learn from them how they encourage participation in their organization.

Possible questions:

• Who participates in your organization?

• How do they participate?

• What has your organization done in the past to encourage individual participation? What worked and what did not work?

• Are you satisfied with the level of individual participation? If not, what actions are being taken to increase participation?

• What factors do you feel limit people's participation in your organization?

• Are there organizations from other sectors of society that participate in projects and activities that your organization sponsors? If so, what is the nature of this participation?

Look at the section on "Techniques for Increasing Participation" to get ideas for other questions.

At the start of the interview, provide an opportunity for the representatives to tell you about their organization in general. People enjoy talking about their organizations, and this type of information provides a context for your understanding participation issues.

Do not forget to show your appreciation for the representatives' time and effort in some culturally appropriate way!

Activity 2:3, continued

Debriefing the experience and processing the learnings:

Discuss with your fellow trainees and trainers what was learned from the interview. Do you feel the organizational "doors were held wide open" for participation? If no, why not? How do you suspect culture affects participation in the organization? If you were asked by leaders of the organization to propose actions to increase participation, what would you suggest?

Are you convinced of the importance of participation in successful CED activities? Can you imagine how you will apply the 10 participation techniques discussed in the module when you arrive at your Peace Corps site? In the last part of this module, you looked at the role of the three sectors of society—government, private, and civil society—in working together to grow a community's economy and build a community's capacity.

You are responsible for your own learning. Have you mastered the knowledge, skills, and attitude objectives listed at the beginning of this module?

Before you put this module away, take a minute to look through the supplementary references. If one interests you, ask your trainers if a copy is available at the training site or how you can get a copy. The Internet contains almost unlimited information on a variety of topics including CED. Unfortunately, access is not yet available at all Peace Corps training sites. Check with your trainers to determine if Internet access is available.

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## KEY TERMS

Key terms are defined as they are used in this module. A  space  is provided to write the translation of a word or phrase into the local language. Building a local language vocabulary of terms related to CED prepares you to function effectively in this area of development. Work with your language instructors to find the appropriate translation and definitions in the local language and build your technical vocabulary as you study this module.

**Community-based organizations (CBOs)** are local organizations, with a democratic governance structure, which provide members certain benefits because of their association with the organization.

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**Empowerment** enables people to make choices and take responsibility for their own lives.

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**Nongovernmental organization (NGO)** is the most common international name for an organization formed to help others that is not a government organization or a for-profit business.

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**Participation** is to take part in a meeting, activity, event, etc.—to be actively involved.

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**Participatory** is the process by which you engage others to share and encourage others to become actively involved.

**Synergy** is a concept that the whole is greater than the sum of its parts. As it applies to CED, synergy explains why five people working as a group can accomplish more than six people working individually.

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## RESOURCES

These resources are available through the Peace Corps Information Collection and Exchange (ICE). The citations are presented as they appear in *The Whole ICE Catalog.*

*Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. Michael Winer and Karen Ray. (Wilder Foundation.) 1996. 179 pp. (ICE No. CD053)

Gives expert advice on how to establish and operate a successful collaboration, including how to find and attract the right people, build trust, and change conflict into cooperation. Handbook includes numerous worksheets, sidebars, and tips for successful collaboration.

*Tools for Community Participation: A Manual for Training Trainers in Participatory* Techniques. Lyra Srinivasan. (PROWWESS/UNDP.) 1990. 179 pp. (ICE No. WD084)

[Distributed to Peace Corps In-Country Resource Centers Only]

Easy-to-read manual for training trainers in participatory techniques. Although focused on involving women in water and sanitation projects, it is useful for training community workers in general.

*Power, Process and Participation: Tools for Change*. Rachel Slocum and Lori Wichhart, Editors. (IT Publications, Ltd.) 1995. 251 pp. (ICE No. WD123)

[Distributed to Peace Corps In-Country Resource Centers Only]

Provides participatory tools that will give voice to those excluded from decision-making processes and denied control of critical resources. Includes ways of encouraging the less powerful to translate their experiences and interests into action to transform needy regions. Discusses power relationships within a community and between local institutions and outsiders. Pays particular attention to gender issues, as

well as how class, ethnicity, race, caste, religion, age, and status may lead to the "politics of exclusion."

*Children's Participation: From Tokenism to Citizenship*. Roger A. Hart. (UNICEF International Child Development Center.) 1992. 44 pp. (ICE No. YD006)

Presents the case for children's participation in decision-making. The different levels at which children have participated—from simply making an appearance to actually initiating projects and sharing responsibility with adults—are presented as a ladder. Describes the experience of British children who participated in community research and development through the schools. Also presents examples of children in developing countries, street kids and others, taking charge of their lives. Includes a bibliography.

**Internet**

www.pactpub.com/PMEpdf.html — Participating Agencies Collaborating Together

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TRAINER'S NOTES

MODULE 2
CITIZEN PARTICIPATION IN CED

**Overview:**

Training participants are presented with information and take part in experiential exercises that demonstrate the importance of individual and group participation in community economic development (CED). A number of specific techniques are described that can increase and maintain citizens' participation. Seven commandments are included to help Peace Corps Volunteers (PCVs) define their role in promoting participation.

**Time:**

| | |
|---|---|
| Reading | 1 hour |
| Activities and debriefing | 4 hours |

**Materials:**

Flip chart paper, pens markers, colored construction paper, scissors, colored pencils, large poster paper, and note paper. Sheets with line drawings and instructions for Activity 2:1. Materials for training participants and staff listed in the Resources section at the end of the module.

**Preparation:**

CED modules were designed to be modified and adapted to fit the local community economic conditions and training structure. As a trainer with first-hand knowledge of the training plan, post's project, and the country, your input is vital in adapting these CED modules. It would be helpful to read the other modules in this series for a comprehensive understanding and to be better equipped to answer training participants' questions.

Whether you are involved in community-based training (CBT) or center training, create situations where trainees can work with the community and actually listen to the community's wishes and aspirations. Look for ways to integrate language, cross-cultural, and health and safety training with technical training. For example, host families are resources for technical training as well as language learning and cross-cultural understanding.

TRAINER'S NOTES

ACTIVITY 2:1
CONNECT THE LINES OR COMPLETE THE PICTURES

**Overview:**

This simple activity increases training participants' awareness of how the way you ask for participation affects the level and results of that participation.

**Time:** 30 minutes

**Materials:**

One photocopy of line drawings, with instructions translated into the local language, for each participant.

**Procedure:**

• Encourage training participants to conduct this activity with individuals or small groups of host family members or friends.

• Cut the line drawing sheets in half. Give participants the top half of the page and ask them to "connect the lines." When they have finished, give them the bottom half and ask them to "complete the pictures."

• Share both drawings with others in the group.

• Discuss how each participant felt connecting the lines and completing the pictures.

• Which instructions inspired more creativity and involvement?

**Debriefing the experience and processing the learnings:**

• Which task did people enjoy more? Which of the two tasks were participants more excited about? Why?

• What was learned about involving individuals in an activity?

• Note how merely changing the instructions affected the results.

• How can what was learned be applied to involving citizens in CED?

Typical conclusions from this exercise:

> **Connect the lines** requires a limited amount of participation and that is what you usually get. People commonly look for the line that is missing and fill it in.

Continued

Trainer's Notes, Activity 2:1, continued

**Complete the picture** encourages individuals to visualize what might be, what can be created with a few simple lines. This instruction is more empowering.

How can what participants learned from this exercise be applied in requesting citizens' participation in CED activities and projects? Some possible answers:

1. Do not limit people's participation by telling them how to do a task.

2. Allow people freedom to be innovative in their participation.

3. Encourage creative solutions.

4. Have fun!

5. Share your results with others.

TRAINER'S NOTES

ACTIVITY 2:2
LEVEL OF PARTICIPATION

**Overview:**

This activity stimulates thought on the meaning and forms of "community participation" by presenting participants' different views. Making a mural of individuals' drawings serves as a visual reminder of the different views people have of participation.

**Time:** 45 minutes – 1 hour

**Materials:**

Flip chart paper, colored construction paper, scissors, pens, markers, and/or colored pencils.

**Procedure:**

• Explain that the activity helps the group understand how each member feels about community participation.

• Provide paper and drawing materials. Ask individuals to draw a picture illustrating their concept of community participation. Allow them about 10 minutes to draw. Explain that if they can't draw, they can use stick figures or symbols.

• Ask individuals to share their drawings and describe how they see community members participating.

• Combine the drawings into a group mural. Be creative, make the mural a work of art. Display it in a common area as a reminder of the value of participation.

**Debriefing the experience and processing the learnings:**

Engage the group in a discussion of what needs to happen to move them to a higher level of participation. Explore cultural norms that may affect the participation of certain community members. Use these participation insights to plan and implement CED activities and projects.

TRAINER'S NOTES

ACTIVITY 2:3
ANALYZING AN ORGANIZATION'S LEVEL OF
PARTICIPATION

**Overview:**

There are two major reasons for this activity. (1) Applying materials covered in the module to participation in a real organization; (2) Discovering some of the differences between how Americans view participation and how locals view of participation.

**Time:**

| | |
|---|---|
| Preparation of questions and inviting representatives | 1 hour |
| Actual interview | 30 minutes – 1 hour |
| Debriefing | 30 minutes |

**Materials:**

Interview questions translated into the local language.

**Preparation:**

Help training participants arrange to interview representatives of a community organization.

**Debriefing the experience and processing the learnings:**

Allow training participants to take charge of the debriefing. Be prepared to add to the debriefing your knowledge of how people participate in community organizations and to ask questions to probe training participants' understanding. You may want to include other Peace Corps staff or trainers in the debriefing to expand trainees' perception of participation in their host country.

A CED Training Guide for Peace Corps Volunteers

# Module 3

# Developing a CED Strategic Agenda

MODULE 3
# DEVELOPING A CED STRATEGIC AGENDA

## A VOLUNTEER'S STORY

*A long, long time ago in the Peace Corps, back in the early 1960s, a Volunteer in Latin America, who later became the acting director of the Peace Corps, worked with a community group. The Volunteer discovered many community concerns. This community needed potable water, more educational opportunities for the children, better access to health care, and methods to market the agricultural products they produced.*

*Nevertheless, all the community members talked about doing was building a wall around the cemetery. In spite of the Volunteer's articulate arguments for the benefits to be derived from other projects, the community remained steadfast in its determination to build a cemetery wall. The Volunteer was persuaded to help the members to organize and carry out their project.*

*In building the wall, community members gained confidence in their ability to work together, to plan, and to complete a project. The community group went on to complete other projects with the support of the Peace Corps Volunteer and on its own.*

*The Volunteer never did figure out why building the wall was so important to the community. However, he recognized the value of the trust and community capacity that were built during the construction process.*

\* \* \* \* \* \* \* \* \*

In some ways, a community economic development (CED) strategic agenda is like a meeting agenda. The key people arranging the meeting gather information and decide which items are important enough to include on the agenda. In developing a CED strategic agenda, a core group of community residents leads the community in gathering information to analyze how the community is today, helps the community visualize how they want the community to be in the future, and then decides what items need to go on the CED strategic agenda for community action.

A community may have a clear and compelling idea for a CED project they want to work on now. If this is the case, they may not be interested in exploring other ideas. Provided the idea has widespread support, it may be practical to move ahead with planning and implementing a project to follow through on this idea. However, in most cases a community requires time, leadership, and resident participation to understand the present conditions affecting the economic well-being of community residents and the possibilities for improvement, and to arrive at consensus on a CED strategic agenda. By engaging in the activities and reading the materials in this module, you will gain the skills and techniques that prepare you to work in a participatory way with community groups to set a CED strategic agenda. By the time you complete this module, you should have acquired the knowledge, skills, and attitudes to be able to:

• Demonstrate practical methods for developing a CED strategic agenda.

• Describe a Volunteer's role in developing a CED strategic agenda.

• Discuss the differences between the asset and problem approaches in exploring community concerns.

• List five decision-making techniques and give examples of how they might be used in a CED setting.

• Explain the advantages and disadvantages of small and large CED projects.

Members of communities everywhere have at least six basic concerns:

1. Income

2. Housing

3. Health

4. Education

5. Transportation

6. Security/Safety

Governments are severely strained and unable to meet the escalating demands for health, education, transportation, and security/safety services. Increasingly, communities look to their own resources or those of private business within their communities to provide these human services. Adequate housing for residents continues to be a concern for many communities. Unemployment or underemployment in developing and redeveloping countries is a major concern. In all six areas of concern there is the potential for CED to make a change—to build community capacity and to improve the economic well-being of a community. To address community concerns in ways that lead to long-term sustainable solutions, the whole community—young and old, men and women, majority and minority residents—should be involved. Participation is essential in building the capacity of communities (see Module 2, "Building Community Capacity Through Participation").

*What is the difference between*
*an obstacle and an opportunity?*
*Our attitude towards it.*
*Every opportunity has a difficulty and*
*every difficulty has an opportunity.*

— J. Sidlow Baxter

In Module 3, "Developing a CED Strategic Agenda," we explore:

- The key elements in developing and implementing a CED strategic agenda.

- Gathering and analyzing information on community concerns, resources, and vision for the future.

- Decision-making tools to assist a community in developing a CED strategic agenda.

- What a strategic agenda for one community might look like.

To implement a strategic agenda, the community will need to plan and manage individual projects. How to design and manage projects is not covered in these CED training materials because the Peace Corps has excellent Project Design and Management (PDM) training materials. In fact, most Peace Corps posts offer PDM training to Volunteers and Counterparts. Check with Peace Corps staff to determine whether PDM training is available in your host country, and whether it can be arranged.

ACTIVITY 3:1

THE ROLE OF THE VOLUNTEER IN DEVELOPING
A CED STRATEGIC AGENDA

Think about the role a Volunteer should play in organizing a CED strategic agenda. What role should you play as part of a community team?

Individually review the following questions and then fill in the blanks. When you have completed the task, share your answers with others in your training group. Develop a consensus on the most effective role(s) a Volunteer can play.

1. A Volunteer's power should come from:

   _____

2. A Volunteer's productiveness depends on:

   _____

3. A Volunteer's value to the group/organization should be measured by:

   _____

4. A Volunteer's responsibility is to communicate:

   _____

5. The best kinds of support a Volunteer can give a group/organization are:

   _____

6. A Volunteer's commitment to the group is demonstrated by:

   _____

7. The two most important roles a Volunteer should play are:

   _____

8. The most perplexing paradox a Volunteer must cope with is:

   _____

                                                        Continued

When you have come to some consensus, think about and discuss the following questions:

• Were there any answers of your fellow trainees that surprised you?

• What were some of the differences and similarities about the Volunteer's role within the group and the role you would typically play if you were a long-time member of the community?

• How might you use what you learned in this exercise during your Peace Corps assignment?

For more ideas on a Volunteer's role in development see the Resources section at the end of the module.

Before developing a CED strategic agenda, we pause for a minute to remind ourselves of some principles, or key elements, which help ensure the success and sustainability of a CED effort. These six key elements enforce the dual goals of CED—improving the economic well-being of a community and building a community's capacity to take responsibility for its own economic future.

## KEY ELEMENTS IN COMMUNITY ECONOMIC DEVELOPMENT STRATEGY

**Key Element 1: Consensus and consensus building through the active partnership of the main socioeconomic and political actors at the community level.** This means creating a process and atmosphere that:

a. Unites the community's socioeconomic actors and creates collaborative links across political barriers and differences.

b. Ensures interaction between the private and public sector.

**Key Element 2: The bottom-up approach,** which:

a. Mobilizes to the utmost the local human resources and actors.

b. Makes the local actors responsible for the local development process.

c. Sensitizes the local actors to be responsible to build up consensus around the strategic development policies for their community. "Consensus building" and the "bottom-up approach" are ideal concepts; however, they are not always easy to introduce.

**Key Element 3: Human and organizational capacity building at the local level.** This means upgrading the local human and technical skills to undertake and make sustainable the CED process. An important aspect of  organizational capacity building is the development of financially sustainable activities.

**Key Element 4: Synergy and catalyst effect.** To create trust and co-responsibility between the community actors for the development of the long-term goals of the CED process, it is important that short-term visible results are achieved. The creation of good local examples has a high degree of motivation and a "synergy effect," and can act as a catalyst in getting a community to take action.

**Key Element 5: Globalization at the community level.** This means a process whereby:

a. Policies for community development are designed to complement and contribute to national and international economic policies. In this way, isolated initiatives and actions are folded into overall strategic development policies.

b. CED organizations establish links with other communities within their region and with national and international organizations and agencies.

**Key Element 6: Raising public awareness.** To ensure:

a. The constant mobilization of community resources, whether human, financial, managerial, or political.

b. The democratic development of the process and the relationship between organizations and the whole local community.

The local press and media (if they exist) have to be mobilized. The local media can and should be one of the key actors in promoting a dialogue among all the socioeconomic actors in the community. They can facilitate democratic consensus building and promote the bottom-up approach. If no local media exist, CED organizers need to take practical actions to raise public awareness of the CED process by posting fliers in public places, holding "town meetings," talking to people on the street, etc.

(Adapted from ILO/COOP–UNDP/RBEC *Regional Local Economic and Employment Development Programme Final Report*, March 1996.)

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*The beginning is the most important*
*part of the work.*

— Plato, c. 428–348 BC

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## GATHERING AND ANALYZING COMMUNITY INFORMATION

Think about the economic life in a community where you lived for several years. Which companies were the major employers? What were the economic roles of men, women, and children? What were the community's economic problems and its economic competitive advantages? What did community members value— maintaining a beautiful environment, local cultural events, their schools and universities, a convention center, or the excellence of a local agricultural product? How could you tell a family was "well off" in the community—by the neighborhood they lived in, by the cars they drove, by the schools their children attended? Who were the "movers and shakers" in the community? What were the skills of people living in the community? These are the types of questions a group of community members needs to be able to answer before they can decide on a suitable CED strategic agenda.

By undertaking a systematic gathering of information and analysis a community gains a deeper understanding of its situation. At the same time, this process enables community members to work together and begin the process of forming a cohesive working group. Analyzing the community also provides the basis for the initiation of the CED process. Finally, this step in the CED process provides baseline information from which the community can monitor its progress and evaluate its results.

For all the reasons discussed in Module 2, "Building Community Capacity Through Participation," all community members who are willing should gather and analyze information and together decide on a CED strategic agenda.

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*Two eyes see better than one.*

— Mauritanian Proverb

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First, get together with some like-minded citizens who are interested in improving the economic well-being and capacity of the community. This core group might come from an existing community organization, a consortium of organizations, or it might be a new group of community members concerned about one issue such as education for children, drug or tobacco use, or crime. In addition, gather other key or strategic players such as a tribal elder, a councilperson, the mayor, business leaders, nongovernmental organizations (NGO) leaders, and/or the town's religious leader. Often these actors will make the difference in the success of a CED effort. Actors vary by culture and country; their blessings can make a project move quickly and effectively towards success. Be culturally sensitive as to how actors are invited to join the process. In one culture, it might be a very formal letter requesting participation; in another, it may be one elder asking another to participate. The important thing is that everyone in the group is interested in promoting positive changes in the community. A group of about a dozen is recommended to start; smaller groups may have problems if anyone drops out, and a larger group may make it difficult for everyone to be heard.

Whoever brings the group together might also take the responsibility for beginning the discussion of community concerns and community capacity.

The core group, including other actors, determines:

- The boundaries for the community they are planning to work with.

- What information they already know and what information they need to gather about the community. Note: gather only information you really need.

- Who will gather the information? How?

- Who will analyze and summarize the information to illustrate the community's concerns, opportunities, and vision for change? How?

- How decisions will be made as to what is included in the CED strategic agenda.

- How the CED strategic agenda will be presented to the community—how the community will become aware of the CED strategic agenda?

Community assessment is time well spent. It grants the community the opportunity to define its own priorities, to decide what will change and what will not. Community assessment can become a complex and time-consuming task if taken as a highly scientific investigation—but do not let this happen. It can be an informal, enjoyable, and useful analysis for all when people are involved using appropriate participatory methods and techniques.

There are two basic approaches to community development. Both can be applied in a participatory manner. The *Appreciative Inquiry approach* (AI) begins with what is present in the community rather than what is absent. Although the identification of problems has its place, it can take a half-empty approach. The appreciative approach looks at the capacities, skills, assets, property, and resources of the community and its members. It focuses on creating or rebuilding relationships among local residents, associations, and institutions, bringing them together to multiply power and effectiveness. It also looks at ways to capitalize on what is working and expand, modify, or enhance the community's economic possibilities.

A *problem-solving approach* starts differently, beginning with problem recognition. The problem that is "seen" is often just the tip of the iceberg, and the real problem may be much deeper and more complex than it appears. Gather as much data as possible about the stated problem, including hard data, such as facts, history, and procedures, and soft data, such as feelings, opinions, and attitudes. A problem will look different from different vantage points. Defining the problem so that everyone can agree and accept it is a critical step in the problem-solving process.

The problem-solving process then moves to uncover the root cause or causes of the problem. The root cause(s) can be uncovered by using a variety of tools and methods, such as brainstorming, force field analysis, and cause-and-effect diagrams. The next step is to create as many solutions as possible and then to use decision-making tools to decide on the best option.

## Contrast Between Problem-Solving and AI Approaches

| **Problem-Solving Approach** | **Appreciative Inquiry Approach** |
|---|---|
| Felt Need: Identification of the Problem | Appreciating and Valuing: The Best of "What Is" |
| Analysis of Causes | Envisioning "What Might Be" |
| Analysis of Possible Solutions | Dialoguing "What Should Be" |
| Action Planning (Treatment) | Innovating "What Will Be" |
| Basic Assumption: An organization is a problem to be solved. | Basic Assumption: An organization is a mystery to be embraced. |

(Reprinted with permission from Cooperrider, D. L., and Suresh Srviastva. *Collaborating for Change: Appreciative Inquiry*. Berrett–Koehler, San Francisco, 2000. p 23.)

Problem or deficit approaches and appreciative, asset, or strength-based approaches are not exclusive of each other. They are on a continuum. During an assets-based resource inventory, information regarding "problems" or "deficits" may surface. During a problem analysis, people may talk of "opportunities." This information is important to know and use in designing CED activities. The important lesson is that how you begin the dialogue, with assets and strengths or with problems, may influence the energy level and empowerment of the participants. Beginning with the positive is usually more stimulating and encouraging. In other words, your first questions are fateful.

## A Continuum of Approaches to CED

| Problem-Solving Approach | Deficits-Challenges-Concerns-Issues-Assets-Strengths | Appreciative Inquiry Approach |
|---|---|---|

As you plan ways to collect community information, you should also be aware that culture plays a significant role is what information is given and shared in a society and how that information can best be collected.

Tools to gather information can be structured using the appreciative/asset/strength based approaches, the problem/deficit approach, or a middle ground of addressing questions or issues. For example, a survey or focus group might frame questions either in an appreciative way or in a way that encourages respondents to look at the community's problems, roots of the problems, and solutions to problems. Numerous books have been written on methods of gathering information, including observation, structured interviews, role-plays, drawings, etc. The Peace Corps book *PACA: Participatory Analysis for Community Action (*ICE No. M0053) contains a number of information-gathering techniques (see Resources section at the end of the module). Examples

of three information-gathering methods are presented below: Johari's Window, Focus Groups, and an Expenditure Patterns Survey. As you read the text and do the Johari's Window activity, think of the implications of using each method with an appreciative a problem-based approach.

Johari's Window is a tool that helps groups understand that by gathering information from a variety of sources and perspectives a more complete understanding of the situation is possible. The concept behind Johari's Window is that each community is a mystery, partly known and partly unknown. Named after its authors, Joe Luft and Harry Ingham, who were concerned with different styles and processes of interpersonal communications, Johari's Window assists us in understanding that individually we do not have all the answers and through working with others we can learn and grow.

## JOHARI'S WINDOW

| **Open Knowledge of the Community** | **Community's Blindness** |
|---|---|
| What the community knows and what the outsider knows. | What the outsider knows and what the community does not. |
| Known to the community and known to the outsider. | Known to the outsider and unknown to the community. |
| Both parties know each other at least superficially, and the relationship seems friendly. | The outsider can see problems and their solutions clearly, but the community members (group) do not see them at all. |
| **Community's Hidden Knowledge** | **Knowledge That Will Be Revealed** |
| What the community knows and what the outsider does not. | What the community does not know and what the outsider does not know. |
| Unknown to the outsider and known to the community. | Unknown to the community and unknown to the outsider. |
| The community members (group) have certain feelings, beliefs, values, fears, etc., which only insiders are aware of. They are hidden from the outsider's view. | Neither party knows the other well. However, they may get to know each other better in the future in the course of working together over a period of time. |

(Adapted with permission from: Srinivasan, L. *Tools for Community Participation.* Prowwess/UNDP–World Bank Water and Sanitation Program, 1993.)

## ACTIVITY 3:2

## JOHARI'S WINDOW

Draw a blank diagram of the Johari's Window box. With your training community make a list of what you know about the community. Invite community insiders, language instructors, and other host-country nationals to participate by making lists of what they know about the community. Once everyone has ample time to develop his or her own list, begin by sharing your list one item at a time in small groups. Place this information on your blank Johari's Window in one of the four boxes. For example, if you know that the medium income for the community is 400 pesos, but no one else does, that would go in the upper right-hand corner, Community's Blindness. Information that only community insiders know goes in the lower left-hand corner, Community's Hidden Knowledge. Information that community outsiders and insiders know goes in the upper left-hand corner, Open Knowledge of the Community. Information in the lower right-hand box, Knowledge That Will Be Revealed, will be based on various pieces of information gathered together or through discussion or insight.

After you have completed Johari's Window discuss the following:

- What were some of the differences in the types of knowledge of insiders and outsiders?

- Were there cultural differences in how information was presented or viewed?

- What new knowledge about the community revealed itself?

- How might you use the Johari's Window tool at your site?

Note: This might be a useful activity to do with your Counterpart after you have been at site for a few weeks.

<div align="right">Continued</div>

## ACTIVITY 3:2

## A VARIATION

It might be fun to do the exercise instructing one group of insiders and outsiders to list things about the community that they appreciate and another group of insiders and outsiders to list the community's problems.

Questions to discuss:

- Did using the appreciative or problem approach affect the energy of the groups?

- Was different information gathered using the two approaches?

- Would more information be revealed about the community if both approaches were used and the results combined?

Johari's Window makes the point that Volunteers usually relate to a community from the "blind" window, tending to believe they have the "right" answers to the community's problems while the community members are considered "blind" to their situation. It also points to the importance of Volunteers learning about the community's or group's feelings, beliefs, and values. It is not easy to learn these things until a level of trust is established. Trust is the starting point. Respectful listening and providing the community with opportunities to share their concerns, successes, assets, and problems is the way to develop trust. Finally, Johari's Window combines the community's experience, knowledge, wisdom, customs, and beliefs with the Volunteer's skills and different perspective to produce a new knowledge, revealed to everyone committed to the improvement of the community.

> *To raise new questions, new possibilities,*
> *to regard old problems from a new angle,*
> *requires creative imagination.*
>
> — Albert Einstein

**FOCUS GROUPS**

Focus groups are a technique for gathering qualitative information. A focus group usually consists of five to 10 individuals. Depending on the information to be gathered all members can be from one segment of the community (i.e., youth or business owners), or they can represent diverse members of the community. Focus groups can be used to:

- Collect opinions, beliefs, and attitudes about issues of interest to the community.

- Check out assumptions about people's views on a community issue.

- Encourage discussion about a particular topic.

- Create energy and excitement about a topic from the comments that participants' make and the ideas they share.

Focus groups are an excellent way to gather information, but they are not the only way. Before deciding to use a focus group, carefully consider whether it is the best way to gather the information you need. Also, consider combining the focus group method with other data-gathering methods, such as interviews, surveys, or research into secondary sources.

To clarify, a focus group is about people's feelings, beliefs, and perceptions. It is not:

• A quantitative research method. A focus group provides qualitative information.

• A brainstorming session. Although focus groups generate fluid discussion, they have a definite format and a set of structured questions.

Focus groups have some advantages: They provide an opportunity for obtaining in-depth information; they can be conducted inexpensively; they are more personal than a survey because they bring people together; and the results can be gathered quickly. However, there are also disadvantages: A competent facilitator is needed to conduct the focus group; group dynamics can be difficult to control; time is limited, so the number of questions that can be asked is also fairly limited; it can be time-consuming and challenging to assemble a focus group; and because the data are verbal, it can be difficult to analyze and interpret.

The particular questions posed in a focus group are critical. The first couple of questions should be warm-up questions to put the group at ease. To be effective, focus group questions should be open-ended, focused, and move from the general to the specific.

## EXAMPLES OF INEFFECTIVE AND EFFECTIVE QUESTIONS

| INEFFECTIVE QUESTIONS | EFFECTIVE QUESTIONS |
| --- | --- |
| Do you favor the community undertaking plans to develop a day care facility? (This is closed-ended and elicits a "yes" or "no" response.) | What do you consider to be the advantages of the community undertaking plans to develop a day care facility? (This is open-ended; it encourages people to think and respond.) |
| What do you like best about the proposed CED strategic plan? (This is too general. It should focus on a specific point.) | What do you like best about how the CED strategic plan is being communicated? (This is focused; addresses how the plan is communicated.) |
| Why do you refuse to support a farmers' market in the Central Square? (This question is biased and may make participants defensive about their answers.) | What do you think might be the advantages and disadvantages of opening a farmers' market in the Central Square? (This question is more balanced, asking for both advantages and disadvantages.) |

Explain to focus group participants why the information is being collected and how it will be used. Assign someone, not a focus group member, to keep good notes. Thank participants for their time and input.

It may be necessary to conduct a series of focus groups to gather the information the core group needs to prepare a CED strategic agenda for the community.

During your training look for opportunities to use focus group methodology to gather information about your fellow training participants' or host country friends' opinions, beliefs, and attitudes.

**AN EXPENDITURE PATTERNS SURVEY**

This is but one example of the many surveys that are used to gather quantitative and qualitative community economic information. Other surveys might address transportation needs, housing requirements, skills, education and job experience of community residents, or safety and security concerns.

When designing and conducting a survey, you should:

- Keep the questions simple and the survey short (no longer than two pages).

- Ask only for information that is absolutely necessary.

- Ask community residents to complete the survey. There are several ways to approach residents:

    – Go door to door.

    – Set up a table at the local elementary school or another public place.

    – Ask organizations if you can send a representative to one of their meetings to hand out surveys.

\* \* \* \* \* \* \* \* \*

## Sample Expenditure Patterns Survey

**Introduction:** Include an introduction to your organization and what it hopes to accomplish in the community.

**My questions are about your general shopping patterns and your sense of what community businesses have to offer.**

1.  What percent of your purchases do you make in the community? _____

2.  If not 100 percent, why not? _____

3.  How close should a business be located to your home in order for you to shop there?

    1/2 kilometer          1 kilometer          > 5 kilometers

Continued

4.  How do you reach businesses in the central area of town?

    On foot                     By public transportation

    By car                      Other _____

5.  What kinds of businesses are needed but not currently located in the community? (Circle all that apply.)

    Bakery              Beauty salon        Auto repair shop

    Laundromat          Barbershop          Tailor

    Shoe store          Hardware store      Cinema

    Furniture store     Bookstore           Other _____

    Bank                Restaurant

6.  Do you ever buy products or services from people who have home-based businesses? If so, what products or services?

7.  Do you know people in the community who could start a business to provide more of the things that you need? If so, who and what type of products or services could they provide?

8.  Would you be interested in starting a small business in this community? If so, what type of business?

9.  Would you be interested in a training class that teaches the basics of starting a small business? Yes or No?

10. Would you consider volunteering one or two hours a week to help with a community project? Yes or No?

* * * * * * * * *

How might a CED group use the information contained in the Expenditure Patterns Survey to improve the economy in the community?

*   Educating local vendors about what kinds of things people want to buy.

*   Educating local consumers about using their expenditure power to encourage retail stores to provide the products and services they want.

*   Promoting new businesses or expanding existing businesses to fill gaps in the goods and services available in the community.

*   Educating local business people about starting businesses of their own.

Gathering community information can be a fun and creative experience. However, it is important not to get stuck in the information-gathering phase of developing a CED strategic agenda. Community members need to feel that the process is moving at a pace that does not result in the loss of momentum and motivation. From time to time check with the core group to determine if they feel

sufficient information has been gathered and it is time to move to the decision-making phase.

## DECISION MAKING

Decision making must consider the culture of the community. Some of the methods below will be acceptable decision-making tools in one culture and not in another.

There are many tools available to assist organizations in making effective decisions. In this module we include activities to illustrate two techniques that are easy to understand and use, force field analysis and a criteria matrix.

Some of the pitfalls of decision making are abuse of political power, personal preference, poor leadership, or a "macho" demonstration of decisiveness. At times, Volunteers are either pressured into or pressure others into certain projects based on expertise, level of knowledge, or ease of accomplishment rather than the aspirations and desires of the community. Two guiding principles in making community decisions are:

1. Be inclusive—make certain the diversity of the community is represented.

2. Be transparent—make decisions in an open way.

Decision-making tools and methods are designed to avoid some of the pitfalls and make the decision process more inclusive and transparent.

> *The way to get good ideas is to get lots of ideas*
> *and throw the bad ones away.*
>
> — Linus Pauling, American chemist

Effective decision making is a process of evaluating choices. Consider ranking, prioritizing, and scoring alternatives to make the right choice. By pulling together information, and considering different points of view, the group can usually make better decisions than most individuals make alone. Once again participation becomes a key. When people are excluded from the decision-making process, there's little chance for emotional ownership or a sense of buy-in.

The group has worked hard to ensure that the community is involved. Selecting the key players in the decision-making process is critical. Remember, the primary objective is to come to a consensus on the CED project. If everyone supports the decision, it will be implemented and it will work. Some simple decision-making tools include:

**INFORMAL DISCUSSIONS**

This is a natural first step in the process: discuss a list of options, think out loud, bounce ideas off other people, and discuss the advantages and disadvantages. This method begins the "airing" process in which you discover what others are thinking about the various alternatives. It is also a way to get other key stakeholders' opinions.

**BRAINSTORMING**

Brainstorming was not designed for decision making per se, but it is a method that generate thoughts and ideas on alternatives and in doing so leads to a greater understanding of the alternatives. After generating a list of ideas by brainstorming, ask some of the following questions to narrow the choices and/or make a decision as to how to proceed:

- Which alternatives seem most practical?

- Which alternative would be the easiest to accomplish?

- Which alternative would be the most difficult?

- Which alternative would provide the most economic benefit?

- Which alternative do you know no one will support?

- Which alternative do you think everyone will support?

**ELIMINATION**

Often times the list of alternatives generated by a community or group can be overwhelming. Through informal discussions and brainstorming the group finds alternatives that are unworkable, politically too difficult, or just do not have enough support. Begin to eliminate these from your list. To continue the elimination process look at other factors such as cost, risk, time, talent, and expertise.

**PRIORITIZING**

There are many ways to develop a list of priorities. One way is to create a list that identifies alternatives from the best or most workable to the worst or least workable: have each member of the group priority rank the alternatives. Another way is to rank the alternatives by individual preferences: from best to worst. Try prioritizing by gut feeling or intuition or individual comfort zones. These are creative ways that people can prioritize the alternatives. Think of other creative ways to prioritize: which alternative will make the greatest contribution to the environment; which will have the most positive impact on youth.

**COMBINATION**

At some point in the decision-making process the group will discover that two or three alternatives can be combined. Try to sort alternatives by common themes or focus, such as town beautification, education, or partnerships. By sorting the list it is possible to think creatively about each idea and ways to combine them. This process can shorten the list of alternatives and minimize possible overlap.

## ACTIVITY 3:3

## USING A DECISION-MAKING TOOL: CRITERIA MATRIX

We evaluate certain criteria when we make decisions. When you were deciding on a college, you probably considered the cost, the educational program, reputation, and distance from home. In joining the Peace Corps, you may have considered your finances, health, length of service, and opportunity for adventure.

Think about what kind of site you would like, where it would be, what the work would be like, the housing, transportation, and food.

Then develop a thoughtful list of criteria. Criteria are accepted standards, common-sense benchmarks, or proven yardsticks on which your decision may be based. Criteria are also used to make judgments regarding your alternatives.

For a rural site, some examples of evaluation criteria might be: using a mountain bike for transportation, being the first Volunteer assigned to the site, potable water, a hot climate, and full use of the local language needed. For an urban center, the criteria might be: close to health facilities, an established project, a lower level of language skills required, and a fully furnished apartment.

**Criteria Matrix: An Example**

Rating Scale: 1 to 5, with 5 = the best

| Alternative Solution Site Location | Evaluation Criteria Rural Site | Evaluation Criteria Mountain Bike | Evaluation Criteria First PCV | Evaluation Criteria Hot climate | Evaluation Criteria High skill level in the local language needed | Summary Rating |
|---|---|---|---|---|---|---|
| Hefty | 4 | 1 | 5 | 1 | 1 | 12 |
| Zambong | 1 | 4 | 4 | 5 | 2 | 16 |
| Bageo | 2 | 3 | 1 | 5 | 3 | 14 |
| Bali | 5 | 5 | 2 | 5 | 4 | 21 |

..................................................................................................................………..............

Continued

Activity 3:3, continued

The summary rating in the criteria matrix indicates that Bali is the site you would prefer. It is important to keep in mind that the Peace Corps country staff probably will have a different set of criteria in matching Volunteers to sites.

To assist you in communicating with the staff and thinking through your own criteria, you should establish your criteria and combine them with what the Peace Corps country staff has told you. In most countries, your site selection will be made in consultation with you.

### Criteria Matrix

Rating Scale: 1 to 5, with 5 = the best

| Alternative Solution | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Summary Rating |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Once you've completed the exercise, consider the following:

• Did the matrix assist you in thinking through alternatives and interests?

• Did you want to change the criteria?

• Were you able to communicate your criteria and alternatives clearly?

• What are other applications for this process?

• How can you apply this process to your future work? Any suggestions?

Criteria matrices are useful decision-making tools for groups as well as individuals. Often groups gain insights into what is important as they select the criteria to use in evaluating alternative activities, projects, or agenda items.
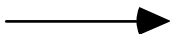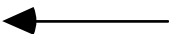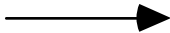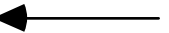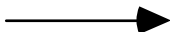
Note: A copy of the criteria matrix is included in the appendix to Module 3.

**FORCE FIELD ANALYSIS**

Force field analysis is a tool to assist people in determining the feasibility of an activity, project, or agenda item. This tool helps people visualize the forces that are driving the item under discussion and those that are restraining it. The tool is simple to understand and use. At the top of a sheet of paper write the name of the item under discussion. In the left-hand column list those forces that are driving the item and in the right-hand column the forces that are restraining it. For each item draw an arrow toward the center line that represents the consensus of the group as to the power of the driving or resisting force. Evaluate the number and power of driving and resisting forces in deciding if the item under discussion is feasible or not feasible.

Example of force field analysis:

**Offering Free Start-up Business Classes at the Secondary School**

| DRIVING FORCES | RESTRAINING FORCES |
|---|---|
| Young people wanting to start businesses → | Local business owners not wanting more competition. ← |
| Microfinance institution that wants to make loans to new businesses → | Teachers fearing their classrooms will be left in a mess ← |
| Parents wanting job opportunities for their children → | Lack of a competent teacher willing to conduct the classes free ← |
| | Parents worried that their sons' and daughters' grades may suffer from lack of study time. ← |

What conclusions can you draw from this short example? Perhaps "free" classes are not feasible. Would the force field analysis change if the plan were to charge a small fee for the business classes?

\* \* \* \* \* \* \* \* \*

## A LEARNING MOMENT

Choose a local CED concern in your training community. Propose a solution and ask some of your fellow training participants, language teachers, and a technical trainer to conduct a force field analysis to determine if the solution is feasible. Does the Force Field Analysis help you see ways the solution might be modified to increase its feasibility?

\* \* \* \* \* \* \* \* \*

There is no right way to present a CED strategic agenda. Some communities present them in long, detailed reports, others on one page. Below is an example of one community's CED strategic agenda. It represents a lot of work in gathering information and deciding which concerns the community wants to address. There is still much work to be done. The community has to implement its strategic plan (Module 4) and design specific projects to address each item on the CED strategic agenda (see Peace Corps project design and management materials), and finally it has to monitor and evaluate its efforts in following through with the agenda (Module 5).

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## CED STRATEGIC AGENDA: AN EXAMPLE

**Village of Bradner**
**CED Strategic Agenda**
**September 2000**

This strategic agenda points to areas where the people of Bradner—its most important asset—can make a difference in determining their future. At a community forum on September 5 community members reach consensus on the following agenda for community action.

This agenda was agreed on by Bradner's citizens after reviewing information about:

| | |
|---|---|
| Industrial and Agricultural Diversity | Household Demographics |
| Transportation | Youths' Community |
| Utilities and Infrastructure | Health Services |
| Community School | Village Appearance |
| Central Business District (retail and services) | Recreation |

Continued

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CED Strategic Agenda, continued

**Priority items:**

- Health services —need to attract a doctor to the community. This may require the community to renovate space for a medical clinic and/or provide housing for a doctor.

- Recreation—community youth need local wholesome activities after school and in the summer.

- Village appearance—customers are not attracted to the central business district, and some properties in the village are not in good repair. This may require a project to encourage residents to renovate the outsides of their buildings, work with public officials to enforce existing ordinances related to littering and building code enforcement, and civic action to plant trees and flowers in the area.

**Additional items:**

- Fire station—replacing the fire station will improve the safety of citizens and their property. This may require a ballot initiative for a tax to build the station. Determine if any regional or national funds are available for this project.

- Day care—a number of mothers need and want to work but have no reliable affordable day care. This may require working with churches and neighboring communities to develop a viable, sustainable day care facility.

**Items bearing on the future economic development of Bradner:**

- Continue the planning process—find an organization that will take on the responsibility of continue CED efforts permanently.

- Improve the community's housing alternatives—create an atmosphere for residential growth that will allow for increases in the population and maintain the existing "quality of life."

- Structure economic development and growth—work to retain and promote existing businesses and seek to attract new small industrial firms.

**Action:** A community forum is planned for October 15 to identify individuals and organizations interested in planning projects and activities to implement the three priority items on the CED strategic agenda.

## PROJECTS LARGE AND SMALL

Often Volunteers and communities develop big, grand ideas for economic development. These ideas can be exciting, fun, and stimulating for the whole community. Big, grand ideas can be seen as a way to generate enthusiasm and commitment and spark interest. Big ideas are ways to open people's imaginations to possibilities. Yet, big projects also come with big challenges and many constraints that can deflate enthusiasm quickly. If a community or a group has not had much experience working together or developing projects, it is best to think small.

Starting out with small, meaningful projects can give the group a sense of accomplishment. Successful small projects can demonstrate to the group and others in the community that they are serious and effective. Starting with small projects also enables the group to develop its leadership structure both formally and informally. It also enables group members to understand other's strengths and weaknesses, and to recognize the talent that each member brings.

The greatest challenge in starting with small projects is ensuring that the project is important and meaningful to the group. Often small projects can be trivialized and made to seem frivolous. This can discourage a group and make the project seem nonessential. Work through your decision making very carefully with small projects, particularly the first project.

> *Go to the people, live with them, learn from them, love them. Start with what they know, build with what they have. But with the best leaders, when the work is done, the task accomplished, the people will say, "We have done this ourselves."*
>
> — Lao Tzu, China, 700 BC

* * * * * * * * *

## KEY TERMS

Key terms are defined as they are used in this module. Building a local language vocabulary of terms related to CED prepares you to function effectively in this area of development. Work with your language instructors to find the appropriate translation and definitions in the local language. Record the translations and definitions in the  space  provided.

**Agenda** is a list of things to be done.

**Appreciative Inquiry** is an approach to building capacity and fostering innovation within groups, organizations, and communities. Through Appreciative Inquiry community members focus on their past successes and existing strengths to develop a common vision for the future and initiate action to achieve it.

**Asset-based approach** (also referred to as a strength-based approach) is a community development strategy that starts with what is present in the community and the community's strengths. Asset-based approaches focus internally on the community and its relationships.

**Problem-based approach** focuses on identifying a community's problems and discovering the roots of these problems before providing solutions for the problems.

**Strategic** refers to the planning and conducting of large-scale operations, usually a long-term plan for action.

* * * * * * * * *

RESOURCES

These resources are available through the Peace Corps Information Collection and Exchange (ICE). The citations are presented as they appear in *The Whole ICE Catalog*.

> *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. Michael Winer and Karen Ray. (Amherst H. Wilder Foundation.) 1996. 179 pp. (ICE No. CD053)
>
> Gives expert advice on how to establish and operate a successful collaboration, including how to find and attract the right people, build trust, and change conflict into cooperation. Handbook includes numerous worksheets, sidebars, and tips for a successful collaboration.
>
> *PACA: Participatory Analysis for Community Action*. (Peace Corps ICE.) 1996. 350 pp. (ICE No. M0053)
>
> Participatory Analysis for Community Action (PACA) is an approach used to facilitate communities'' exploration of their own realities in order to make changes they desire. Based on earlier participatory analysis methods, such as Rapid Rural Appraisal and Participatory

Rural Appraisal, PACA turns the appraisal activity into a process where the development agent and the community develop a partnership that leads to community control of their own projects. As a defining criterion, PACA distinguishes the role of gender in development by applying the participatory exercises with separate groups of women and men, girls and boys, which allows the community to compare and analyze together the roles that shape their reality. In similar ways, PACA can be used to understand age, ethnicity, or any other source of societal differentiation that has implications for development. The tools can be used in schools, organizations, institutions, and any other group, rural or urban, where different voices need to be heard.

*Roles of the Volunteer in Development: Toolkits for Capacity Building*. (Peace Corps ICE.) 2002. 225 pp. (ICE No. T0005)

This unique publication is a series of toolkits that can be separated into seven booklets. The introductory booklet provides an overview of the Peace Corps' philosophy of development, introduces the capacity-building roles a Volunteer might play, and then provides guidance for Volunteers in identifying what roles they will play. The other six booklets each address one of the roles: Learner, Co-Trainer, Co-Facilitator, Mentor, Change Agent, and Co-Planner. In each booklet, there is a chart delineating the knowledge, skills, and attitudes needed for the role; background readings on the role; and activities to learn more about and gain skills in carrying out the role. The booklets can be used as self-study, or used in conjunction with training sessions.

*Strategic Planning Workbook for Nonprofit Organizations*. Bryan W. Barry. (Amherst H. Wilder Foundation.) 1997. 72 pp. (ICE No. SB177)

A workbook that defines strategic planning; explains its relevance to nonprofit organizations; and provides a step-by-step guide for developing, implementing, and updating a strategic plan. Appendices include a summary of a situational analysis, an example of a strategic plan, and strategic planning worksheets.

*A Guide to Mapping Consumer Expenditures and Mobilizing Consumer Expenditure Capacities*. John P. Kretzmann and J. L. KcKnight. (ACTA Publications.) 1996. 45 pp. (ICE No. SB203)

*A Guide to Mapping Local Business Assets and Mobilizing Local Business Capacities*. John P. Kretzmann and J.L. McKnight (ACTA Publications.) 1996. 71 pp. (ICE No. SB207)

**Internet:**

www.aed.org — Academy for Educational Development–International Development Group

www.ncced.org — National Congress for Community Economic Development

www.worldbank.org — World Bank website with links to all its programs, publications, and other international development organizations

www.undp.org — United Nations Development Programme

www.pactpub.com/PMEpdf.html — Participating Agencies Collaborating Together

www.worldlearning.org — International development and training organization

www.idealist.org — great information and links

www.astd.org — American Society for Training and Development

www.sid.org — Society for International Development

Many of these sites have great links to other sites that will be helpful to your work.

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TRAINER'S NOTES

MODULE 3
DEVELOPING A CED STRATEGIC AGENDA

**Overview:**

Activities and readings in this module prepare Peace Corps Volunteers (PCVs) to work with community groups in a participatory manner to gather information, analyze information, and design an effective community economic development (CED) strategic agenda.

**Time:**

Reading                               1 hour
Activities and debriefings     5 hours

**Materials:**

Flip chart paper, markers, tape, copies of the force field analysis worksheet and the criteria matrix worksheet.

**Preparation:**

Discuss the role of a Volunteer in gathering information and designing effective CED strategies with the Peace Corps programming staff and decide on the major points to cover.

For community-based, center-based, and hybrid training models, identify situations and opportunities for trainees to practice community information-gathering skills and decision-making techniques. Structure an opportunity for the trainees to explore how residents of their training community feel about their community's economic development and what residents would like to see happen in the future to improve economic conditions. The Peace Corps has developed a number of community entry techniques, some of which involve gender analysis that may be adapted for Volunteers working in CED projects. See the Resources section at the end of the module.

TRAINER'S NOTES

ACTIVITY 3:1
THE ROLE OF THE VOLUNTEER IN DEVELOPING A
CED STRATEGIC AGENDA

**Overview:**

This activity sensitizes training participants to their role(s) and provides them with an opportunity to reflect on their role(s) in the CED process.

**Time:** 1 hour

**Materials:**

Flip chart, markers, tape, and the following questions, copied and ready to distribute:

1. A Volunteer's power should come from:

2. A Volunteer's productiveness depends on:

3. A Volunteer's value to the group/organization should be measured by:

4. A Volunteer's responsibility is to communicate:

5. The best kinds of support a Volunteer can give a group/organization are:

6. A Volunteer's commitment to the group is demonstrated by:

7. The two most important roles a Volunteer should play are:

8. The most perplexing paradox a Volunteer must cope with is:

**Preparation:**

With the Peace Corps staff, think through key points you would like Trainees to understand about their role in the context of your post. Each country has its own unique concerns, issues, and challenges. For example, in some countries, forming a new group without direct permission of the local Peace Corps office is a concern; in others, working with certain groups in the community may have been problematic in the past; in others, it is gender issues, or political concerns. You may want to invite the country director or other Peace Corps staff to this session. For a general discussion of the Volunteer's role, read *The Roles of the Volunteer in Development: Toolkits for Capacity Building*, listed in the Resources section at the end of the module.

**Debriefing the experience and processing the learnings:**

In addition to discussing the questions in this activity, take time to talk about specific issues that affect a Peace Corps Volunteer's role in working with community groups in the context of your country's cultural, political, and economic environment.

TRAINER'S NOTES

ACTIVITY 3:2
JOHARI'S WINDOW

**Overview:**

Often we assume what other people know, and that they possess the same information that we do and that they value it equally. Johari's Window provides training participants with a tool that can be used to explore others people's ideas, thoughts, and dreams in a respectful manner that builds trust.

**Time:** 1 hour

**Materials:**

Draw the Johari's Window box on a flip chart, and hand out individual copies of Johari's Window, with lots of blank space.

**Preparation:**

Ask language instructors, some host families, and others to participate in this exercise. Explain that this exercise allows training participants to practice a data-gathering technique, and ask them to share their knowledge of the training community using the Johari's Window.

**Debriefing the experience and processing the learnings:**

Possible responses from the group:

• What I thought were major issues in the community, such as the road conditions, transportation, and sanitation, were not of major concern to the community. The community was more concerned with employment and school conditions.

• I was amazed at how much the community members knew about each other.

• I realize you need to gather information from many sources to gain a full understanding of any community and that community members need to hear from each other.

• I think it would be really interesting to go through this process with a small group in my community that is interested in doing a CED project.

TRAINER'S NOTES

ACTIVITY 3:3
USING A DECISION-MAKING TOOL: CRITERIA
MATRIX

**Overview:**

To provide training participants with experience in using the criteria matrix decision-making tool, which can be modified to use with their community.

**Time:** l hour

**Materials/Preparation:**

Work with your Peace Corps staff in developing this session; it will work quite well with a discussion on site selection and site selection criteria. This session also will assist the staff in gathering important information from the trainees on site preferences.

Make a copy of the criteria matrix worksheet for each trainee. Familiarize yourself with decision-making tools, particularly the criteria matrix. The materials listed in the Resources section at the end of this module provide additional information.

**Debriefing the experience and processing the learnings:**

This activity provides a chance to discuss the post's method of matching Volunteers to sites and to explain the criteria that the Peace Corps staff used in the process.

•   Did you want to change the criteria after you saw the possibilities?

•   Were you able to communicate your criteria and alternatives clearly?

•   What are other applications for this process? How might this tool be used in helping a community reach a decision on items to include in their CED strategic agenda?

•   How can you apply this process to your future work?

## Criteria Matrix

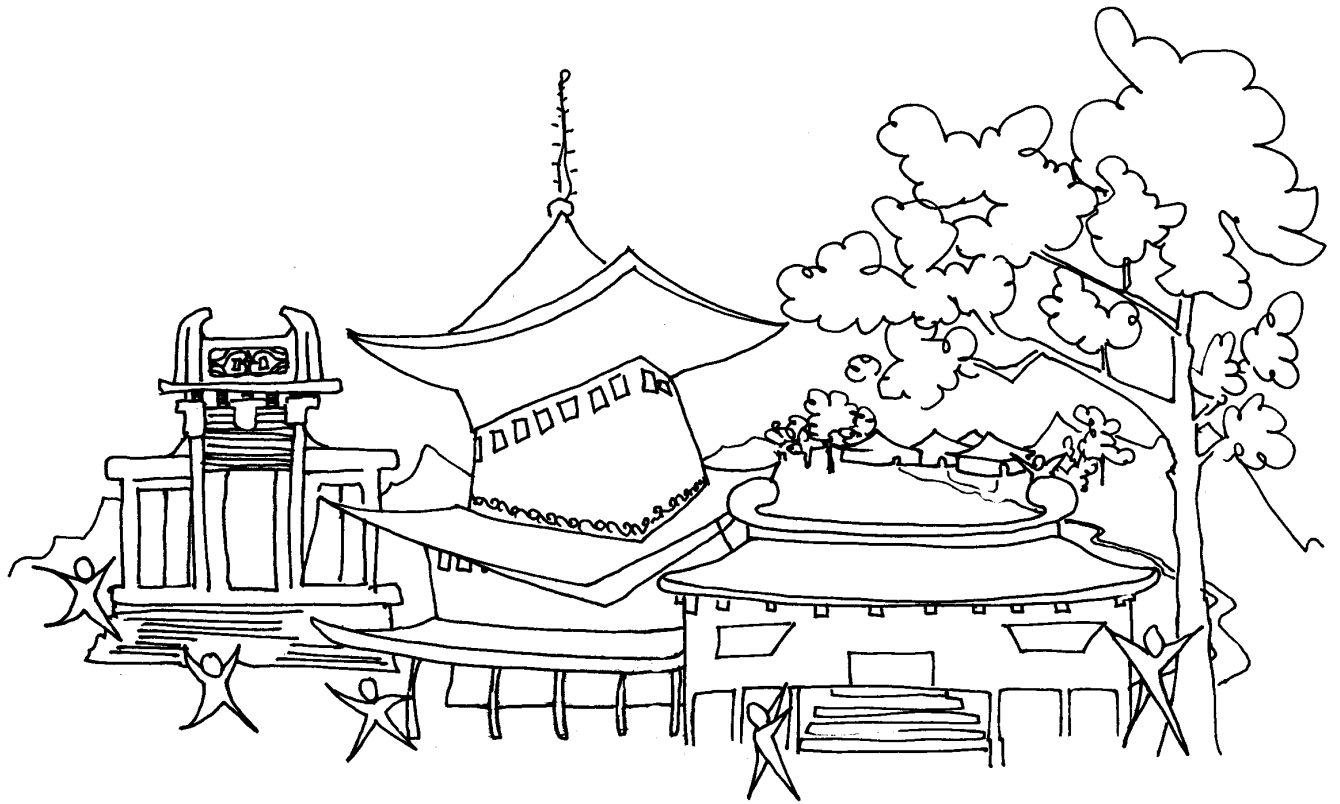Rating Scale: 1 to 5, with 5 = the best

| Alternative Solution | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Evaluation Criteria | Summary Rating |
|---|---|---|---|---|---|---|
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A CED Training Guide for Peace Corps Volunteers

# Module 4

# Implementing a CED Strategic Agenda

MODULE 4

# IMPLEMENTING A CED STRATEGIC AGENDA

## A VOLUNTEER'S STORY

*An education Volunteer taught English to fifth through 10th graders in a remote Mongolian town. Many of the men were unemployed since the shoe factory closed shortly after the change from a communist to a market-based economic system—there was no longer a market for the shoes they had produced and shipped to Russia. The community's number-one concern was jobs.*

*The community wanted the Volunteer to help them bring a new employer to their town or get an international business to purchase and reopen the shoe factory. Instead the Volunteer worked with the community to determine the community's skills and resources. They identified five men that would like to make and sell traditional Mongolian boots, using leather produced from nearby herds and selling their boots locally. The men knew how to make boots, but had no business experience.*

*The community's idea was to organize a cooperative, secure sewing machines and boot forms from the town that now owns the former shoe factory, market the boot jointly, set up a record-keeping system, get a microloan from a local microfinance institution, and determine what fees the cooperative would charge members to cover expenses. The machines would need to be maintained and eventually replaced. The cooperative planned to purchase supplies and sell them to members. They needed to pay utilities and wanted to do some common marketing of the boots. Who would keep the records, make the purchases, and do the marketing? How would they be paid for their efforts? How would the group make decisions, distribute profits, recruit new members? There were many questions to be answered.*

*The Volunteer continued to work with the group to help them design plans for their business. He wisely did not offer to produce a business plan for them. He asked questions, he got or gave information, he suggested possibilities, and he let them figure the plans out for themselves. The men learned how business works and how to work together as they plan. Progress was slow. It was challenging; the Volunteer was learning Mongolian, and the boot makers spoke no English.*

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The process of developing a community economic development (CED) strategic agenda (see Module 3) engages the community, begins the process of building trust and the capacity to work together, helps citizens visualize a better future, and establishes priority areas for community action. Community participation is important in arriving at a CED strategic agenda. Participation throughout the community is essential in the next phase as well.

In the next phase we look for community partners to take responsibility for various activities and projects involved in implementing the CED strategic agenda. You will meet new and some old partners. Partners include community-based organizations (CBOs). Some CBOs you may be familiar with, such as the chamber of commerce. Others may be less familiar, such as business incubators. Business incubators are not for chickens; they are for hatching small businesses.

In this module we discuss why it is critical for a society as a whole (individuals, the government, business, and civil sector) to work together on behalf of the community and how to deal with unexpected change. There is always unexpected change, and CED activities are no exception. Finally, we review the benefits of both the CED process (increased community capacity) and the CED product (an improved local economy). By the end of this module you will have the knowledge, skills, and attitudes to:

• Discuss the importance of CBOs in the implementation of a CED effort.

• Identity five CBOs in your country of service and how they contribute to their community's economic development.

• Explain why it is important for all sectors of society to work together.

• Demonstrate the use of contingency planning using "if–then" scenarios.

## WHY IS A HEALTHY LOCAL ECONOMY IMPORTANT?

In the last module we spent time developing a CED strategic agenda. Perhaps now is a good time to address the question "Why is it so important to invest time, effort, and resources in CED—in building a local economy?" The short answer: In a healthy local economy, money circulates and recirculates, and the benefits produced by this money are retained within the community, making local people better off, and making economic growth possible. When individuals and families are better off economically they have the resources to deal with a host of other concerns: sending their children to school, improving their housing, accessing medical care, etc. Improving the local economy is not an end in itself; it is a means to the end—improving the lives of a community's individuals and families.

## WHO IMPLEMENTS A CED STRATEGIC AGENDA?

The whole society implements a strategic agenda: individuals in the community, their CBOs, private business, and the government. Organizations mobilize and multiply the efforts of individuals.

Individuals are the drivers that make a local economy grow. It is individuals, working independently and collectively, that form the fabric of community life. It is the skills, abilities, and experiences of these individuals that can be mobilized to develop a vibrant local economy.

Individuals assume many roles in the local economy. They are the owners of large and small businesses; they are employees; they are educated consumers of locally produced or locally sold products; they are investors in local property and projects; they share their knowledge and experience with others, in terms of volunteer and associational activities; and they work together in community-building efforts.

Individuals can make a difference, yet when people gather together they can make a bigger difference. This multiplier effect of people working together is called synergy. Even more synergy is generated by organizations in a community working together.

Implementing a CED activity on your own is not impossible—it is just very difficult. CED by its very nature includes many actors, and at the core is a community working together for the betterment of the whole.

Community organizations by and large are formed to work on various projects and activities that primarily benefit the community. An organization may have been formed for the improvement of schools, such as a parent-teacher association; for the beautification of the community, such as a garden club; or for civic undertakings, such as the Lions, Rotary or Kiwanis clubs; or it may be a housing association formed to build a playground. All these organizations are formed to improve life in the community. These groups form because of social concerns. From time to time these organizations may be engaged in an activity that improves the local economy, such as building a historical trail, but CED is not their main purpose. However, building the historical trail attracts visitors to the community, who spend their money in local shops.

Other organizations focus more directly on the economic aspect of the community. Examples of these organizations are cooperatives, chambers of commerce, guilds, incubators, small business groups, or a local women's business association. These groups are formed to provide economic benefits to the group through individual membership.

The local government is interested in the economy, especially the taxes it generates. The government also is usually interested in the well-being of citizens. The government's cooperation is necessary in implementing a community agenda. In some instances, government approval is needed to undertake business activities, and government is a key player in improving the infrastructure of the community.

In implementing a CED strategic agenda, all types of organizations and individuals should be approached. What is critical is to find pieces of the agenda that fit with the organizations' and individual's interests.

## ACTIVITY 4:1

## DIAGRAMMING LINKS BETWEEN ORGANIZATIONS

Fill in the diagram below to show the links between community organizations and community members and the boot-making cooperative mentioned in the Volunteer's story at the beginning of the module.
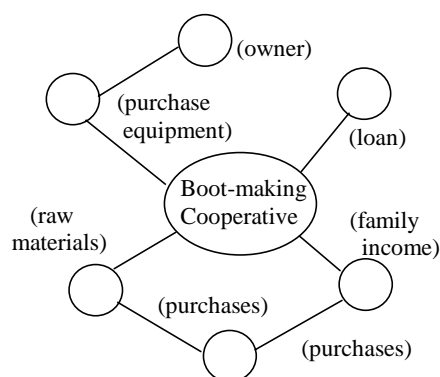


If you were the Volunteer in this Mongolian community, how would you suggest the men at the boot-making cooperative approach the various parties in the community for assistance?

For every pair of boots that sell for the equivalent of $20, how much do you estimate the community's income will be increased? To do this you will need to make some assumptions.

What nonmonetary benefits do you predict would result from the boot-making cooperative effort?

Ask your trainer or a Volunteer to describe an ongoing CED effort in your host country. Diagram the links of this activity and determine how it may improve the community's economy.

## COMMUNITY LEADERSHIP

One of the goals of CED is to expand the number of individuals in a community who are accepting leadership roles. Broadening community leadership has several advantages: (1) There is a greater chance for inclusion of different interests, genders, and ethnic groups. (2) The probability of community projects being sustainable increases since it is more likely there will be leaders to see the project to a successful conclusion. (3) Taking on a leadership role provides opportunities for building the individual's capacity. Some leaders are more effective than others. Expanding community leadership to make it more inclusive and improving leadership skills increases the community's ability to put the community members' ideas into action.

An anonymous, wise person once said, "A good leader inspires people to have confidence in the leader; a great leader inspires people to have confidence in themselves." A key element in enabling people to realize their own potential and to have self-respect is their relationship to the group leader. If a group allows a leader do its work, the group is not taking responsibility for its own destiny, and it may not be able to stand on its own.

There are several explanations as to why individuals emerge as leaders. One theory holds that leadership is based on an individual's source of power—personality, role in society, or knowledge. When we visualize a leader, often we think of a charismatic leader we have seen on TV or have read about in history books. Personality is the image an individual transmits to others; it is a composite of all physical and mental characteristics.

Role power comes from the position a person holds. Some examples of powerful positions are the mayor of a town, the chief or elder in a village, the minister of a church, the owner of a large business.

Knowledge power comes from understanding the skills and techniques required for effective behavior in a given role. As societies become increasingly technical and roles become more specialized, knowledge power becomes more and more important.

When broadening the leadership base of a community, look for community members who derive power from all these sources. Many individuals derive power from more than just one source.

A common model describes three styles of leadership: *authoritarian*, *consultative*, and *enabling*. (See the table that follows for more details on leadership styles.) Of course, different situations call for different styles of leadership. For example if there are rebels in your backyard and it is a question of survival, a more authoritarian leadership style is appropriate. There is little time for consensus building and consulting. Immediate action is required.

An authoritarian style of leadership usually is not ideal in any community development activity with the goal of full participation. Building the capacity of

a group to work together and implement their own ideas requires an enabling leader who calls on group members to identify their own resources, explore new ideas, and make decisions. An enabling leader acts as a group facilitator, helping the group to manage itself. However, when groups have not yet developed the capacity to act for themselves, a consultative or even authoritarian leadership style of leadership may be more effective.

Effective leadership is strongly influenced by culture. For example, in the Kingdom of Tonga young people live with their parents until they marry. Youth are accustomed to authoritarian leadership style from their parents and the elders in their villages. In fact, they are considered to be youth in Tonga until they marry. Some youth are 35 or even 40 years old. Also, it is not polite in the Tongan culture to ask questions of older people; they might not know the answer and that would be embarrassing. The actions and decisions of community leaders are not questioned. Peace Corps Volunteers in the Kingdom of Tonga find that in working with youth groups, it can take years for the group to be comfortable with an enabling leadership style. Developing youth leaders in Tonga is hard work; leadership is not a role the youth expect to play.

What is the predominant leadership style in your host community?

A final thought on characteristics of effective leaders. Do not underestimate the magic of a positive attitude. Attitude is simply the way one views the world. It is a perceptual or mental phenomenon. It is how one focuses on life. In a sense, people see what they want to see. If they concentrate on negative factors (and there are plenty), they eventually wind up with a negative attitude. When they concentrate on positive factors, they are more apt to stay positive. It is easy to say, "look at the bright side," but, of course, it is not easy to do. A positive attitude can be a priceless possession. For a leader it is an essential characteristic.

Note: Peace Corps Volunteers are often valued for their "can-do attitudes." It is one of the Volunteer qualities that community partners prize most.

## LEADERSHIP STYLES

| Leadership Style | Leader Behavior | Level of Individual Behavior |
|---|---|---|
| **Authoritarian** | Leader makes decision and announces it | Leader announces his/her decision with no feeling of responsibility or accountability to share the reasons. |
| | Leader presents decision but "sells" it to members | Leader announces his/her decision and shares the reasons behind it, which were prepared in advance. (Monologue.) |
| | Leader presents decision and invites questions or clarifications | Leader announces his/her decision, but responds on an impromptu basis with a rationale based on the questions of clarification from the members. (Dialogue with no expressed willingness to change decision.) |
| **Consultative** | Leader presents tentative decision, subject to change | Leader announces his/her decision and announces that he/she is open to questions of clarification and discussion. (Dialogue with willingness to change decision if necessary |
| | Leader presents situation, gets input, makes decision | Leader identifies situation or problem and moves into a facilitating role to surface assumptions and suggestions, then moves out of facilitating role and makes a decision. |
| | Leader calls on members to make decision, but holds veto power | Leader calls on group to identify situation and limitation(s), and to explore and make decision contingent on leader's veto power. |
| **Enabling** | Leader defines limits, calls on members to make decisions | Leader shares any (e.g., funds available, time parameters) and facilitates a decision by members on basis of limitations. |
| | Leader calls on members to identify limits, explore situation, make decision | Leader maintains a facilitating role, allowing members to identify situation or problem, identify limits, explore, and make decision. |

Less participation ^^^^^ amount of possible individual participation vvvvv More Participation

* * * * * * * * *

## A LEARNING MOMENT

Identify a time when you took a leadership role. Write down or think about a few of the most significant aspects of the event.

- From where did your leadership power come? Your role in society? Your knowledge? Your personality?

- Which of the three leadership styles did you use in the situation? Authoritarian? Consultative? Enabling?

- If you had the opportunity to relive the situation, would you do anything differently? If so, why?

- How can you improve your leadership skills during your Peace Corps service?

- What do you think is the most effective leadership style at your Peace Corps site? Does it vary with different situations in which you work? If so, why?

Discuss your conclusion about the most effective local leadership style with your Peace Corps trainers, host family, and or Volunteers who have been in country for sometime.

* * * * * * * * *


How do you broaden the leadership for community economic development activities? There is not a single answer, but there are a lot of little things CED groups can do to develop additional leaders.

- Promote a welcoming and open group attitude; seek to be inclusive. Post announcements of meetings in public places with an invitation to attend. Ask group members to bring friends and associates to CED activities. The more people who become involved the greater the number of potential leaders.

- Identify NGOs and CBOs that are active in the community. Invite their leaders and staff to become involved in the CED work. Some of their leaders and staff may take leadership roles in building cooperative/joint projects between the CED group and their organization.

- Locate the special interest groups in the community: ethnic groups, youth groups, senior citizen groups. Who are the leaders in these groups? They might be interested in representing their interest group in CED efforts, and they might become future CED leaders.

- Provide many opportunities for leadership roles through working groups and committees. Most leaders do not start as the president of an organization;

they gain leadership experience by first organizing a few people with a defined task.

- Get to know group and community members personally. Find out their interests and skills, and then invite them to lead an activity that matches their interests and/or skills. They are more likely to enjoy a leadership role that is a good match.

- Offer leadership training for group members as well as current leaders. Some topics that might be included: facilitation skills, organizing and running a meeting, decision-making techniques.

- Take notice when people take responsibility within the group and acknowledge their efforts. Offer members opportunities to take on more responsibility when they seem ready—soon you will have another leader.

- Identify the types of knowledge and skills needed to plan, implement, or monitor economic development activities/projects in the community and seek out people within the community that have that knowledge or those skills. Invite them to share their knowledge or skills.

## PRIVATE BUSINESSES AS CED PARTNERS

If individuals are the drivers that make a local economy grow, then private businesses are one of the engines that power the economy. The connections, or mobilized capacities, between a business and the other parts of a community take on an infinite variety of forms. Some of them are very simple; some are very complex and highly developed.

The following example illustrates the role that a small business can play as a community partner. The business is a small market that sells groceries, meat, dairy products, and other basic commodities. It is located in the midst of a low-income community and has mobilized its capacities in each of the following ways:

- Offers special senior citizens discounts on meat and produce one day a week.

- Offers food specialty products that are made by residents of the community.

- Storeowner belongs to chamber of commerce and participates in projects to promote business in the community.

- Hires cashier and butchers from among residents of the community.

- Provides cookies and punch for annual craft fair.

- Hires a local 15-year-old student to work after school and is teaching her how to order stock and keep inventory records.

The storeowner believes that the store benefits the community and that the goodwill the store generates also benefits his business. This is a win-win situation.

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## A LEARNING MOMENT

Pick a business in your host community and brainstorm ideas of how the capacities of this business might be mobilized to achieve CED goals. Share your ideas with fellow training participants and see how long a list of items you can generate.

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## COMMUNITY BASED ORGANIZATIONS (CBOs)

There are several types of CBOs whose missions are directed toward business activities. The following briefly explains the nature of some businesses that Volunteers have found are good partners in implementing CED activities. Whenever possible, consider partnering with existing organizations; it is less risky than starting new ones.

**COOPERATIVES**

Since the early years of the Peace Corps, Volunteers have worked with agricultural and craft cooperatives. Cooperatives form  to provide a common benefit to members, and members share common interests and goals (e.g., an agricultural cooperative, where small farmers can buy seeds, fertilizers, and feed collectively to reduce cost through the benefit of bulk or quantity purchasing). In other cooperatives, members cooperate to market and sell their products. Some cooperatives purchase raw materials and sell members' products. A cooperative business belongs to the people who use it—people who have organized to provide each other with the goods and services they need or sell the products they make.

Members share in the control of their cooperative. Cooperative members meet regularly, elect directors, and review reports themselves. Or as the cooperative grows, the directors hire management to manage the day-to-day tasks for the members. Other cooperative examples are business services, child care, health care, housing, legal and professional services, marketing of agricultural and other products, just to name a few. Cooperatives can be organized to provide just about any goods or services.

**CHAMBER OF COMMERCE**

The U.S. Chamber of Commerce is the world's largest business federation, with affiliates around the world. In several countries Volunteers have been assigned to or worked with local chambers to promote business activities. Chamber of

commerce members benefit from the lobbying efforts on the local, national, and international levels. Members benefit from the discussion of such issues as taxation, litigation, government policy, and the development of a quality workforce. Chambers provide members benefits through advocacy, information, training, consulting, and lobbying efforts. The organization is usually fee-based and provides a forum for its members to work collectively and benefit economically by doing business with each other.

## GUILDS

Guilds are made up of people who represent a significant portion of a commercial or industrial sector, practice the same trade, and seek to cover all products, services, and processes of the trade. Volunteers have worked with some craft guilds. Guild membership is broadly based with both large and small businesses and key players. Guilds are successful in generating funds from membership fees, as well as from sales of services to members and others. They promote cooperation within the sector and between sectors, customers, and suppliers to enhance competitiveness. Guilds provide varied benefits to their members: for example, lobbying for higher wages, better working conditions, improved benefits from employers. The association itself may provide direct benefit to its members through a credit union or health insurance for the self-employed, or training to keep workers current in changes in technology.

## BUSINESS INCUBATORS

Business incubators are a relatively new entity formed to provide an enabling environment for the start-up of small businesses. A few Volunteers in Central and Eastern Europe have been active in working with business incubators. Incubators perform two important tasks within the community. First, they foster local community development; and second, they nurture emerging businesses through start-up periods.

Business incubation is a powerful process of business enterprise development. Incubators nurture young firms, helping them to survive and grow during the start-up period when they are most vulnerable. Incubators provide hands-on management assistance, access to financing, and exposure to critical business or technical support services. They may also offer low rent, shared office services, access to equipment, flexible leases, and expandable space all under one roof. The intent of an incubator program is to produce successful graduates—businesses that are financially viable when they leave the incubator, usually in two to three years. Incubators can thrive in urban, suburban, and rural settings.

## COMMUNITY DEVELOPMENT CORPORATION

A community development corporation (CDC) is a governmental or quasi-governmental agency that lends and invests in companies that locate in their community. They are often affiliated with a local municipality or economic development agency. CDCs review investments as other investors do, but

because of their interest in community development they consider other factors, such as opportunities for employment, assistance for minorities and women, and tax revenue from the business. A business that meets a community's needs can often acquire funding from a CDC when other investors might not be interested, and sometimes at a lower rate and for a longer term. Unfortunately in many of the countries where Peace Corps Volunteers serve, governments do not have the resources to sponsor CDCs.

**COMMUNITY ACTION AGENCIES**

Community action agencies (CAA) had their start in the United States in the 1960s to fight America's War on Poverty. They are nonprofit and public organizations (sponsored by local or regional government organizations). CAAs help people to help themselves achieve self-sufficiency, and work in collaboration with other organizations to help America's poorest of the poor. Today, community action type organizations are found throughout Western Europe and in a few developing and redeveloping countries.

**WOMEN'S BUSINESS ASSOCIATIONS**

Partly as a result of the Peace Corps' Women in Development efforts, Volunteers are active in identifying and working to promote women's business associations. A women's group establishes itself for the purpose of generating income and economic development for its membership. The group may decide to buy a stall in the town's market or begin a craft group. It may also provide classes in bookkeeping, management, or entrepreneurship. The group may form a savings circle or other rotating savings scheme.

## CBOS AND NGOS

At first glance the difference between a community-based organization (CBO) and a nongovernmental organization (NGO) may not be very clear. The major distinction is that a CBO focuses its efforts exclusively on the community and community members. A CBO is a local organization. It may or may not have national or international affiliations. It has a democratic governance structure, and members derive certain benefits. Often the lines between these two types of organizations can be fuzzy. In general CBOs tend to be less formally structured and organized. For example, they may not have boards, they may exist for one purpose, and when that purpose is achieved they may dissolve. In addition, they frequently do not have paid staff. NGOs tend to focus on a "cause," such as children, the environment, or education, and CBOs tend to focus on how to best serve the community.

Both CBOs and NGOs are major players in the CED process. As Volunteers, identifying and recognizing the roles these organizations play in the community is a vital step in implementing CED projects. Each organization has stakeholders that may be the target group or a combination of target groups for a CED project.

ACTIVITY 4:2

THE ROLE OF COMMUNITY-BASED ORGANIZATIONS

Work with other trainees, language instructors, and/or technical trainer to identify five or more types of CBOs that are common in your host country. You may want to conduct individual discussions, take field trips to CBOs, hold panel discussions with CBO members, or talk with Volunteers working with CBOs and their Counterparts; read written materials on the organizations or surf the Internet. Here are some questions to help you learn more about CBOs in your host country.

• How many CBOs can you identify in your training community? Do any of them have national or international affiliations?

• Describe the work of different organizations?

• What kind of contributions could a Volunteer make in these organizations?

• What is the economic focus of CBOs in your community?

• Are there political sensitivities surrounding CBOs in the country? What are the issues, concerns?

• How do most CBOs support themselves?

• Why are CBOs important to the community's development? Do they play a significant role?

• What is/are the local language terms used to describe CBOs?

COORDINATION

Coordination is a process by which two or more organizations work together to accomplish a common purpose or task. The responsibility for the coordination process can be held by an individual or a group, but in cooperation and consultation with all the people concerned. There are many reasons to work in coordination when planning a CED activity:

• Coordination with other groups can minimize the constraints to the project.

• Coordination can assist in taking corrective action when problems are encountered during project implementation.

• Coordination promotes better relationships among key players in the project's process.

• Coordination can assist in the allocation of resources.

For coordination to work, effective leadership is essential. Good leaders inspire confidence, articulate concerns, and create links with other organizations such as banks, government departments, NGOs, private businesses, and donor organizations.

The concept of a society working together for the betterment of all is an ideal worth striving for. Many societies have three distinct sectors: business, government, and the civil sector, or the NGOs and CBOs. For CED to work most effectively these three sectors need to work together.

For example, a community based organization wants to establish an annual craft fair. It needs the cooperation of the local government to provide use of the town square as a fair site, police assistance, and other municipal services. It also would be helpful if local business pitched in and provided banners, helped with advertising, and created sales events that support the fair.

The key to this cooperation is that all participants benefit from their participation. The local government benefits through the promotion of the town and business efforts, which may increase the town's economic and tax base. The business community benefits from the potential increase in customers for restaurants, shops, and other retail outlets. And, of course, the CBO benefits through by an outlet for its crafts and the promotion of its wares.

PARTNERSHIPS

Partnerships with CBOs and NGOs may provide business with returns and produce a wide range of benefits. The range of benefits may be difficult for businesses to measure, but businesses do recognize improvements in such areas as public image, public relations and government relations, customer loyalty, access to new markets, employee morale, and, in some instances, employee retention. Frequently, internationally recognized soft drink companies will provide free drinks at fundraising events, local merchants will advertise

community events in their stores or restaurants, or companies may encourage employees to participate in community events.

Benefits can be tangible and intangible; for example, a sense of community appreciation, charity, or philanthropy. Business may believe that the goodwill created in assisting a CBO is worth the expense of advertising or a banner. The local government may see it as its responsibility to promote local business, and therefore contribute time and effort willingly.

Each organization needs to assess the community and select the best approach for working together. Here are a few ways to build partnerships:

- Develop internal support for the partnership within your organization, whether business, government, NGO, or CBO.

- Create a "business" strategy and a "philanthropic" strategy to assure better outcomes, avoid missteps, and open the way for further cooperation.

- Leverage existing systems and internal structures to enhance the outcomes. For example, engage a sales force or a police force in promoting the communities' efforts, use retail stores, post offices, or major transportation hubs.

- Design a partnership that customers, employees, and community members can support. Develop the partnership in such a way that everyone clearly sees the benefit.

- Create partnerships that will last. Look at the relationship in terms of a long-term investment that will grow and increase benefits to all.

Partnerships at their best are based on the integrity of each organization. The integrity of the organization depends to a great extent on whether or not its members can hold leaders accountable and remove them if necessary. Open systems of sharing information, consulting members, and electing officers are critical, as is an effective system for the control and prevention of corruption. This is as true for a local food cooperative, as it is for a complex organization such as the World Bank. It is not enough for an organization to answer only to those who are inside the organization; they need to answer to a wider audience—their stakeholders.

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Now that we have discussed the various resources available in a community and various ways to cooperate and collaborate, let's take a look at a case study and see how a CBO might help in a real situation.

Discuss how forming a CBO could help the small traders in this story improve their income.

## THE FISH SELLERS

*This story took place in a coastal fishing village. When fish are brought to the shore from the boats every day, three groups come to buy the fish. Women traders, who individually sell the fish from baskets they carry by hand to nearby village markets. Bicycle traders, who carry their fish by bicycle to more distant villages and also sell individually. And big business traders, who come in a large vehicle from the local food processing plant.*

*The fish are sold by auction every day to the highest bidder. When all the fish have been sold, the buyers leave. The women spend many hours waiting to buy the fish and then selling the fish house-to-house or at small markets in their villages. They carry the fish in baskets on their heads. Sometimes three or four women will rent a rickshaw to carry the fish. There are hundreds of houses in the villages where they can sell their fish. If they do not sell quickly the fish will spoil.*

*Many bicycle traders also come to buy the fish, traveling from villages many miles away. They also have very long hours. The traders buy more fish than the women because they can buy on credit. When they buy the fish, they must hurry back to their villages to sell before their competition does. The sooner they get to a village, the higher the price they can get for the fish. But some days they don't sell any fish. They work long hours, and the competition is great.*

*The big business people bring vehicles that keep the fish cold and take them to the food processing plants in a nearby town. They have enough money and credit to buy large quantities of fish. They are also able to buy the best quality fish.*

Think about and discuss with others how it might benefit the women and/or the bicycle traders to form a cooperative. The following questions can be used to facilitate your thinking and a group discussion:

• What services might the cooperative, guild, or a CDC provide?

• What costs would be involved in the operations?

• How might these different types of organizations cover costs?

• How should they be governed?

• What are the advantages and disadvantages to starting each?

• Should the women and/or the bicycle traders organize a cooperative?

• Who could the women or the bicycle traders partner with in the community?

ACTIVITY 4:3

DEVELOPING AND IMPLEMENTING A CED PROJECT

As a group, Trainees and language instructors and/or technical trainers can identify, with the input of local residents, a small CED project within the training site community. The project will have a very short time span, but there are many possibilities. Some examples are: conduct a business seminar, develop a beautification project, or create a short nature path—you decide what is best given your environment. Then plan the project and implement it. Once the project is completed, ask yourselves these questions:

- Was planning the project easy? Were you able to convince the key players to "buy-in"?

- How did your project enhance the economic well-being of the community?

- How did you go about the implementation process? Once started did the project have a life of its own?

- What did you do when the unexpected arose?

- What were your key findings in implementing a project?

- Can you apply what you learned in the future?

*The great thing in the world*
*is not so much where we are*
*but in what direction we are going.*

— Oliver Wendell Holmes

## THE IMPLEMENTATION CHALLENGE

The implementation phase of a project is sometimes the most challenging. You may believe you have the right project, the key players engaged, a great plan in place, and then something happens—the unexpected. Someone gets very sick and cannot participate, there is an election that stirs the pot, or the rains are particularly heavy and all activities are cancelled. You name it; a hundred different things could go wrong, or at least change the implementation process. Unexpected events happen, and community projects are no exceptions. That's where the famed Peace Corps flexibility and adaptability really comes into play—not to mention your creative genius.

The implementation phase can be where the plan meets the brick wall. It's now time to think creatively about how to go under, over, around or at times plow right through the brick wall. The group may need to refine its skills as facilitators or negotiators, or the group may have to speed the project up or slow it down, or a group member may have to take a back seat, or the group may have to find a new leader. The possibilities are endless. Common challenges in implementing CED projects are turf battles; scarce resources; poor communication systems; power relations; differences in rules, regulations, structures, or norms; political indifference; lack of participation; and personal rivalries, just to name a few.

There are no unique or definitive ways to handle changing circumstances, but thinking about probable events and working through how to respond  can help mitigate the problems encountered. One way of working through these challenges is to use if—then scenarios. If a certain scenario occurs, then an appropriate response is taken.

ACTIVITY 4:4

WHAT IF — THEN

Individually, think of a recent situation you had in country where "Murphy's Law" prevailed: anything that can go wrong will go wrong. Then, in a small group start the process by presenting your situation and identifying someone else to provide possible solutions. Keep the process going until all have had a chance to present and solve problems—this can be really funny and light-hearted, and gives a sense of how often things can and do go wrong. It also gives wonderful examples of what we do when Murphy has been busy.

*One's philosophy is not best expressed in words, it is expressed in the choices one makes…In the long run, we shape our lives and we shape ourselves. The process never ends until we die. And the choices we make are ultimately our responsibility.*

— Eleanor Roosevelt

## IT IS NOT JUST THE VISIBLE RESULTS OF CED

When working with a community to implement a CED project the outcomes are important, but that is not all that is important. The project and the process at times can be of equal consequence. The "project" results are certainly important. The results can benefit individuals and the community as a whole; they can have a major impact on people's lives. In addition, there are the "process" results; that is, the development of social capital, which is built in the community and within the group. Social capital is the ability of people to trust each other enough to work together toward an agreed-on goal.

The CED project builds capacity within the community and the organization through the "process" of planning, implementing, and evaluating. Capacity building strengthens the organization's ability to perform specific activities. It is a process that creates leaders, inspires, adapts, and unites the mission and the activities, and finally it is a means to fulfill the organization's and community's goals.

If the group, community, or leader shortchanges the "process" of building capacity or the development of social capital, problems will occur. By looking for the quick fix, relying on limited contacts or unrepresentative leaders, neglecting people's practical skills or the need for a reliable resource base, organizations and communities set themselves up for failure. Too often the quick fix is the Volunteer doing it him/herself.

Take the time, energy, and effort necessary to ensure that the organization, community, and its partners have developed the necessary capacity and social capital. Doing so takes a long-term perspective on the development process and a commitment to the people in the process. Ensuring the balance between product and process will ultimately enable people to work together again and again and again to benefit the community in small and large ways.

ACTIVITY 4:5

PULLING IT ALL TOGETHER

While in your training community think of creative ways you could perform a talent show that depicts all the joys and sorrows of implementing a CED project. The next time all the trainees are together design a skit, create a song or rap, or develop a full-blown drama. Use your own experience and a little imagination—have fun, and enjoy the show.

*Experience is a hard teacher*
*because she gives the test first,*
*the lesson after.*

— Vernon Sanders Law,
American baseball player

## CONCLUSION

Implementation is perhaps the most challenging of all phases in CED. There are no practice runs, no pilot tests, no dress rehearsals. Implementation is the hard road, and at each bend in the road there are opportunities for creativity and ample lessons to be learned. Yet, along the way, the satisfaction of the venture, of implementing a plan, is exhilarating. It is a challenge to coordinate, to create meaningful partnerships, and to develop contingency plans while working with a group that is trying to move in the same direction for the same purpose at the same time. The process can be transforming, and it does build capacity at the individual, organizational, and community levels.

As you work through your community assessment, people will emerge as leaders. They will facilitate groups, informally allowing everyone to voice their concerns and opinions; they will go out and seek the input of others who are not present; and they will be committed to the work of the group, encouraging others to do the same. You will see leaders emerging due to their care, concern, and commitment to the work of the group. Often these leaders have emerged in other ways—from church groups, schools, or community activities—and they are respected by the community. Keep your eyes and ears open, as the leaders are often silently selected.

*To lead the people,*
*walk behind them.*

— Lao Tzu

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## KEY TERMS

Key terms are defined as they are used in this module. A  space  is provided to write the translation of a word or phrase into the local language. Building a local language vocabulary of terms related to CED prepares you to function effectively in this area of development. Work with your language instructors to find the appropriate translation and definitions in the local language and build your technical vocabulary as you study this module.

**Civil society:** organizations between the family and the state characterized by active, diverse, inclusive citizen participation. Political organizations and for-profit businesses are usually not civil society organizations.

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**Community-based organization (CBO):** a local organization (which may or may not have national and international affiliates) with a democratic governance structure that affords its members certain benefits.

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**Implementation:** to fulfill, accomplish, or execute and finish a task, activity, or project.

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**Nongovernmental organization (NGO):** most common international name for an organization formed to help others that is not a government organization or a for-profit business.

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## RESOURCES

These resources are available through the Peace Corps Information Collection and Exchange (ICE). The citations are presented as they appear in *The Whole ICE Catalog*.

> *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. Michael Winer and Karen Ray. (Wilder Foundation.) 1996. 179 pp. (ICE No. CD053)
>
> Gives expert advice on how to establish and operate a successful collaboration, including how to find and attract the right people, build trust, and change conflict into cooperation. Handbook includes numerous worksheets, sidebars, and tips for a successful collaboration.

*PACA: Participatory Analysis for Community Action.* (Peace Corps ICE.) 1996. 350 pp. (ICE No. M0053)

Participatory Analysis for Community Action (PACA) is an approach used to facilitate communities' exploration of their own realities in order to take action for changes they desire. Based on earlier participatory analysis methods, such as Rapid Rural Appraisal and Participatory Rural Appraisal, PACA turns the appraisal activity into a process where the development agent and the community develop a partnership that leads to community control of their projects. As a defining criterion, PACA distinguishes the role of gender in development by applying participatory exercises with separate groups of women and men, girls and boys, which allows the community to compare and analyze together the roles that shape their reality. In similar ways, PACA can be used to understand age, ethnicity, or any other source of societal differentiation that has implications for development. The tools can be used in schools, organizations, institutions, and any other group, rural or urban, where difference voices need to be heard.

*Roles of the Volunteer in Development: Toolkits for Capacity Building.* (Peace Corps ICE.) 2002. 225 pp. (ICE No. T0005)

This unique publication is a series of toolkits that can be separated into seven booklets. The introductory booklet provides an overview of the Peace Corps' philosophy of development, introduces the capacity-building roles that a Volunteer might play, and then provides guidance for Volunteers in identifying what roles they will play. The other six booklets each address one of the roles: Learner, Co-Trainer, Co-Facilitator, Mentor, Change Agent, and Co-Planner. In each booklet, there is a chart delineating the knowledge, skills, and attitudes needed for the role; background readings on the role; and activities. The booklets can be used as self-study, or used in conjunction with training sessions.

*The Art of Teaching Adults: How to Become an Exceptional Instructor and Facilitator.* Peter Renner. (Training associates, Ltd.) 1993. 138 pp. (ICE No. ED181)

[Distribution to Peace Corps In-Country Resource Centers Only]

A revised, expanded version of the *Teacher's Survival Kit*. Addresses the full range of techniques and concepts involved in teaching adults, including the physical setting, learning styles, group process, lectures, case studies, field projects, visual aids, tests, and evaluations.

*Growing New Ventures, Creating New Jobs: Principles and Practices of Successful Business Incubation.* Mark P. Rice and Janna B. Matthews. (Quorum Books.) 1995. 152 pp. (ICE No. SB202)

**Internet:**

www.ncesa.org/html/links.html — National Center for Economic and Security Alternatives

www.uschamber.org — International US Chamber of Commerce

www.ncba.org — National Cooperative Business Association (general information on cooperatives and links to sites)

www.nbia.org — National Business Incubator Association, for North America

www.nacaa.org — National Association of Community Action Agencies

www.ncced.org — National Congress for Community Economic Development

www.worldbank.org — World Bank website with links to all its programs, publications and other international development organizations

www.undp.org — United Nations Development Programme

www.pactpub.com — Participating Agencies Collaborating Together

www.idealist.org — great information and linkages

www.aed.org — Academy for Educational Development–International Development Group

Many of these sites have links to other sites that will be helpful to your work.


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TRAINER'S NOTES

MODULE 4
IMPLEMENTING A CED STRATEGIC AGENDA

**Overview:**

This module provides training participants with the skills and understanding to mobilize community organizations to implement a CED strategic agenda. The importance of working with community-based organizations (CBOs) and all sectors in a community is discussed, along with leadership and the benefits gained from the process as well as more tangible outcomes of a CED project.

**Time to Complete Module:**

Reading                                      1 hour
Activities (vary)—approximation   5 hours

**Materials:**

Flip chart paper, markers, tape, list of CBOs in country, and a list of possible short-term CED projects.

**Preparation:**

Read this module and adapt the materials to the local situation.

If you are conducting community-based training (CBT), create situations where training participants can practice planning and implementing a variety of activities. Provide an opportunity for the training participants to implement a small project at the training location or in their community. This approach also supports the other modules in terms of building participatory approaches to the Volunteers' work in CED.

TRAINER'S NOTES

ACTIVITY 4:1
DIAGRAMMING LINKS BETWEEN ORGANIZATIONS

**Overview:**

Assist trainees and Volunteers in understanding the relationships between community organizations and the cooperation that is needed to implement CED activities.

**Time:** 30 minutes

**Materials:**

None.

**Preparation:**

Identify one or more CED efforts in your country and provide descriptions for training participants to diagram. They may even be CED efforts that Volunteers have previously been involved in. Be prepared to discuss what would motivate the various parties in the community to participate in the CED activity and how a Peace Corps Volunteer might facilitate the effort.

**Debriefing the experience and processing the learnings:**

In the discussion, explore how the community members interested in starting a boot-making cooperative should approach each of the other community players. What are the advantages to each of these players in actively supporting the boot-making cooperative?

Possible answers:

Local government is able to sell some of the equipment that is not being used and also benefits from potential increase in taxes.

Microfinance institution makes a loan to a group (more security than to one individual) that has experience in boot making.

Herdsmen gain a market for some of their animal skins; their families gain income.

Boot makers' families have more income.

Local stores will benefit in sales to boot makers' families and herdsmen's families.

Local residents will have access to quality boots at a reasonable price.

Certainly the community's income will increase by considerably more than the equivalent of $20. Assuming the skins cost $5, the herdsmen's income would increase by $5—the cost of producing the skin. Assuming the herdsmen and the boot makers spend some of their income in the local stores, the store owner's income would increase by that amount—their cost. Assume also that the municipal government spending the money for the equipment and boot forms on local employees salaries, the shopkeeper having an employee, and so on.

TRAINER'S NOTES

ACTIVITY 4:2
THE ROLE OF COMMUNITY-BASED ORGANIZATIONS

**Overview:**

Assist trainees and Volunteers in understanding the various types of CBOs in their host country.

**Time:**

Depends on activities selected by training participants and trainers.

**Materials:**

Gather brochures or written information from CBOs visited, presenters, and other sources.

**Debriefing the experience and processing the learnings:**

After the information is gathered, hold discussions with training participants to ensure that the information they collected is accurate. Discuss any misconceptions. Answer these three questions:

•    What are your key findings?

•    What are the implications when working with CBOs in your country?

•    How can you use this information in future CED efforts?

TRAINER'S NOTES

ACTIVITY 4:3
DEVELOPING AND IMPLEMENTING A CED PROJECT

**Overview:**

Provide the trainee with an opportunity to implement a small CED project. It is not usually possible during a training to develop a CED strategic agenda, identify partners, and plan and implement projects to implement the agenda. A small project will provide the opportunity to practice many of the skills discussed.

**Time:** depends on the project

**Materials:**

Flip chart paper, markers, ideas for a CED project that is appropriate for the site and community.

**Preparation:**

Note: Two or three training participants can conduct a project or they can work in larger groups—it will depend on the size and scope of the project(s).

**Debriefing the experience and processing the learnings:**

Once the projects are completed, ask the trainees the following questions.

• What was your first reaction to some of the ideas generated?

• Was planning the project easy? Were you able to persuade key players to "buy-in"?

• How did your project enhance the economic well-being of the community?

• How did you go about the implementation process? What might you have done differently?

• What did you do when the unexpected happened?

• What are your key findings?

• How might you use this knowledge in your future activities?

TRAINER'S NOTES

ACTIVITY 4:4
PRACTICING WHAT IF — THEN?

**Overview:**

Provide the trainee with the experience in using contingency plans in a fun, creative way.

**Time:** 15–25 minutes

**Materials/Preparation:**

Nerfball or other soft ball.

**Procedure:**

Tell the trainees they will now have some practice in handling other people's problems. Ask the trainees to think about a recent situation in-country where they either experienced or observed that "Murphy's Law" prevailed—anything that can go wrong will go wrong. In pairs, select one real-world problem or story and present the problem or scenario. Once they have presented, the pair throws the nerfball to another pair. Whoever catches it has to offer possible solutions. Then that pair presents their scenario and throws the nerfball to another pair to offer possible solutions. Continue until all the pairs have presented and creative solutions have been offered. This can be truly humorous, so be prepared. You will also hear some very interesting stories!

**Debriefing the experience and processing the learnings:**

•   What creative solutions did you hear?

•   Did you want to add any thoughts?

•   Were you able to communicate your scenario effectively?

•   How busy was Murphy in your group? Do you think he will be as busy at your site?

TRAINER′S NOTES

ACTIVITY 4:5
PULLING IT ALL TOGETHER

**Overview:**

Provide trainees with an opportunity to pull all the information together on CED implementation in a fun and creative way.

**Time:**

Performance is 1 hour with lots of practice

**Materials/Preparation:**

Lots of creativity, a semblance of a stage, some talent, and a cast of good sports.

**Procedure:**

The next time all the trainees are scheduled to gather together, have the group create, plan, and conduct a talent show that highlights all the challenges, hazards, pitfalls, and learning that takes place when implementing a CED project. Trainees can create songs, raps, skits, and full dramas of the process of implementing a project and the learning and transformations that takes place in a group. There is plenty of material, from the CBO to the "if–thens." Have fun and let the trainees' imaginations and experiences run free.

**Debriefing the experience and processing the learnings:**

• Did you have fun?

• Did you learn something?

• What did you learn?

Module 5

# Monitoring and Evaluating a CED Strategic Agenda

MODULE 5

# MONITORING AND EVALUATING CED PROJECTS

## A PEACE CORPS TRAINEE'S STORY

*Peace Corps trainees in the Dominican Republic learn about monitoring and evaluation and perform a valuable service for the Water Sanitation Project at the same time.*

*As part of their Pre-Service Training, trainees visit a village where a previous Volunteer worked with a village water committee to design and install a potable water system. Using a set of predetermined questions the trainees gather monitoring and evaluation information. Examples of the questions: Is the water system still functioning? Is the water committee active in maintaining the system? What problems, if any, has the village experienced with the water system? What changes has the potable water system made in the lives of villagers?*

*This is a creative way one Peace Corps post systematically gathers information on the impact of Volunteer's projects, collects learnings to improve future water systems, and trains future Volunteers in monitoring and evaluation techniques.*

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Monitoring and evaluation have changed over the years. In the past, outside experts were called in to make judgments on the success of projects. Today, participatory monitoring and evaluation (PME) is the preferred methodology—PME involves project stakeholders in the monitoring and evaluation processes.

This module gives an overview of monitoring and evaluation, and explores your role in monitoring and evaluating community economic development (CED) projects. The word project will be used to refer to "programs" and "activities" as well.

By the time you complete the module you should have the knowledge, skills, and attitudes to:

- Distinguish between monitoring and evaluation by giving examples of each.

- Describe the principles, characteristics, and objectives of PME.

- Discuss why PME is important for a project and to a community.

- Discuss and demonstrate the use of three information-gathering methods.

- Explain the role(s) that Peace Corps Volunteers can play in PME.

- Demonstrate how to plan and/or conduct an evaluation.

## HOW ARE MONITORING AND EVALUATION DIFFERENT?

The words *monitoring* and *evaluation* mean different things to different people—the words can be loaded with memories. Some view them as adversarial processes: thumbs-up or thumbs-down judgments. Throughout life we are monitored and evaluated: in school we receive grades, at work we are given performance appraisals, and we evaluate relationships and monitor our health. Although there are more formal definitions of monitoring and evaluation, in the Peace Corps we tend to use no-nonsense definitions**:**

> Evaluation asks the question "Are we doing the right thing" or "Do we have the right plan?" and

> Monitoring checks to see if we are following our plan.

Monitoring is either ongoing or periodic observation of a project's implementation to ensure that inputs, activities, outputs, and external factors are proceeding according to plan. It focuses on regular collection of information to track the project. Monitoring provides information to alert the stakeholders as to whether or not results are being achieved. It also identifies challenges and successes and helps in identifying the source of an implementation problem.

In a CED project the group decides what to monitor. By collecting data regularly on activity inputs and outputs, processes, and results, the community can monitor the progress toward the group's goals and objectives (e.g., income generated by the sale of a cookbook, how many people sold how many books over what period of time). In managing a CED project indicators are indispensable management tools. They define the data needed to compare the actual verses the planned results. Monitoring is useful because it tends to highlight little problems before they become big ones.

An evaluation is a systematic examination of a project to determine its efficiency, effectiveness, impact, sustainability, and the relevance of its objectives. The dictionary defines evaluation as a systematic investigation of the worth or merit of an activity. Traditionally, evaluation has been the last step in the project life cycle and in the project development process. However, it does not make sense to wait until the project is finished to ask the question "Did we do the right thing?" Indeed, you could evaluate the effectiveness at each stage of the project life cycle.

Evaluation is different from monitoring. Monitoring checks whether the project is on track; evaluation questions whether the project is on the right track. Monitoring is concerned with the short-term performances of the project, and evaluation looks more at long-term effects of project goals.

Frequently, evaluation is perceived as an activity, carried out by an expert or a group of experts, designed to assess the results of a particular project. This is a common misconception. It is vital that evaluation is carried out with the

participation of all project stakeholders, including beneficiaries. The results of a periodic evaluation are fed into the project planning process as quickly as possible to enhance the project's effectiveness.

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## A LEARNING MOMENT

Think about a time when you were involved in an evaluation process. What kind of evaluation was it? What was the evaluation trying to find out? Was the evaluation participatory? Did the information gathered and reported get used?

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## EVALUATION MODELS AND APPROACHES

The monitoring and evaluation process has gone through various stages of development. In the early 1900s, evaluation was measurement oriented, and its approach was scientific. Tests were used to measure progress, time and motion studies were conducted, and the role of the evaluator was technical, as the provider of instruments for measurement. As evaluation progressed it centered on describing the achievement of objectives and the analysis of a project's strengths and weaknesses. The evaluator then moved into the role of judge and added judgment to the process of evaluation. Today, there is a major shift away from the evaluator as a technical expert, judge, measurer, and describer to that of the evaluator as a facilitator. The shift includes the stakeholders as key participants in the process and the evaluator as orchestrator of the process. Stakeholders, then, are the judges, measurers, and describers; they participate in the design, implementation, and interpretation of the results. Stakeholders are viewed as participants rather than objects of a study.

CED leadership often presumes that there is only one proper way to carry out an evaluation. However, there is no single, correct approach to evaluation. Indeed, several different models and approaches exist, each with its own strengths and weaknesses. We first look at a goal-oriented evaluation and then a learning process approach. For both of these we recommend the PME approach to evaluation, which is gaining recognition as a means of counteracting negative perceptions of the evaluation process.

**GOAL-ORIENTED EVALUATION**

In this model, the evaluator assesses progress toward the specified goals and objectives of a project and the effectiveness of the process used. In this instance, the evaluator asks the following question: "To what extent have project goals and objectives been achieved?" Primarily it is quantitative information that is collected to verify the number of activities and objectives accomplished. This approach is frequently carried out by program managers and/or outside

consultants who are considered experts in the field of evaluation. This is the most common type of project evaluation. The success of this type of evaluation depends on a clearly written project plan. When the plan is unclear it is difficult to determine to what extent the goals and objectives were achieved.

**LEARNING PROCESS APPROACH**

In this model, the evaluation activities are concerned not only with the extent to which the planned activities are carried out but also with how they are being carried out. In this approach, mechanisms are developed to help program staff learn from both the successes and challenges of implementing the activities to improve the program in the future. Both quantitative and qualitative information are gathered. Based on the information gathered, lessons learned are formulated and then fed into the project planning process. The evaluators act as facilitators of the process, and the stakeholders provide the knowledge.

**PARTICIPATORY MONITORING AND EVALUATION (PME)**

The concept of participatory evaluation has gained recognition in recent years, primarily to counter the idea of dispassionate, external critiques of projects, which are perceived as overlooking the ideas and feelings of project stakeholders. It should be recognized, however, that no evaluation that alienates and ignores project stakeholders is likely to succeed. Thus, in a sense, all evaluations must be participatory, or at least inclusive, to be successful.

PME values and recognizes the contribution of the community and empowers it to become more involved in CED. In monitoring, consider these questions: Is the project on time? Within budget? Is the number of people served on target? In evaluation, consider: Is this the best plan? Should we change the plan? Monitoring and evaluation do not happen after the project is underway or finished; the process begins in the project-planning phase.

**When planning a PME consider the following:**

- Why are we monitoring and evaluating?

- What specifically will we monitor and evaluate?

- When should the project be evaluated?

- When—how frequently will we gather information and feedback?

- What are our indicators? Objectives written in measurable terms help define indicators.

- How will we gather monitoring and evaluation information? What methods will we use?

- Who will be responsible for the monitoring and evaluation tasks?

- What questions are we seeking to answer?

**Some principles of PME are:**

- Involve project stakeholders;

- Involvement is vital to participation;

- Keep the process and approach simple;

- Learn from the process;

- Include key findings, insights, and understanding in future projects.

**The characteristics of PME are:**

- Draws on local resources and capacities;

- Recognizes the innate wisdom and knowledge of the community;

- Demonstrates that the community is creative and knowledgeable about its environment;

- Ensures that stakeholders are part of the decision-making process;

- Uses facilitators who act as catalysts and who assist stakeholders in asking the right questions;

- Contributes to improved communications between project participants and key stakeholders at different levels in the project implementation process.

**The goals of PME are to:**

- Analyze the successes and challenges of the project;

- Measure the progress in meeting the project goals, objectives;

- Review the strategies and timelines;

- Assess the impact of the project on the individuals and community;

- Develop recommendations for improvement based on lessons learned;

- Create a common understanding of the project objectives, timelines, and deliverables for all stakeholders.

Two alternatives exist for conducting a participatory evaluation:

1. An external evaluation facilitator may be employed to drive the evaluation process. In this instance, the evaluation team is made up of a combination of external and internal evaluators. Sometimes a Volunteer serves as the external evaluation facilitator and organizes the evaluation process.

2. The entire evaluation can be steered and carried out by the project staff and beneficiaries.

Participatory evaluation has certain strengths as well as weaknesses. Strengths include: It is less threatening; it is possible to get to the deeply held thoughts of staff and beneficiaries and it gives staff a clearer picture of the work they do. Weaknesses include: It is disruptive and time-consuming; it is difficult for staff and beneficiaries to be objective about their project; and, if the project is experiencing major tensions and problems, it will be difficult to extract useful insights and information from staff members.

From the view of the Peace Corps, a major strength of PME is its potential for building the capacity of staff and beneficiaries. PME promotes self-confidence, self-esteem, and independence within the community and it helps build project ownership.

ACTIVITY 5:1

THE ROLE OF THE VOLUNTEER IN MONITORING AND
EVALUATION

What role can a PCV play as a member of a core group in monitoring and
evaluating a CED project? Reflect on the following questions.

- What impact could your involvement in monitoring and evaluation have on
  a community group? What skills can you bring to the group?

- How could the monitoring and evaluation process help the group? What
  value can it provide?

- Who might play the lead role in the process? Why?

- What are the advantages of having the community involved in the
  process? Are there disadvantages?

- What can the participants learn from the experience?

Once you've reflected on your role, discuss these questions with other training
participants, language instructors, technical trainers, and Peace Corps staff.

## EVALUATION TECHNIQUES AND TOOLS

If you have a well-written project plan with clear goals and objectives, if you have implemented the project, and if you have decided what type of evaluation to use and what types of questions the evaluation needs to answer, it is time to identify indicators that will help the evaluation team answer the evaluation questions. The next steps are to gather the information, analyze information collected, and, finally, report the results. This section of the module provides some tools and techniques to help you through the evaluation steps. We start with identifying indicators.

**INDICATORS**

In a successful CED project, clearly defined indicators are essential for accurately and realistically measuring progress toward the group's goals and objectives. Remember that projects include both process and product results, and therefore indicators are needed for both.

Indicators vary from project to project. They include many tangible factors: signs posted, trails blazed, seminars held, knowledge gained. They also include indicators of the capacity-building process: developing new leadership, enhancing the group's public speaking skills, developing more group facilitators, etc. The indicators are determined by the objectives established in the project. The key is that all process indicators have elements of participation and capacity building.

| **Examples of Product Indicators** | **Examples of Process Indicators** |
|---|---|
| Town market erected and open. | A market association established and new leadership formed. |
| Computer center open eight hours a day and five computers busy and working. | Training available and technicians able to troubleshoot easily. |
| A business newspaper is published four times a year—advertising has increased by 10 percent. | Increase in the awareness of what CED is and the impact on the community. |
| Attendance at community fair or festival. | Number of people who volunteer has increased from last year. |
| Organized and conducted five business seminars. | Number of participants who return to other seminars and bring friends or colleagues. |

Indicators organize your thinking in terms of what type of information is important to whom and why. Indicators also organize thinking in terms of

capacity building, project accomplishments, and lessons learned. It is important to keep the number of indicators to a minimum, keep the indicators simple and relevant to the project objectives, and focus only on the information needed to solve problems and identify successes.

## ACTIVITY 5:2

## DEVELOPING INDICATORS

Choose five of the CED projects listed on the below and develop two indicators for each. Try to develop both product and process indicators. When you've completed the task, share your indicators with other training participants and discuss the following questions:

•    Which product or process indicators were the easiest to write?

•    Did you repeat an indicator in any of the projects?

•    What information was missing?

•    What process would you use to develop indicators in a participative way?

•    How would you go about ensuring that the group was involved?

•    What information-gathering methods might you use for the indicators you selected?

Continued

Activity 5:2, continued

## CED PROJECT IDEAS

| | | |
|---|---|---|
| Start a business newspaper. | Develop a market area. | Design new signs for your town or community. |
| Provide job training for local business employers. | Create a program to attract new businesses to your community. | Establish a trade fair to showcase local products and produce. |
| Start a computer learning center. | Establish a computer resource center. | Organize a village bank or credit union. |
| Create an art exhibit featuring local artisans. | Begin a career day for businesses and schools. | Renovate Main Street. |
| Create a CED educational program for the community. | Conduct a "gap" analysis for retail stores in your community. | Begin a farming cooperative. |
| Establish a continuing education center. | Promote and create awards for the best business practices. | Start a recycling program in your community. |
| Build a community historical trail. | Start a natural trail, walkway, and exercise path. | Organize a 5K race for your village or town. |
| Begin a community housing project. | Organize an apprenticeship program between students and artisans. | Build sidewalks in the town shopping area. |
| Establish a town business association. | Organize monthly business seminars. | Conduct a consumer expenditure survey. |
| Form a block watch group. | Develop an annual "sales" event for local businesses. | Develop a local cookbook to be sold as a fundraiser for a CED project. |
| Start a community beautification project. | Begin a local junior achievement program. | Open a senior center and/or daycare center. |
| Sponsor a progressive business dinner. | Assist schools in setting up canteens. | Build a sports field. Organize sports leagues. |
| Create a community business directory. | Start a food cooperative for the community's needs. | Begin to "bulk" buy products, such as fertilizers, seeds, etc. |
| Hold block parties. | Start a community festival. | Begin a community alumni association. |

## INFORMATION-GATHERING METHODS

Evaluation information gathering needs to be efficient and cost-effective. The list that follows is not all-inclusive. At times, you will need to think of creative ways to gather information. One Volunteer was able to determine the results of a nutrition project to encourage families to grow and eat spinach by asking schoolchildren how many of their mothers had served spinach to the family in the last week. She incorporated the spinach question into health classes she taught at the school.

**COMMUNITY MEETINGS**

Equipped with well-thought-out questions the CED project team conducts the first community meeting. Provide the participants with a brief presentation on the scope and purpose of the meeting. Take a few questions from the group to clarify the meeting. Decide how many small groups you will need and who will facilitate them. Then break the community into small groups for discussions, using the questions as a guide. After a specified period of time, reconvene the large group. Ask each small group to present their findings using flip charts. Decide how to end the meeting. It is important to explain what will be done with the data gathered. Also, let the stakeholders know how they can involve themselves further and how they can get a copy of the final report or action plan and/or a list of the lessons learned. Here is a list of the pros and cons of using this method.

**Pros:**

- Inclusive, interested community members can attend.

- Community ownership of the project is broadened.

- When a wide variety of people are involved, it provides a "reality check" for views and recommendations.

**Cons:**

- Community conflicts may develop and go unresolved.

- It may be difficult to bring closure to the meeting.

**OBSERVATION**

Seeing and listening are the key words in defining observation. As a monitoring and evaluation tool, observation means viewing the results of a project or participating in some project activities. Observation can be obtrusive or unobtrusive. Because observation is fairly simple and a natural part of field experiences, it is often overlooked as a monitoring and evaluation method.

**Pros:**

- Easy to do, requires minimal preparation.

- Tends to be holistic; many factors and influences are taken into account.

- Aids in identifying unintended as well as intended project outcomes.

**Cons:**

- Depends heavily on perceptiveness of observers and their biases.

- People may change their behavior if they know they are being observed.

### QUESTIONNAIRES

A questionnaire is a set of printed questions organized in a systematic way for the purpose of eliciting information from the respondents. A CED questionnaire may be developed to gauge the community's response to a new market; another might to measure the interest of farmers in starting a cooperative. Questionnaires are often seen as a self-report mechanism, although questionnaires are used in personal or telephone interviews.

**Pros:**

- Questionnaires are relatively inexpensive to administer since they can be completed without an interviewer.

- The questions are standardized so each person is asked the same questions in the same way.

- Questionnaires allow for more privacy, particularly if distributed by mail.

- Well-designed questionnaires are easily tabulated.

**Cons:**

- Questionnaires are overused; people are tired of filling them out.

- Illiterate people cannot use questionnaires without assistance.

- The response rate is low.

- There is little opportunity to verify people's responses.

### SECONDARY OR PREEXISTING DATA SOURCES

Varying widely, this information can take the form of quantitative data (e.g., a group's earning history, the number of meetings held, or projects completed), or it can be past evaluations or project plans. Review this information and the documentation that is available for history patterns, changes, and trends.

### INTERVIEWING

Interviewing, or conversation, is the oldest and most respected method of gathering information. Interviewing styles range from informal and conversational to closed and quantitative. The objective in all cases is to provide a framework for interviewees to express themselves. There are various types of interviews with different styles and purposes. Interviewing provides the richest source of data in the shortest time. The interview is more reliable than any other form of information gathering from individuals because of the face-to-face communication. Interviewing is a skill, therefore basic training is important.

In interviewing, the primary tool for collecting data or information is the question. There are different types of questions that elicit different types of responses. Certain types of questions are more appropriate for in-depth interviewing than others.

**Closed questions** provide finite responses, either yes or no or quantitative information (use should be limited). For example:

How many participants did you have at the seminar?

**Leading questions** lead interviewees to the answer you would like to have (avoid these types of questions). For example:

Would you agree that everyone thinks the CED project was a great success?

Would you say that all community members appreciate the historical trail?

**Double-barreled questions** ask two questions at one time (should also be avoided). For example:

Did the community group successfully organize a business newspaper and involve students in the process?

**Open-ended, probing, and follow-up questions** elicit the most information from the interviewee and allow the free flow of information (use this type of question extensively).

What are your impressions of the CED project?

Why do you think it was effective or ineffective?

What do the others in the group think about the project?

Take time to develop good questions that lead the interviewee to relate the challenges and success of the CED project. Unlike a questionnaire, which is fairly rigid, interviews are more flexible. For example, during an interview, if a stakeholder does not understand one of the questions, the interviewer can reformulate the question until the meaning of the question is clear. Many times the interviewer will ask additional probing and follow-up questions to assure that precise and detailed information is gathered. The aim of the interview is to collect information that answers the monitoring or evaluation questions. The interview is a tool in the PME process that the interviewer can use in flexible and creative ways.

## DATA ANALYSIS

The value or strengths of a project are often revealed through analysis. Analysis is the process by which you divide the whole into component parts—who, what, where, when, how, why—to determine the nature and function of, and relationship between, the parts. The collection and analysis of information is necessary to improve the planning and implementation of a project, improve decision making, learn from experience, and provide accountability and transparency in a project.

The central questions in analysis are:

| | |
|---|---|
| What happened? | Who did it happen to? |
| Why did it happen? | When did it happen? |
| How did it happen? | Where did it happen? |

In PME there are lessons learned on at least two levels. The project participants learn lessons as they evaluate their own progress; and the monitoring and evaluation team learns lessons about the project as well as the evaluation process. For example, the monitoring and evaluation team may learn how to reduce facilitator dominance in sessions, and which kinds of questions evoke a participatory response and which ones do not, as well as how to improve the project.

**ANALYZING QUANTITATIVE DATA**

There are many approaches to the analysis of information, from quantitative to qualitative and from simple to complex. In most cases simple is the best option. The simple option relies on the straightforward arrangements of numbers and other indicators along a timeline using simple mathematical operations. It also uses the common sense and experience of the people involved in the evaluation.

Most quantitative indicators will generate numbers that can be analyzed in a few ways:

- By noting their direction up or down over time.

- By using simple statistics, such as means or averages.

- By determining what percentage of a whole certain factors represent.

For example, sales went up in the months of November and December this year, the average attendance at the monthly meetings has increased over the past six months, and the number of participants in the seminars has increased by 15 percent this year.

**ANALYZING QUALITATIVE DATA**

The main technique for analyzing qualitative data is content analysis. Through content analysis of the information collected, conclusions are formed for each of the evaluation questions. Analysis involves identifying the categories of responses in the data.

For example, information was gathered through an interviewing process on a project that started a business newspaper. The categories of responses may be the length of the paper, the advertising, the quality of the articles, or the topics of the editorials. By developing the categories and recording responses you begin to develop an understanding of what is important to the stakeholders, what is working, and where some change needs to take place.

**THINGS TO REMEMBER**

While analyzing and interpreting quantitative and qualitative data, be careful to avoid the following pitfalls:

• Do not assume that the project is the only cause of positive or negative changes. Several factors, some of which are unrelated to the project activities, may be responsible for changes in the project's participants or in a community. It is usually not possible to isolate impacts. The evaluation report should at least acknowledge other factors that may have contributed to change.

• Do not forget that the same evaluation method may give different results when used by different people, or with different groups, or that respondents may tell the evaluator what they believe he or she wants to hear. For example, two interviewers may ask the same questions but receive different answers because one was friendlier or had more patience than the other. Real problems or difficulties may be ignored or hidden because people want the project to succeed or appear to be succeeding.

• Do not choose the wrong groups to compare, or try to compare groups that are different in too many ways. For example, gender, age, race, economic status, and many other factors can all have an impact on project outcomes. If comparisons between groups are important, try to compare those with similar characteristics.

• Do not claim that the results of a small-scale evaluation also apply to a wide group or geographic area. The evaluation report should reflect only the data analyzed.

## ACTIVITY 5:3

## CONDUCTING AN EVALUATION

Use the following case study:

*As a Volunteer you are working with a group of craftspeople who produce baskets, linen, dresses and many other items. One of the challenges the craftspeople face is that the local and regional communities are unfamiliar with their work and their products. The group decides to hold a craft fair. The local government has given its blessing and is providing assistance, the local business merchants are participating, and even the schools are pitching in with volunteer assistance. There is an advertising plan, and all craftspeople are busy working on different committees. You are assigned to the monitoring and evaluation committee. Along with your group members, design a plan to monitor the fair's preparation and evaluate the fair once it is completed.*

In pairs, design a monitoring and evaluation plan for the craft fair. Use your imagination and the tools you have learned in this module. Once you have developed the plan, present it to the rest of the group and ask them to provide feedback. As you are developing your plan think through the following questions:

- Is the monitoring plan simple? Does it cover all aspects of the project?

- Does the evaluation plan ask key questions?

- Are there relevant indicators?

- Is it appropriately timed?

- Is the process participatory, does it engage people?

## REPORTING EVALUATION RESULTS

For years, project accountability most often was centered on how funds were spent; financial reporting was considered adequate. The next generation of reporting included reporting on programmatic aspects: who received services, how many people got services, and what activities beneficiaries participated in. These indicators measured implementation and outcomes.

Financial and programmatic reporting provided a clear picture of what was done, but did not answer questions such as what difference the project made in the lives of participants and the community. Today, many CED stakeholders, including municipal managers and funders, want to know "what happened, what changed because the activity took place." This higher level of reporting, impact reporting, is more ambiguous and difficult to measure, and therefore more costly in time and money.

**Impacts**

(So what?)

**Outputs**

(What got done?)

**Inputs**

(Resources)

**Concept Planning**

(Opportunities/needs and proposed interventions)

You may ask, "Why bother with impact reporting?" Because policymakers, agency boards, foundations, and citizens want to know, "What difference did a project make?" But more important, impact reporting leads to better project management because it focuses organizations on "what difference the projects make." And, with impact data, you can demonstrate the credibility and effectiveness of your projects and therefore your organization. The focus is on the purpose of the project—on the desired changes resulting from the project.

## WHY MONITOR AND EVALUATE?

Experience in the development community over the past 10 to 15 years has shown that participatory evaluation improves project results. Listening to those most closely involved in the project and learning  why the project is or is not working is critical in making improvements. In addition, the more involved people are in all aspects of the project, including the monitoring and evaluation process, the more ownership they have in the project and the more committed they are. The involvement of the group in such activities as formulating key questions, collecting data, analyzing the data, providing recommendations, and planning activities will improve the project and its outcome. It also provides a

common framework and opportunity to act on the knowledge gained in the evaluation process.

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## KEY TERMS

Key terms are defined as they are used in this module. A  space  is provided to write the translation of a word or phrase into the local language. Building a local language vocabulary of terms related to CED prepares you to function effectively in this area of development. Work with your language instructor to find the appropriate translation and definitions in the local language and build your technical vocabulary as you study this module.

**Criteria** are standards on which a judgment or decision may be based.

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**Empowerment** is to enable people to make choices.

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**Evaluation** is a systematic examination of a project to determine its efficiency, effectiveness, impact, sustainability, and the relevance of its goals and objectives.

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**Goal** refers to the target of a project or program, the aim of which is economic, social, and/or political. It may be identified trough qualitative and behavioral criteria.

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**Impact,** in evaluation, refers to the changes that result in people's lives as a result of projects.

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**Indicators** are an explicit and objectively verifiable measure of the project or program's results.

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**Input** includes the resources, funds, personnel, and materials of a project that are necessary to produce the intended output.

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**Monitoring** is ongoing or periodic observation of the implementation of a project to ensure that inputs, activities, outputs, and external factors are proceeding according to plan.

**Objective** refers to the predetermined aim or target of a project or program. Objectives should be observable, measurable, and time bound.

**Participatory** refers to the processes in which people are encouraged to share and cooperate.

**Reliability** is the degree to which a measurement or instrument can be depended on to give consistent results.

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## RESOURCES

These resources are available through the Peace Corps Information Collection and Exchange (ICE). The citations are presented as they appear in *The Whole ICE Catalog*.

> *PACA: Participatory Analysis for Community Action.* (Peace Corps ICE.) 1996. 350 pp. (ICE No. M0053)
>
> Participatory Analysis for Community Action (PACA) is an approach used to facilitate communities' exploration of their own realities in order to take action for changes they desire. Based on earlier participatory analysis methods, such as Rapid Rural Appraisal and Participatory Rural Appraisal, PACA turns the appraisal activity into a process where the development agent and the community develop a partnership that leads to community control of their own projects. As a defining criterion, PACA distinguishes the role of gender in development by applying the participatory exercises with separate groups of women and men, girls and boys, which allows the community to compare and analyze together the roles that shape their reality. In similar ways, PACA can be used to understand age, ethnicity, or any other source of societal differentiation that has implications for development. The tools can be used in schools, organizations, institutions, and any other group, rural or urban, where different voices need to be heard.

*Roles of the Volunteer in Development: Toolkits for Capacity Building*. (Peace Corps ICE.) 2002. 225 pp. (ICE No. T0005)

This unique publication is a series of toolkits that can be separated into seven booklets. The introductory booklet provides an overview of the Peace Corps' philosophy of development, introduces the capacity-building roles that a Volunteer might play, and then provides guidance for Volunteers in identifying what roles they will play. The other six booklets each address one of the roles: Learner, Co-Trainer, Co-Facilitator, Mentor, Change Agent, and Co-Planner. In each booklet, there is a chart delineating the knowledge, skills, and attitudes need for the role; background readings on the role; and activities to learn more about and gain skills in carrying out the role. The booklets can be used as self-study, or used in conjunction with training sessions.

*Participatory Program Evaluation: A Manual for Involving Stakeholders in the Evaluation Process.* Judi Aubel. (Catholic Relief Services/Peace Corps ICE.) 1995. 70 pp. (ICE No. R0094)

[Distribution to Peace Corps In-Country Resource Centers Only]

A manual originally produced for Catholic Relief Services staff to improve its maternal and child health programs, but useful in evaluating any project. In an easily understood format, outlines all the steps that need to be followed in planning and conducting a participatory program evaluation. Includes a list of references.

*Participatory Evaluation: A Users Guide*. Jacob Pfohl. (PACT.) 1986. 81 pp. (ICE No. SB146)

Based on a USAID/Sri Lanka-sponsored workshop for private agencies collaborating to improve monitoring and evaluating capabilities. Perspectives provided by the participants are presented with the aid of illustrations, pie charts, evaluation design worksheets, etc. Discusses how to establish a purpose for evaluation; think through a plan to gather information; and learn how to analyze, interpret, and use information. Concludes with a detailed training outline based on methods described. Designed to give sufficient and flexible guidance so that individual organizations can adapt these guidelines to meet their specific evaluation needs.

*Partners in Evaluation: Evaluating Development and Community Programmes with Participants*. Marie-Therese Feuerstein (Macmillian Publishers Ltd.) 1986. 196 pp. (ICE No. TR055)

A hands-on evaluation guide for laypersons or community organizers who are not experts in research and evaluation. Written in a straightforward manner, using common terms to explain complicated concepts. Topics addressed include understanding evaluation, planning and organizing resources, using records and existing data, employing

methods, and using results. Illustrated with line drawings and photographs. Layout is in outline form for easy reference. A valuable working manual for field workers and Counterparts alike.

*Self-Evaluation: Ideas for Participatory Evaluation of Rural Community Development Projects.* Jim Rugh. (World Neighbors.) 1986. 42 pp. (ICE No. TR059)

Intended to help administrators of rural community development projects evaluate their projects more effectively. Explores why, when, what, and how to evaluate. Defines and explains the use of such tools as recording keeping (especially for farmers), survey forms, and community meetings.

**Internet:**

www.mande.co.uk/news.html — A news service focusing on developments in PME methods relevant to development projects.

www.info.usaid.gov/pub/r4workshop/MONITOR8/ — USAID's website for monitoring and evaluation—lots of good information.

www.worldbank.org — World Bank website with links to all its programs and publications and other international development organizations

www.undp.org — United Nations Development Programme

www.idealist.org — great information and linkages

Many of these sites have links to other sites that will be helpful to your work.

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TRAINER'S NOTES

MODULE 5
MONITORING AND EVALUATING CED PROJECTS

**Overview:**

To provide trainees/Volunteers with the knowledge and skills to carry out an effective participatory monitoring and evaluation (PME) process for CED projects.

**Time to Complete Module:**

| | |
|---|---|
| Reading | 1 hour |
| Activities and debriefing vary | 10 hours (max.) |

**Materials:**

Flip chart paper, markers, and tape.

**Preparation:**

Read this module and adapt materials and activities to the local situation.

If you are conducting community-based training (CBT), create situations where trainees can practice monitoring activities. If the trainees planned a small project in and with their community, ensure that monitoring and evaluation are a part of the process. (This approach supports the other modules in terms of building participatory approaches to the Volunteers' work in CED.)

TRAINER'S NOTES

ACTIVITY 5:1
THE ROLE OF THE VOLUNTEER IN MONITORING AND
EVALUATION

**Overview:**

To provide trainees with an opportunity to reflect on their role in monitoring and evaluating CED projects.

**Time:** 1 hour

**Materials:**

Ensure that trainees and Volunteers have a copy of the questions listed below, flip chart, markers, and tape.

**Preparation:**

With the Peace Corps programming and training staff, think through key points trainees need to understand their role(s) in PME in a CED project. Each country has its own unique concerns, issues, and challenges. Some examples might be:

• Gathering information and doing an evaluation without direct permission from a central or local authority.

• The skill level of the target group.

• The level at which Volunteers work and/or the political ramifications.

Discuss with the Peace Corps staff their concerns so that they are brought out in the discussions with trainees. You may want to invite the country director and other Peace Corps staff to this session.

**Activity for center-based training:**

Ask the trainees to think about the role(s) they play in the PME process of a CED project. Ask them to focus specifically on the evaluation process. Ask each trainee to write responses to the following questions:

• What impact could your involvement in monitoring and evaluation have on a community group?

• How could the monitoring and evaluation process help the group?

• What skills can you bring to the group?

• Who might play the lead role in the process? Why?

Trainer's Notes, Activity 5:1, continued

- What are the benefits of having the community involved in the process?

- What is the value?

- Are there disadvantages to the community's involvement?

- What can the participants in the process learn from the experience?

Once the trainees have answered the questions, break into small groups and come to a consensus on the role a Volunteer should play in evaluating CED projects. Ask each small group to write down their findings on flip chart paper and report to the larger group. See if the larger group can also come to a consensus.

Note: If you conducted the role activity in other modules, make those flip charts available. The trainees will see their roles emerging in many aspects of a CED project.

**Debriefing the experience and processing the learnings:**

- What was said in this exercise that particularly struck you?

- What were some of the differences and similarities about the Volunteer's role within your group?

- What did you discover?

- How might you apply the information at your site?

TRAINER'S NOTES

ACTIVITY 5:2
DEVELOPING INDICATORS

**Overview:**

Provide trainees with an opportunity to practice using evaluation indicators.

**Time:** 1 hour

**Materials:**

Paper and pens for trainees and the list of CED projects. Flip chart paper, markers, and tape.

**Preparation:**

Ask each trainee to develop two indicators for five of the CED projects listed in the table. When the trainees have completed the task, ask them to form small groups. In small groups share the indicators and discuss the questions below. Ask the trainees to write their responses on a flip chart and present them to the larger group.

**Debriefing the experience and processing the learnings:**

Discuss the following in the debriefing:

• Were the indicators easy to develop?

• Did you repeat any indicators?

• What information was missing?

• List ways or methods to develop indicators in a group process?

• List information-gathering methods you could use?

TRAINER′S NOTES

ACTIVITY 5:3
CONDUCTING AN EVALUATION

**Overview:**

Provide trainees with the opportunity to plan a PME process.

**Time:** 1 1/2 hours

**Materials:**

Copies of the case study, paper, pens, flip charts, markers.

**Preparation:**

As a trainer go through the case study yourself in preparation for the presentation to the trainees.

Use the following case study:

*As a PCV you are working with a group of craftspeople who produce baskets, linen, dresses and many other items. One of the challenges the craftspeople face is that the local and regional communities are unfamiliar with their work and their products. The group decides to hold a craft fair. They have the blessing and assistance of The local government has given its blessing and is providing assistance, the local business merchants are participating, and even the schools are pitching in with volunteer assistance. There is an advertising plan, and all craftspeople are busy working on different committees. You are assigned to the monitoring and evaluation committee. Along with your group members, design a plan to monitor the fair's preparation and evaluate the fair once it is completed.*

Ask the trainees to form small groups and design a monitoring and evaluation plan for the craft fair. Ask them to use their imaginations and the tools they have learned in this module. Once they have developed the plan, ask them to present it to the rest of the group and provide feedback. Remind the group of the guidelines for feedback.

Continued

Trainer's Notes, Activity 5:3, continued

**Debriefing the experience and processing the learnings:**

When critiquing the plans think through the following questions:

• Is the monitoring plan simple? Does it cover all aspects of the project?

• Does the evaluation plan ask key questions?

• Are there relevant indicators?

• Is it appropriately timed?

• Is the process participatory; does it engage people?

• What were the common threads in each group's presentation?

• What were the keys to participation?

• Were you easily able to distinguish between monitoring and evaluation?

• How might you use this exercise in the future?