

CAPACITY BUILDING TRAINING FOR CATCHMENT MENTORS (CHAMPIONS)

LEADERSHIP AND FACILITATION SKILLS MODULE 2

SECTION 2: LEARNERS GUIDE

**Integrated Water Resources Management
Strategies, Guidelines and Pilot Implementation in Three Water Management Areas,
South Africa**

**Department of Water Affairs and Forestry
South Africa**

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THIS WORKBOOK BELONGS TO:

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HOW TO USE THIS MANUAL

This manual provides an introduction to **Leadership and Facilitation Skills**. It provides the participants with the necessary information to enable them to promote participation of all the relevant stakeholders and to facilitate the stakeholder interaction in the process. In addition, the participants will acquire the necessary skills to develop appropriate participative structures and to maintain the momentum and direction of Community Based Organisations, as well as community initiatives and interests. The participants will be able to ensure participatory and informed decision-making and facilitate the extension of community-based services where necessary. All of this information is given within the framework of IWRM, the forum activities and Catchment Management Institutions.

The participants are advised to peruse the information contained in this manual, and actively participate in all the exercises. The participant should make notes on this manual, as needed, in the wide right margin of each page.

In addition, the results of the various exercises must be verified with the information in this manual.

You must make sure that you understand the work presented in the notes and never hesitate to ask questions.

We hope you will enjoy this course and gain much from it.

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LEADERSHIP AND FACILITATION SKILLS – MODULE 2

1. DEVELOP OPEN LEADERSHIP IN CATCHMENT RELEVANT INSTITUTIONS

1.1 WHAT IS LEADERSHIP?

Leadership is not static: it moves from person to person according to the situation and the task at hand. Leadership is not a position but a natural, ever-changing response to situations within a group.

Leadership is the ability to influence others. It is any kind of behaviour that helps the group towards its goals, and a leader is any person who influences the group in this way.

Sometimes one or more members of a group become leaders by assuming leadership roles. There is a difference between being appointed a leader and exhibiting leadership qualities. When you function as the appointed leader, you have been given the authority by an outside force to exert your influence within the group. When you simply act as a leader, without being appointed to do so, you achieve leadership, that is, you automatically perform those rules that help a group to reach its goals.

Such leaders help establish a group climate that encourages and stimulates interaction; they make certain that an agenda is planned for a meeting; they take responsibility for ensuring that group communication proceeds smoothly. When group members get 'off the track', it is this type of leader who asks relevant questions, offers internal summaries and keeps the discussion going.

But where does leadership ability come from? Why do some people exert more leadership than others? Why are some people more effective leaders than others?

1.2 LEADERSHIP TRAITS AND SKILLS

The earliest view of leadership was the trait theory, which maintained that leaders were people who were born to lead. People tried to predict certain traits that would indicate whether an individual would or would not become a leader. However, personality traits are not the alpha and omega. It seems that no set of characteristics is common to all leaders; leaders share many of the same characteristics and the situation one finds oneself in appears to determine the individual who comes forward to exert leadership.

More recently, leadership has been viewed in light of what effective leaders *do* rather than who they are. The following skill areas were listed:

❖ Skills of personal behaviour.

The effective leader

- Is sensitive to feelings of the group.
- Identifies himself with the needs of the group.
- Learns to listen attentively.
- Refrains from criticising members' suggestions.
- Helps each member feel important and needed.
- Should not argue.

❖ Skills of communication.

The effective leader

- Makes sure that everyone understands not only what is needed but also why it is needed.
- Makes good communication with the group a routine part of the job.

❖ Skills in equality.

The effective leader recognises that

- Everyone is important.
- Leadership is to be shared and is not a monopoly.

❖ Skills of organisation.

The effective leader helps the group

- Develop long-range and short-range objectives.
- Subdivide big problems into small ones.
- Share opportunities and responsibilities.
- Plan, act, follow up and evaluate.

❖ Skills of self-examination.

The effective leader

- Is aware of motivations and motives guiding actions.
- Is aware of members' levels of hostility and tolerance so that appropriate countermeasures are taken.
- Is aware of their fact-finding behaviour.
- Helps the group members to be aware of their own forces, attitudes and values.

1.3 LEADERSHIP STYLES

Task leadership has to do with initiative and purpose; the leader has a clear idea of what the task at hand is and guides the group towards this goal; he sees the group as an instrument to achieve the goal and through continual reminders and direction he will strive to bring the group back on its course. Group maintenance leadership, on the other hand, has to do with the welfare of the group, with the individual members in the group and with their being involved and feeling secure, the leader will be concerned about promoting positive affective relations in the group.

A leadership grid mirror has been devised with five main leadership styles:

- ❖ People-oriented: 'I am the friend of the group members. I want to understand each member and respond to their feelings and interpret them in such a way as to create confidence and trust'.
- ❖ Laissez-faire: 'I don't really care either about the group or the task. The task is performed with the minimum of effort as and when circumstances allow'.

- ❖ Balanced attitude: 'I achieve adequate productivity through balancing task performance with maintenance of group members' morale at a satisfying level'.
- ❖ Problem solving: 'I participate with the group in solving problems and accomplishing the task in an atmosphere of trust and respect. I want people to be committed and productive'.
- ❖ Task-orientated: 'the minimum of human interactions. I organise work conditions so that the task is performed speedily and efficiently. I am in complete charge'.

1.4 OPEN LEADERSHIP

Good communication is a good remedy for conflict. Good communication in and between stakeholder groups and in and between catchment relevant institutions is therefore of the utmost importance. Open leadership in groups and institutions ensure good communication. That is why open leadership is regarded in terms of conflict avoidance and management.

Open leadership means that there is a constant communication between the leadership of a group and its ordinary members, as well as between the leaderships of various catchment relevant institutions. In this constant communication the leadership becomes aware of the concerns, needs and preferences of the members and other catchment relevant institutions. This knowledge then informs the leadership in its decision-making to which the ordinary members and other catchment relevant institutions react. This input-output model portrays a cyclical, repetitive communication that leaves everyone satisfied and leaves very little opportunity for conflict to occur. Open leadership is a mix of task orientation and group well being orientation. It leads to a busy, positive and forward-looking group and promotes maturity in the ranks of the group. Maturity is seen as the:

- ❖ Ability to set high, but achievable goals.
- ❖ Willingness to accept responsibility.
- ❖ Willingness to undergo education applicable to a certain task.
- ❖ Ability to undertake the specific tasks that need to be done.
- ❖ Will and confidence to do the tasks.

1.5 HOW TO DEVELOP OPEN LEADERSHIP

The question is now how would open leadership be developed. There are a few things that can be done. These steps lie on different levels and would have to be done by different personnel.

- ❖ Constitutions of catchment relevant institutions should not only enable open leadership, but should prescribe it. If a pro forma constitution describes the necessary structure and procedure for open leadership, a lot of progress has been made.
- ❖ Open leadership should be an item in the awareness creation information package. It should be explained so that leaderships know how to go about it, and it should also be extolled as the only really participatory way in which institutions can operate.
- ❖ Facilitators and mobilisers of groups such as catchment relevant institutions must give advice and guidance on open leadership. They should have a relatively good knowledge of group dynamics and group well being before they will be able to do this.

- ❖ High-level role players such as political office bearers and heads of government departments should align themselves with the call for open leadership. They should equate open leadership with democratic decision-making.
- ❖ Monthly, quarterly and annual reports should have rubrics and questions pertaining to open leadership so that institutions are forced to consider the issue and evaluate themselves every time that a report must be completed.
- ❖ Leaders of institutions should receive capacity building training in open leadership for participatory decision-making in their institutions.

Activity 1**EXERCISE 1**

a) Seven people are the survivors of a passenger ship that was hit in the South Pacific by an old World War II mine. You are now trapped at the bottom of the ship's hold, with only a small air pocket to enable your return to the surface. It takes approximately three minutes to operate the air lock to allow one person to escape. The hold is steadily filling with water, and judging by the list of the ship, you have fifteen minutes before the ship sinks. Your problem is one of survival. You are to determine as quickly as possible the most equitable way of deciding who will be saved in the fifteen minutes. Remember that it takes three minutes to save each person, so the very maximum number that can be saved is five.

Every participant should first solve the 'sinking ship' exercise independently. After individual solutions have been reached, four people should group themselves together and solve the same problem in a group. Compare the individual solutions with the group solution.

b) To lead or not to lead. Divide into four groups. Each group should identify one person to play the democratic leader, one to play the laissez-faire leader, and one to play the authoritarian leader. The leadership should rotate every five minutes so that all three leaders have an opportunity to lead (or not to lead) the group. Each group should select a task, such as a clean-up project for the township, or a recycling project.

After fifteen minutes, each group should evaluate the

- Task orientation of the group
- Social dimension/cohesion of the group during each type of leadership.

Which type of leadership provided a balance between the task orientation and social dimension?

Which type of leadership do you prefer? Why?

c) Divide into four different groups. Each participant should be given one of the roles described below. Your organisation has decided to take some action relating to housing in your community. There are unfair and discriminatory practices by landlords against community members. A sub-committee has been given the mandate to 1) determine if unfair and discriminatory practices by landlords against community members exist and 2) to suggest a plan of action. The following roles should be assigned to participants:

- Person A: you are a laissez-faire leader for the discussion group. You see your role as primarily one of observing and repeating what is happening and recording notes for the group.
- Person B: you are concerned with facts and facts only. Before you commit yourself to resolving this problem, you will need to know if there is a problem. Always bring the discussion back to the facts and ask task-related questions.
- Person C: You are concerned with attitudes, morals and values. Consider all issues from the humanistic point of view by raising questions of justice and injustice.
- Person D: You are concerned with policy issues. How much time and energy should be devoted to this problem relative to other pressing issues such as water supply, sanitation, and environmental problems.
- Person E: For the first five minutes of the discussion, you should ask questions for clarification, to determine whether you understand the other points of view. After that point, urge committee members to discuss separately each kind of issue that arises. Try to direct the decision-making process so that all issues are fairly considered.

After the discussion, evaluate it. Did Persons B, C and D continue to discuss separate issues of fact, value and policy? Was Person E effective in convincing committee members to resolve issues of fact, value and policy separately? How can a discussion leader avoid the problems that result from trying to argue, simultaneously, issues of fact, value and policy?

Activity 2**EXERCISE 2**

Use the following scale to measure the extent to which you possess the following attributes. Use a pen or pencil and circle the rating you give yourself.

		Low				High
Dependability	1	2	3	4	5	
Co-cooperativeness	1	2	3	4	5	
Desire to win		1	2	3	4	5
Enthusiasm		1	2	3	4	5
Drive		1	2	3	4	5
Persistence		1	2	3	4	5
Responsibility	1	2	3	4	5	
Intelligence		1	2	3	4	5
Foresight		1	2	3	4	5
Communication ability		1	2	3	4	5
Popularity		1	2	3	4	5

2. FACILITATE STAKEHOLDER INTER-ACTION AND DEVELOP APPROPRIATE PARTICIPATIVE STRUCTURES

The purpose of this unit is to:

- ❖ Provide you with information regarding the concept of facilitation and explain the role of the facilitator.
- ❖ Discuss the guidelines for a successful facilitator

2.1 FACILITATION

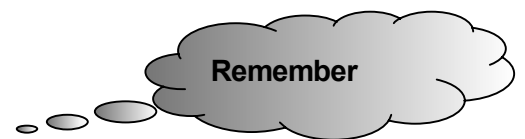
2.1.1 What is Facilitation?

Facilitation involves **guiding individuals or groups** through a change process that is based on a careful **consideration of the perceived needs** of key stakeholders within the community. A facilitative approach is a participative, practical programme based on "learning by doing". It aims at promoting team management capacity in a manner that produces results of immediate value to the participants (such as the identification of problems that participants have and the development of action plans to address such problems).

Due to the fact that facilitation is a change process, it should involve a minimum of formal presentations and promote maximum participant activity through participative appraisal, discussions, problem solving and decision-making.

2.1.2 Role of the Facilitator

Facilitators are not teachers. They do not see themselves as experts and the members of the community as uninformed.



Facilitators are catalysts that allow participants to engage in a learning process

It is much the same manner as a soccer coach would help his players. Although the coach can assist players to identify and develop their own talents, he/she cannot play the game for them.

Facilitators recognise that all participants in the programme bring:

- Valid experiences and relevant competencies to the programme.
- Collectively, already have most of the information that they need to solve the problems that need to be addressed.

The role of the facilitator is:

- To work with participants to identify the necessary information,
- Summarise the problems and show how they relate to the issues that are being addressed through the programme (e.g. the health of the people and how this links in with water quality management).

Using this as basis, the facilitator guides the participants to identify effective problem-solving mechanisms that can be used in the future.

The facilitator should **focus on the following** throughout the process:

- Remain objective;
- Communicate clearly;
- Be sensitive to the communities or group's needs and inputs;
- Enable the group to take the initiative in what needs to be done to solve the problems;
- Assist the group to determine priorities; and
- Be a good listener.

Activity 3

Individual assignment

What personal qualities do you attribute to a good facilitator?

2.1.3 Principles of Facilitated "Learning By Doing"

Because facilitation promotes change, it is a learning process. For this reason the principles of adult learning apply to a facilitated **"learning by doing" approach**. Some of the most important principles of this approach are:

a) Facilitation involves both teaching and learning

The process allows both the participants as well as the facilitator to learn from each other. Each person brings **unique skills and insights** into the process that serve as a valuable **basis for problem solving**. The community-based participants know far more about the unique circumstances in their community than the facilitator does, but the facilitator has greater knowledge about the strategy as well as the process.

b) Learning is most effective when the concepts being used are relevant and compatible with individual experience

The focus of the approach is on issues that are directly of importance to the participants and tie in with their individual experience (for example, it would achieve very little to develop an action plan to address pollution caused by cattle if there are none anywhere around). This just again emphasises the critical role that the communities should play in the process and that the facilitator **should guide them** to take the necessary and appropriate action.

c) Learning is most effective in an active environment.

We have all been part of processes where we have been expected to sit passively and “listen and learn”. We also know that these are the times when we have walked away having learnt very little and contributed even less. Such experiences leave neither capacity nor any sense of achievement. Facilitation needs to use the **tools of participative appraisal, discussion, problem solving and decision making** to encourage participation and learning.

2.1.4 Rules for Successful Facilitation

Successful facilitation requires that facilitators adhere to a number of basic but essential rules.

a) Flexibility

Any programme or project process must be able to adapt to changing social, economic and natural conditions. Development processes must be structured to ensure sufficient flexibility to address changing circumstances. This means that facilitators must make every effort to **know and understand local, regional and national circumstances**.

b) Keep it simple

Facilitators should strive to keep things as simple as possible. Smart facilitators will keep their projects and the Action Plans as simple as possible. This will almost always **enable participation**, as the role-players would better understand the process.

c) Step-by-step approach

Ideally, development processes should be approached in a step-by-step fashion. Many projects fail because facilitators try to do too many things at the same time. No more than **two to three new activities** should be implemented at any time.

d) Responsive

Facilitators must ensure that project processes are responsive to local needs. This means that they must be **structured to show quick results** whilst addressing longer-term issues. Projects that respond slowly almost always lose the support of the people. This will harm the project and the development process.

e) **Local focus**

Local knowledge and skills are very important. Persons from outside the community do not always know or necessarily understand the specific local circumstances. **Local skills and knowledge is very important** and should be included in all projects. This would also open a route to ensure that the skills of local people are developed to enable them to manage their own processes in the future.

Local institutional structures should be supported and incorporated into the project process at all times. In this way one can tap into the local skills and resources, and in the process the local management capacity can be developed and supported. Long-term development project successes depend greatly on the ability of local communities to manage their own affairs.

Local people should also participate and benefit directly from the project. Projects are often managed and implemented from outside the community. It is critical that **local people should participate in implementation** where at all possible. Since local people are often expected to provide all their inputs for free, it is critical that they receive some or other immediate benefit from a project, as well as some form of recognition for their efforts.

f) **Socially sensitive**

The needs, skills and desires of the local community must be taken into consideration. When this does not happen, projects will not meet the needs of the community, will not be acceptable and will not receive community support. Without local ownership, a development project will not be successful.

g) **Accountability**

Responsibility and accountability go hand in hand. Local **decision-making** increases **responsibility and accountability**. One should remember that being responsible could be quite challenging, but also rewarding. Some role-players could therefore easily abandon their responsibilities if something goes wrong.

Activity 4

Divide into groups of five

Successful facilitation requires that facilitators adhere to a number of basic but essential rules.

Discuss additional “rules” that a facilitator should adhere to.

3. MAINTAIN THE MOMENTUM AND DIRECTION OF CBO AND COMMUNITY INITIATIVES AND INTERESTS

The **purpose** of this unit is to:

- ❖ Explain that an enabling environment needs to exist to ensure participation and motivation.
- ❖ Discuss aspects that assist in maintaining motivation, namely communication, awareness creation, conflict management and the promotion of resolution.
- ❖ Give attention to the facilitation of the capacity building needs of stakeholders.

3.1 ENSURE THAT AN ENABLING ENVIRONMENT EXISTS

3.1.1 IWRM CONTEXT

The context in which IWRM takes place is directly dependent on the degree to which such initiatives are supported by aspects such as policy and regulatory frameworks. The existing situation is therefore of vital importance for IWRM. Aspects within this existing situation that need attention are: -

- The organisational and institutional,
- The socio-economic and physical environment,
- The prevailing educational system,
- Culture and religion.

These aspects either support or strengthen IWRM or they hinder it. If they support it, an enabling environment exists. What we are saying here is that policy, regulations and structures must be committed and geared towards accommodating community initiatives. If they are not so they are disabling for the process. It serves little purpose to try and motivate the stakeholders to participate on a long-term basis if reality such as policies and laws and structures make it very difficult for them to participate meaningfully. Added to this is a usually already disabling socio-economic and cultural environment. It is hoped that the enabling environment set by formal aspects such as laws, policy and structures will gradually erode the disabling informal social and cultural environment and make it more enabling for community participation and initiative. If however the formal aspects are disabling, there is very little hope that the socio-economic and cultural environment would become supportive.

An enabling policy is regarded as the beginning of an enabling environment. Very little of all the other aspects of enablement will realise without an enabling policy. An enabling policy is dependent on policy capacity. The establishment of this capacity should be seen as an evolving process. There is no final model of policy making. The reality regarding catchment relevant matters demands that policy and institutional support should urgently be rendered and that it should be widely accessible. This does not take place in a moment, but is a process that needs to establish itself.

Water resources management and even IWRM require becoming performance oriented. It needs major policy support in terms of approaches already introduced and to be introduced in future.

3.1.2 Policy aspects

In the area of policy, functions and sub functions that are paramount include:

a) Policy management which includes policy process facilitation

This means that policy is not something that runs by itself. Appropriate institutions that facilitate the whole process must manage it. This is the reason why policy making and institutional capacity are often discussed together.

b) Policy analysis

Many public problems such as the catchment relevant situation tend to be subjective, artificial, symbolic and dynamic. Consequently they are sometimes interpreted differently with vague assumptions, incorrect cause-effect explanations, and are more often defined by groups for their own interests. The role of systematic policy analysis at this stage of the policy process is to **analyse** these problems systematically, and to ensure that both powerful and marginalised stakeholders are clearly understood. Simultaneously, assumptions underlying their interpretations should be thoroughly evaluated to ensure that the policy agenda of government takes cognisance of all dimensions.

c) Policy formulation

Policies are implemented in specific political, economic, social and technological conditions. The many policy failures are attributed to these environmental factors. Systematic forecasting during policy formulation is necessary not only to forecast trends in the development of particular policies, but also to address these environmental contexts in which policies will be implemented. This allows one to expose the risks that are associated with pursuing particular policies, and it forms the basis of a strategic approach to policy formulation.

d) Policy adoption

Political decision-making is the ultimate responsibility of the politicians. The role of policy analysis is to facilitate that decision-making by bringing in economic, social, organisational, environmental and legal considerations in order to avoid the adoption of policies that have very little chance of bringing about sustainability and alleviating the plight of the disadvantaged.

e) Policy implementation

Policies are successfully implemented when external factors do not militate against them, when the necessary human, financial, infrastructural, and information resources are in place, when sufficient time has been allocated for their implementation, and when the fears and uncertainties of those who will be affected do not sabotage them.

f) Policy monitoring and evaluation

Systematic evaluation is needed to provide information on policy outputs and impacts. It is necessary as the basis for deciding whether existing policies should be continued, terminated or succeeded by other ones.

3.1.3 Adaptiveness

Institutions responsible for creating an enabling environment, including policy making, work in an uncertain and ever changing environment. These institutions should therefore be of a special orientation in order to be successful in their quest for an enabling environment. Their orientation should be one of adaptiveness. Adaptiveness is in direct contradiction to blueprint planning. Blueprint planning is technical, clean, precise, comprehensive, but inflexible. The learning takes place before planning begins. Learning consists of community profiles and feasibility studies. The situation in which development must take place is stable. Planning and implementation are the prerogatives of the professional planner and engineer. Their success is measured through cost-benefit analysis and impact studies. In this scenario there is no place for adaptiveness and for learning as you progress. There is also no place for ordinary community members – most definitely not to make decisions. Professional planners are removed from reality, not only in mind, but also in body. Most important however, is that the blueprint approach simply cannot work in a situation where the poor are present and where it is the distinct objective to help them to break free from the poverty trap.

The principle of adaptiveness therefore requires a change of mindset. It demands a willingness to learn as you go forward. It stands for experimentation and therefore disjointed, sometimes dirty, short-term, trial and error planning and implementation. When the mindset conducive to this is achieved, the principle also requires complete organisational and procedural changes. Management should be fluid, changeable, and adaptable. Structures should give space for manoeuvring and should be flexible, allowing new actions where and when necessary.

An adaptive orientation will identify the following necessities in order to ensure an enabling environment for water resources management:

- Adjusting planning procedures and methods of administration to the political dynamics of public policy making.
- Increasing the responsiveness of bureaucracies engaged in development activities.
- Adopting a learning approach to planning and administration.
- Developing widespread and appropriate forms of administrative capacity.
- Decentralising authority for development planning and administration.
- Building an effective institutional network for service delivery.
- Relying on adjunctive and strategic rather than comprehensive and control-oriented planning.
- Simplifying planning and management procedures.
- Encouraging error detection and correction rather than suppression and punishment.
- Creating incentives for innovative management.

Sustainable and equitable water resources management requires strengthening administrative capacity of catchment relevant institutions. It implies expanding participation, strengthening a wide variety of public and private organisations, and increasing the access of individuals to resources and opportunities.

Activity 5

Divide into groups of five.

Discuss in your groups the next question: -

How does the environment (organisational and institutional, the socio-economic and physical environment) in your area influences people's ability to participate and to stay motivated? Give examples to back up your answer. (The note-keeper must write down the examples)

3.2 MAINTAIN MOTIVATION THROUGH AWARENESS CREATION AND COMMUNICATION

3.2.1 Motivation

One of the most important objectives of communication is to motivate people. Motivation is a **motive for action** or a reason for **doing** (purpose). People are therefore being motivated to:

- Do something; or
- Continue doing something; or
- Change their minds or to make certain decisions.

When you work within the civic milieu such as the catchment relevant situation, the **importance of communication** as motivational tool comes to the fore. Commitment and enthusiasm are important ingredients in civic action. They must therefore be established among people. They must also be kept alive. Commitment and enthusiasm usually start to dwindle after a while. Councillors and members of forums and committees slip very easily into the everyday routine of such structures and then their activities are no longer motivated. Catchment relevant institutions that lose their motivation, and with it their commitment and enthusiasm, usually fail to reach their objectives or honour their obligations. One should therefore ensure that there is always a specific goal, which should keep the institutions and members committed to their purpose. If the role-players also know what the purpose of their activities is, they would easily be able to organise and prioritise their goals within this framework. Focusing on "bite size" tasks or goals at a time would assist in keeping role-players motivated.

Motivation can be a **message from one person to another**. This message will convey certain meanings that will motivate the receivers thereof. It may contain hope or a very positive outlook on things. It can convey a message of belief in people's capabilities. It can carry the feeling of enthusiasm and eagerness to tackle a task or problem. It can also make people aware of something, be it positive or negative. Motivation is thus the product of the interaction between individuals and between individuals and the environment.

Motivation can also be an influence that **changes people's attitudes**. The influence can emanate from a person or a situation. It can convey a very positive picture: other people have been successful, so you can be too. The picture can also illustrate a negative situation. Just look how bad things are, so something should be done to change it. Such an influence, whether positive or negative, can lead to action.

Motivation is only really established if it becomes an inner strength in the **receiver of the message**. If the message really gets accepted, a seed is planted in people that will grow so that people will begin to motivate themselves. This is the objective of motivational communication, that people will not always need external motivation, but that they will be able to motivate themselves.



But we must also realise that certain situations in which people find themselves are satisfying to them and others are dissatisfying. The satisfying situations can be strong motivators, but the dissatisfiers are always very demotivational.

Activity 6

Individual Assignment.

How would you motivate the stakeholders in your area to become involved in IWRM?

3.2.2 Comparing Satisfiers and Dissatisfiers

Satisfiers	Dissatisfiers
	
<p>Let us look at the satisfiers that will motivate participating stakeholders.</p> <ul style="list-style-type: none"> • A sense of achievement <p>People participating in an activity or belonging to a group would want to feel that they are achieving something. They must feel that there is movement forward or growth.</p>	<p>Unfortunately every situation also has its dissatisfiers. The aim is to remove all the dissatisfiers in order to ensure maximum motivation.</p> <ul style="list-style-type: none"> • Adverse policies <p>We include the policies of government on all levels as well as the policies of a department or even a committee.</p>

If they feel that their action results in forward movement, they will be satisfied and motivated to continue with their efforts.

- **A job worth doing well**

People want to think that their efforts will lead to something better for them. The sacrifices that they make and the hard work that they put in must be worthwhile to them. At some stage they want to pick the fruits of their labour.

- **Being entrusted with responsibility**

People with responsibility normally want to carry that responsibility to successful conclusion. So, their responsibility obliges them to be motivated. Having responsibility for something makes them more than mere participants. They become owners of that for which they carry responsibility. Ownership opens up new possibilities and vistas that act as strong motivators.

- **Being recognised for achievements**

People naturally want to be recognised for what they achieve. It gives them a sense of worth and of dignity. Two of the most important motivators come into play namely the sense of achievement and the sense of dignity.

- **Being afforded the opportunity to advance**

People are naturally progressive. They want to move forward from a position with which they are dissatisfied or which they feel could be better, to one that they are convinced will be better. When people get this scope or opportunity to advance, they become motivated and thence make use of their opportunities.

These policies need not be very formal statements, but can be the way a certain organisation or committee sees its task and its goals. When people feel that any kind of policy of whatever organisation prevents them from achieving something, from taking up responsibility for their own future, for making their efforts worth the trouble, they will become demotivated.

- **Poor operational conditions**

People are usually prepared to make sacrifices if they think or hope that it will help them in achieving certain goals. But there is a limit to their willingness to sacrifice. When the work necessary to achieve something is hard and the returns are few and far between, people become disheartened. Because people are naturally progressive, they do not want to toil for no apparent progress. That demotivates them.

- **Poor guidance**

When people are prepared to take the responsibility for certain things and want to work towards certain goals, but they do not receive the information that will enable them to fulfil their obligation, they become demotivated. Participation, ownership, empowerment, and self-help are hollow notions if information, advice, guidance and support do not accompany them. In fact, the one without the other leads to immense frustration that demotivates people.

	<ul style="list-style-type: none"> • Lack of status People do not want to be mere pawns in someone else's plans and efforts. At least they want to be co-responsible for decisions made and deeds done. This again has a lot to do with human dignity. Without acknowledgement of the people's important place and role there can be little motivation for them to give their all. • Deficient interpersonal relations Good communication fosters good relations and good relations are responsible for motivating people. The cement for any concerted effort of a group of people to reach certain goals, is good interpersonal relationships. Without it, efforts become haphazard and individualised. It is bad when good relations are absent, but usually there is not a neutral situation. When the good relations are absent, the poor relations take their place. They act as powerful demotivators and result in activities grinding to a halt or becoming counter productive. • Poor financial returns People will make sacrifices if they know they will gain tangible results and the best tangible results are financial returns. Without it or without some promise of it, people become demotivated.
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3.2.3 Awareness

One of the most important ways to motivate is to create awareness. Within the context of IWRM this requires clear, effective and appropriate communication that promotes an awareness of the need for action, an understanding of the relevance of IWRM related actions and an inclination to support and contribute to such action.

3.2.4 Maintain Healthy Conflict Management and promote Resolution

Certain situations are more likely to cause conflict than others. One should be aware of them in order to pre-empt them. These situations are the following:

a) Unclear boundaries

There is a need to ensure that stakeholders participate in the forum on the basis of clear mandates with a specific role and place. If there is uncertainty on who does what and, if as a result, activities and work get duplicated, the situation is ripe for conflict.

b) Clashing interests

Within the context of a catchment forum it is virtually guaranteed that there will be a pre-existing perception among groups of stakeholders that their interests clash directly with the interests of some of the other groups. Even if this perception is wrong, it would still heighten the chance for conflict.

c) Clashing personalities

Members of the forum can have conflicting personalities and values. The one can feel threatened by the other or the one can see the other as a stumbling block for his/her advancement.

d) Dependency situation

If one role player is dependent on another in order to play its role, it is obvious that the potential for conflict exists. This is especially true of horizontal dependency.

e) Need for consensus

In a situation where consensus must be obtained before action can be taken, there is marked potential for stalemates, power plays and conflict. In a different situation those with the most votes win and those with the least votes must accept it.

f) Misunderstanding

Misunderstanding is a direct result of poor communication. Misunderstanding leads to a situation where each regards the other's motives as suspect.

g) Unresolved prior conflicts

One or more groups of stakeholders may have experienced prior conflict that is unresolved. As there is a natural tendency among people to want to minimise conflict, it is very tempting to try and pretend that the conflict does not exist in the hope that matters will resolve themselves over time. Unfortunately this seldom happens. It may go underground for a while, but with the slightest provocation it will appear again.

3.2.5 Manage the Conflict Potential

Prevention is better than cure and therefore it is better to anticipate conflict and to remove the cause timeously so that conflict does not erupt. This management of the conflict potential consists of the following:

a) Identifying potential clashing interests within an institution.

Based on an evaluation of mandates, areas of activity, interest and needs of stakeholders, it is possible and desirable to identify stakeholders who will have clashing interests, to identify these interests and to manage the whole situation. In other words, the situation with its potential for conflict cannot be avoided, but it can be managed so that conflict does not occur.

b) Identifying potential clashing personalities.

Clashing personality types can make management of an institution particularly difficult and can impact severely on reaching consensus. Destructive conflict can often be avoided by depersonalising points of disagreement.

c) Setting clear mandates for stakeholders.

There should be no unclear boundaries. Each role player should have its place and role clearly demarcated.

d) Improving communication skills.

If the communication skills of stakeholders are strengthened, opportunities for misunderstanding will be minimised. The better the communication, the less misunderstandings there will be and the less misunderstanding there is, the less conflict will erupt.

e) Organising the activities of different role players.

Activities of role players must be organised in such a fashion that dependency on one another is as little as possible. This can be done with good programming and strategising and will definitely diminish the potential for conflict. Apart from trying to remove the obvious potential for conflict, there are three more things that could be done. They are:

f) Setting clear 'Rules of Order'

It is advisable to have a standard set of agreed upon rules of conduct for meetings and discussions. These may include 'rules of good manners' and 'rules of conflict avoidance'. While a goal-directed facilitative approach is most productive within an institutional context, it is essential that stakeholders agree and adhere to very clear rules and boundaries. In this way the individual will be safeguarded against personal abuse and violent conflict. Apart from the fact that it will diminish the potential for conflict, it will also give individuals and even groups greater confidence to participate in the activities.

g) Identifying potential high conflict situations in advance.

One very seldom experiences sudden and unexpected conflict. There is always a smouldering fuse that, if unattended, will reach the powder keg with devastating results. Knowing the stakeholders and the situation allows the identification of potential conflict well in advance and to avoid or manage such situations. In such situations it is essential that good communication prevail to defuse as much of the situation as possible.

h) Encouraging and promoting tolerance in a potential conflict situation.

The message must be loud and clear that IWRM is bigger than any of us and that we should be prepared to take a slight step backwards without wanting to retaliate.

3.2.6 Conflict Resolution

Conflict resolution is best done through negotiation where a win/win resolution is sought. A few aspects that should be kept in mind are the following:

a) Aim for a specific result.

Negotiation that does not aim for a specific, concrete result will flounder and discussions will tend to go round and round without moving in a specific direction.

b) Concentrate (see, hear, feel) on sensory data.

In a negotiation situation all the barriers to communication that can possibly exist are present. To compound the situation communication does not only take place through the spoken word. One must therefore be wide awake to both verbal and non-verbal communication.

c) Dovetail desires.

Dovetailing is the opposite of manipulating. Dovetailing desired outcomes ensures your integrity because it shows respect for the other parties' integrity.

d) Entertain long and short-term objectives.

Negotiation is not only to bring harmony for the present. A win/win solution is also necessary for the long-term.

e) Find rapport as soon as possible.

It is the most important ingredient of negotiation.

f) Identify and keep outside influences in mind.

This usually constitutes in the form of pressure from outside, either to come to an agreement or not to sacrifice certain interests.

g) Never be insulting or accusing.

This will put distance between you and the other parties instead of bringing you nearer and it will also lead to accusations from the other parties. All this will just delay a solution and may even jeopardise a genuine seeking of solutions.

h) Obtain agreement from all the parties that there is a basis for negotiation.

i) Qualify your viewpoints and suggestions.

State the reason for a proposal before you make it.

j) Remain flexible as to sequence and options.

Negotiation is per definition flexible and hard base lines just do not work in such a situation.

k) Think carefully about anything that is said.

l) Untie the knots.

That means that things must be straightened out. Arguments must be clear, facts must be on the table and verified and the standpoints of the different parties must be clear. One just cannot negotiate if there is still a muddle.

m) Validate (confirm your understanding of) any proposal made.

n) Work towards consensus.

It is no use to try and keep original positions. That is not negotiation.

o) Zero in on the problem from the beginning and do all you can to solve it.

One should remember that conflict does not necessarily only have negative results. The following are some positive results that could also come to the fore, namely:

- During a conflict situation the members of the group are forced to think quickly and creatively. Through this new ideas and other initiatives might be produced.

p) Through conflict, grievances are expressed which could eliminate the possibility of the existing problem developing into a major crisis at a later stage.

q) Group cohesion could be strengthened as members could experience a sense of achievement if problems have been solved.



Problem solving is related to negotiation and is a way to address conflict and establish peace and goodwill. It involves an effort to find a mutually acceptable agreement, a win-win solution.

3.2.7 Problem Solving

There are many problem solving mechanisms, some involve joint problem solving in which parties work together to try to find a mutually acceptable alternative. While the parties can work on their own and confront each other with their options later, experience has confirmed that joint problem solving is a useful way to obtain a win-win agreement, which tends to be longer lasting. It surely is the best and therefore the preferred approach in catchment relevant institutions.

Herewith some aspects to keep in mind when promoting a resolution:

- The facilitator or leader should always **remain objective**, be businesslike and direct and avoid making subjective or vague statements.
- All members involved should ensure that an **atmosphere of trust** is created.
- Opposing parties should realise that they would **agree on some matters**.
- Matters could be postponed. Although the postponement is no solution it gives members the opportunity to **rethink the matter** and view it objectively.

3.3 IDENTIFY THE CAPACITY BUILDING NEEDS OF THE STAKEHOLDERS

Capacity building means the strengthening of beneficiary and institutional ability to undertake tasks. In the context of IWRM this includes:

- ❖ The necessary functions of governance
- ❖ Catchment management related activities
- ❖ Assisting the relevant parties to take ownership and accountability for their catchment management related activities
- ❖ Increasing access to resources
- ❖ Improving power relationships between all parties involved
- ❖ Increasing the general awareness of local communities regarding water resources management
- ❖ Development in general
- ❖ The ability to secure an enabling environment for promoting stakeholder participation

The capacity building needs of the stakeholders are directly related not only to the existing skills levels of the stakeholders and the desired level of appropriate skills, but also to the relevance of their skills to the organisational requirements. Different levels of capacity building would be needed for different stakeholders and categories of stakeholders. The level and focus of the capacity building process would depend on the skills level of the participating stakeholders, their expected roles and the needs of the forum.

Capacity building must be contextually appropriate. The capacity building process should also take cognisance of, and accommodate the variety of societal, economic and cultural differences found in the typical South African society. Capacity building also needs to be grounded in the contextual realities of IWRM within a specific WMA.

Developing the level and focus of a capacity building process would be dependent upon an analysis of the existing skills of the participants, compared to the functional, personal and organisational skills required. It should also recognise and accommodate the personality traits of the participants.

The technical component of the capacity building should include two main sections. The first component should concentrate on IWRM as a process and philosophy, which would outline the approaches and how IWRM can be supported by tools. The second component should concentrate on how to interact with stakeholders and ensure their ongoing participation in the process.

Ideally the **capacity building process** would initially focus on:

- ❖ Providing an understanding of key components of relevant water resources management
- ❖ Providing knowledge and understanding of catchment relevant institutions and their functions
- ❖ Ensuring skills to interact effectively and on an informed basis within that context.

From the vantage point of **stakeholder groups** they will require that **attention be paid** to the following matters:

- ❖ Strengthening decision-making skills of community groups.
- ❖ Strengthening negotiation skills of these groups.
- ❖ Strengthening institutions that are required to play a regulatory and facilitating role in water resources management.
- ❖ Ensuring that decision-making processes are transparent through mechanisms that include the integration of knowledge from different sources into a decision support system.
- ❖ Building platforms and mechanisms that promote the capacity of role players from unequal backgrounds to arrive at meaningful decisions.

It is very important that any capacity building process be developed in consultation with the participants involved in the process. This will ensure high levels of relevancy and acceptance by stakeholders.

All stakeholders in catchment relevant institutions should undergo some form of capacity building. It must be recognised that the level and focus of the capacity building process will differ from group to group and even on an individual basis. The specific role, functions and responsibilities of individuals or groups combined with existing levels of skill, knowledge and awareness, will serve as a basis to determine the type of capacity building that will be required.

3.4 ENSURE THAT CAPACITY BUILDING TAKES PLACE

All the stakeholders involved in IWRM should undergo some or other form of capacity building. This could vary from basic communication skills up to managing structured meetings and processes.

- ❖ Capacity building must be understood as an integral part of an ongoing process that seeks to acquire, transfer and match skills and competence of people to equip and enable them to enter into a range of situations with stable abilities, independence and self-confidence, allowing them to actively engage in seeking agreements and solutions that work for them.

4. PROMOTE PARTICIPATION OF ALL STAKEHOLDERS WITH EMPHASIS ON THE NEEDS OF WOMEN, YOUTH AND THE DISABLED

The **purpose** of this unit is to:

- ❖ Explain the concept of participation within the context of IWRM and the objectives of participation.
- ❖ Give attention to the factors that enhance effective participation.
- ❖ Furthermore it will explain how IWRM stakeholders could be identified and involved in the process.
- ❖ Specific focus is placed on an approach which is gender sensitive and which aims at meeting the needs of the youth and disabled

4.1 PARTICIPATION?

4.1.1 Definition of Participation

A large number of definitions have been developed around the concept of participation. For the purpose of this course, we propose to use the definition proposed by Paul (1987) of the World Bank.

Remember !

"... Participation is an active process by which beneficiary/client groups influence the direction and execution of a development project with a view to enhancing their well-being in terms of income, personal growth, self reliance or other values they cherish".

4.1.2 Participation in the context of IWRM

Within the context of integrated water resource management, stakeholder participation is regarded as an ongoing initiative aimed at allowing the constructive participation of stakeholders through a systematic process they provide an opportunity for people (in whatever capacity) to share their experience, knowledge, needs and goals and to combine their energy to create catchment management strategies and to participate in managing water resources within a water management area. A CATCHMENT FORUM becomes the **vehicle for organised participation** for a specific area and thus ensures that a community can "influence" and "direct" a catchment management strategy to suit their needs.

PARTICIPATION provides a **constructive vehicle for promoting** understanding between different interest groups about their needs and problems, assists in communication between stakeholders and ensures that implementation and management of water resources is grounded in increased understanding and co-operation of all relevant issues. Such participation also serves as an essential basis for promoting opportunities for ensuring that water resources planning and management may be linked and integrated with wider planning and management initiatives.

4.1.3 *The Objectives of Participation*

The process of participation aims at serving one or more of the following broad objectives:

- The empowerment of people through their active participation and involvement in the promotion of their own well-being and in actions that will lead to effective problem-solving behaviour.
- The promotion of individual and community wide participation and **involvement in decisions** about the type of services and projects that are required in a community. Three specific and essential **aims** are served by obtaining participation on this level. These are:
 - The enhancement of the capacity of communities to make informed decisions, prioritise needs and participate in the **management tasks** of a project;
 - The promotion of the **legitimacy of any institutional structures** that are formed within a community. This would, usually, include the establishment (or strengthening) of community-based structures such as development or water committees;
 - The involvement and promotion of ongoing participation of the community in the **planning, management and monitoring** of existing services/facilities and the extension or alteration of such services/facilities.
- The enhancement of **project effectiveness** through the attainment of better project design and implementation.
- The **active mobilisation of community resources** (human and natural) for the promotion of project objectives. Examples of such 'contributory' participation may be found in the setting up of:
 - Community-based appraisal and monitoring teams; and
 - Supportive networks and linkages in the community; or
 - Any other on-going participative actions deemed necessary by the community.

4.1.4 *Factors that Enhance Effective Participation*

The following factors serve to enhance the chances of **achieving success in participation processes**:

- Ensure the desire to improve

People must have the will to improve their circumstances. Facilitators need to be enthusiastic and must make sure that all participants share a unified vision. This process is enhanced when facilitators not only talk to the people, but also listen carefully to what the people say.

➤ Ensure the desire to participate

It is important that people feel a need to **participate**. Enforced participation does not lead to any acceptable development process. It is a fact that people participate around issues they feel strongly about. A good facilitator will recognise this and make sure that they understand the communities needs around participation and that they address these needs in the development process.

➤ Check whether the climate is acceptable

A facilitator must create a climate for participation on an on-going basis. To ensure an **acceptable climate** there must be cooperation, dialogue and interaction between all the parties involved. This can only be achieved if the entire process is transparent, as it would create an atmosphere of trust and co-operation between all the role-players. Outside agencies and leaders should have the ability to work with the people at grassroots level and they should believe that they can work together as a team.

➤ Ensure regular feedback

Facilitators need to ensure that they and all the people directly involved in the development project provide **regular feedback** to members of the community and all other relevant stakeholders. Effective listening and sensitivity to others' needs, as well as ensuring good communication skills in the feedback sessions would play an important role in the success of the participation processes.

➤ Ensure that communities benefit from development

The project process must be structured in a manner that provides visible benefits. Unless there are immediate and short-term rewards - even if it is a long-term project, the people will lose interest and the project will fail. If the participation of people leads to improvements and these are recognised and supported by the project team, local role-players will see their own efforts as significant and worthwhile.

5. STAKEHOLDER INVOLVEMENT

5.1 WHAT IS AN IWRM STAKEHOLDER

definition in the National Water Act, includes:

- Consumptive use of water,



CONSUMPTION



Toilet using water to carry waste

- The use of water to carry waste, or
- The recreational use of water.



WETSKI

Stakeholders may also include groups with particular environmental concerns for the water resource, or the **Department of Water Affairs and Forestry** with respect to the need to make provision for the reserve and for the requirements of the National Water Resources Strategy. DWAFs generic public participation guidelines and suite of models provides some tips on how to choose stakeholders

Stakeholders may also include land use activities that, by virtue of their placement, directly impact on the quality of the water resource via non-point source contamination or destruction of riparian or in-stream habitat. Non-point source pollution is pollution that came from various sources and which usually cannot be traced to a single point e.g. pollution due to various mining or farming activities. This can occur irrespective of whether that stakeholder has any direct abstraction or discharge to the water resource.



Stakeholders may also want to associate in Water Services Institutions, Catchment Forums, or Water Users Associations to strengthen their participation in IWRM. These groups may share:

- A common use of the water resource,
- May share a common desire to maintain the resource in a particular state, or

- May represent users in a particular sub-catchment of the whole Water Management Area (WMA). Stakeholders should be encouraged to associate in groups with similar uses of the water resource, within a particular sub-catchment, to ensure administrative simplicity.

5.1.1 Identifying and Involving Stakeholders

Settlements differ considerably in their physical, socio-economic and institutional characteristics. This not only makes it difficult to identify a generic suite of interventions, but also demands that the problem identification process is site-specific. More importantly, many of the processes, which lead to pollution, can only be identified by stakeholders involved in the day-to-day livelihood of the settlement. This requires active participation by all stakeholders within that community, as well as some downstream stakeholders who may be affected by pollution from the settlement. The Structured-Facilitated methodology is consequently a site-specific and participative process that requires input from all the stakeholders. The success of this process is also largely determined by which stakeholders participate in the problem identification.

Just as the physical, institutional and socio-economic problems in each waste stream provide a "structure" for the process, they also help identify the stakeholders who need to be involved in the problem identification. As such, stakeholders must include:

- **Service providers** (e.g. those responsible for the bulk supply of water and/or those responsible for the development and operation of the water resources infrastructure);
- **Consumers** in each waste stream;
- **DWAF staff** who may be able to identify the nature of the water quality problem; as well as
- **Stakeholders** who may be able to identify:
 - Physical problems (e.g. municipal engineers, health officers, etc.);
 - Socio-economic problems (community leaders and people who use the services); and
 - Institutional problems (Local Authority staff, rates collectors, etc.) problems in each waste stream. For example, if children are normally asked to throw away household refuse, they must participate in identifying problems in solid waste stream

Stakeholders' participation should also remain flexible. For example, should the Structured-Facilitated process indicate problems associated with community behaviour, the relevant groups should be identified and invited to participate in identifying potential polluting activities, and the reason for this behaviour.

5.1.2 A Procedure for Stakeholder Participation in IWRM

This section outlines a **stepwise process** to engage stakeholders in IWRM processes.

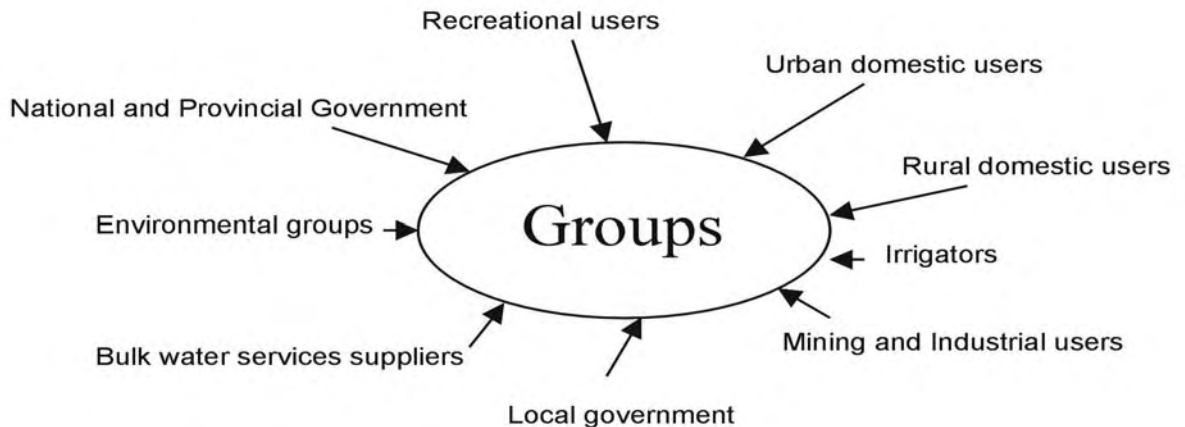
a) Step 1 – Identify the stakeholders

Stakeholders in the IWRM process must include all water users in the Water Management Area. This should include:

- Consumptive users of water,

- Stakeholders who use the resource to carry waste (sanitation facilities),
- Land uses that impact on the resource, irrespective of any discharge to the resource,
- Groups concerned with protecting the aquatic environment.

As it is impractical to include everyone it is suggested that users be workshopped on a catchment or sub-catchment basis, and in the following groups:



Stakeholders from each of these should have a

- Mandate to represent that group,
- Should carry issues back to that group. However, workshops and meetings with stakeholders should be open to all. Stakeholders may also want to
- Associate in catchment forums,
- Water User Associations, or

Water Services Institutions, which would better, represent their needs for use of the water resource.

During the workshops the participants could be given the opportunity to indicate which other stakeholders should be involved in the process.

Remember !

Stakeholders must be made aware of the other stakeholders in the process and their mandates. This will strengthen the concept that they are part of a bigger whole.

b) Step 2 – Work to build awareness of the IWRM process**(Theme: – Understanding IWRM)**

The purpose of this step: -

- Is to make stakeholders aware of the IWRM process in the Water Management Area,
- The procedure that will be followed, and
- Their role in this process.

The stakeholder awareness issues raised in Chapter 2, as well as the participation process outlined in the previous Chapter should serve as a basis for this interaction.

Once the stakeholders have been identified and once they are on board, they should be made aware of the basic characteristics of their WMA (i.e.

- Population distributions,
- The drainage network (rivers), interbasin transfers, and
- Major urban mining or industrial areas).

This first interaction should finish with a recommendation that stakeholders begin thinking about: -

- What their goals for use of the resource would be.
- They should therefore be capacitated to start to determine their needs and objectives in terms of the water resource. This would best be done by visiting the stakeholders in their areas, and should be based on “Community group presentations” as outlined in DWAFs Generic guidelines.

c) Step 3 – Workshop stakeholders’ long-term goals for use of the resource**(Theme: – The road ahead)**

The **intention** of this series of workshops would be to establish a process of change, to ensure that short-term practicalities do not hamper the long-term goals of more equitable use of the resource. This will be done by helping stakeholders formulate their future needs for use of the water resource. This would describe their long-term goals for the use of the resource, which may have to be translated into quantity and quality requirements, or in terms of waste discharge needs or environmental indexes. Participatory group techniques would be best for this step (See DWAFs generic guidelines). (Note that the vision for the resource may be made up of a number of different requirements for different parts of the whole Water Management Area.)

In order to develop a meaningful vision, stakeholders would need to know the present status of the resource. For example, water supplies in some areas may pose chronic health risks, or may result in a yield loss in irrigated crops. Stakeholders are unlikely to address these concerns when identifying their vision for the resource without this information. This step must, therefore, be supported by briefing documents that highlight current and future **water quality and quantity problems**, as well as the **current state** of the aquatic ecosystem.

More important, stakeholders must be informed of the current inequitable use of the resource, both in terms of water volumes used by different sectors, as well as in the economic returns from use of the water.



Remember!

Stakeholders must be made aware of the existing and potential future water quality and quantity issues, as well as the health of the aquatic ecosystem. Similarly, they must understand the current inequities with respect to the use of the resource. However, it is important for stakeholders to recognise that this is only to establish a process of change, and not to identify short-term goals.

d) Step 4 - Identify conflicting needs for use of the resource: A technical process

This is a technical process aimed at identifying conflicts in the stakeholders' long-term needs for use of the water resource. (Note: These are not conflicts between stakeholders, but conflicts in their needs to use the resource.) As some of these conflicts may only be realised in drought periods, this process would have to address the risks of conflicts occurring under different rainfall/runoff regimes. This would require detailed water balance and water quality modelling using stochastic modelling tools. However, simpler heuristic models based on an expert understanding of water resources may also indicate potential conflicts.



Remember

Stakeholders must be made aware that a technical process will be used to identify potential problems, but that this technical process is bound by the Batho Pele ethical code of conduct

BATHO PELE AND IWRM

The South African Government has committed itself to people orientated governance, as captured in the Batho Pele (or people first) principles. These principles provide the ethical code that should guide IWRM and interactions with stakeholders in the Water Management Areas. Most importantly, these principles spell out the relationship between the people with the technical expertise to give effect to IWRM and the stakeholders. Perhaps more importantly, experts who are seen to be impartial, and who feel bound by the Batho Pele principles, should facilitate the IWRM process.

Activity 8

Group Assignment

Divide into groups of five.

- a) Discuss the process that you would follow to assist stakeholders in identifying the future need of the water resource.
- b) How would you address conflicting needs? Write down a step-by-step approach to address these issues.

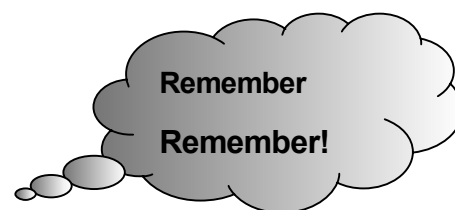
e) Step 5 – Workshop to identify a common goal

(Theme: – Finding Common Ground)

This step in the process aims to **resolve the conflicts** identified. It is an iterative process aimed at getting **consensus on common** goals for the Water Management Area. It would have a longer time horizon, and could therefore potentially include water development schemes with longer planning horizons (for example to build new impoundments or transfer schemes). The workshops would be driven by a technical process of identifying options to address conflicting use of the resource, and then testing these options with stakeholders. There are a number of **options to address actual or potential conflicts in water use**. These include:

- Finding “additional” water by managing water demands and by water conservation practices.
- Removing alien vegetation.
- Exploiting previously ignored groundwater resources.
- Implementing groundwater protection protocols.
- Profit sharing schemes for irrigation use – to promote emerging farmers’ use of water.
- Improving effluent treatment processes over and above national standards.
- Improving the management of storage in the system.
- Protecting wetlands and other “natural” sections of the river.
- As a last resort, asking stakeholders to modify their visions.

This process would bring stakeholders with conflicting goals together, to present options for resolving these conflicts. These conflicts would have to be resolved using the principles of equity, beneficial use and sustainability. For example, water demands from an irrigation area may not be able to be met in dry conditions given the increase in water demand from upstream urban areas. On the other hand water demand management in the urban areas may address the problem and realise economic benefits for the whole Water Management Area.



Stakeholders must understand that a technical process would identify a range of options that could be used to help realise their goals for use of the water resources, and that they will be involved in assessing the different options.

But they must recognise that all the options have implications for some stakeholders. This process must therefore, as far as possible, be consensus driven, where options are presented to conflicting stakeholders in joint workshops, and the process driven to the point where potential conflicts in use are eliminated.

Stakeholders should also recognise that this is an iterative process aimed at identifying what has to be done in the longer-term to ensure more equitable, beneficial and sustainable use of the resource. The next step in the process would focus on what needs to be done in the next 5 years. The process of identifying or re-affirming the goals, and conflict resolution would therefore be repeated.

f) Step 6 – Workshop to establish interim objectives

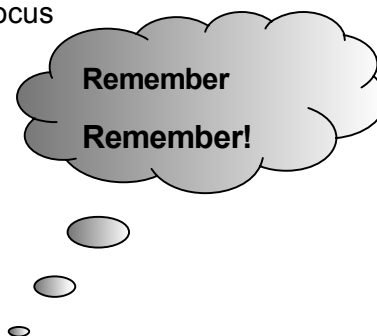
(Theme: – Taking the first step)

The previous step aims to meet stakeholders' long-term requirements for use of the resource. However, it may not be possible to realise this vision within the 5-year time frame of the Catchment Management Strategy (CMS). In these cases, stakeholders must agree on interim objectives. These **interim objectives** would be influenced by:

- The need for equity.
- The economic investment required.
- The possibility of gradual improvements, for example a 10% reduction in demand in the first 5 years, a further 5% in the next, and so on.
- The need for immediate action, for example some conflicts may only emerge within 10 years.
- The impact of the problem, for example human health impacts need to be addressed first.

The interim objectives should as far as possible be identified in water quality, quantity and ecosystem health terms, and could be linked to the Resource Quality Objectives established under the resource directed measures. However, by their very nature interim objectives have to be associated with the management objectives required to reach these goals.

As such, interim objectives could also be expressed in certain actions, for example to increase the use of the groundwater resource. Interim objectives could also be established for problem sub-catchments and could focus on selected stakeholders.



Stakeholders should understand the implications of reaching their long-term goals, and hence the need to identify objectives using the guidelines outlined above.

g) Step 7 – Workshop management objectives and local actions

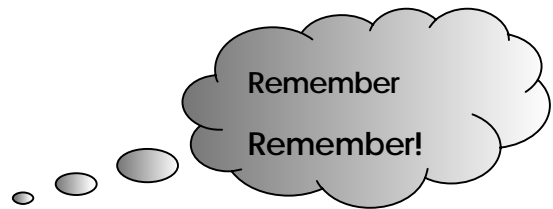
(Theme: – Who will be doing what)

Once stakeholders have identified their goals for the next five years, they would have to contribute to identifying how this will be achieved, and who will do it. This would initially be done in workshops, where the interim goals will be linked to specific actions that need to be taken to achieve these goals. Stakeholder groups would have to agree in principle to undertake these actions. For example Local Authorities may agree to reduce water losses, or the CMA may agree to investigate the groundwater potential as an alternative supply. These workshops could also focus on water resources issues within sub-catchments, and on selected stakeholders.

Once stakeholders have agreed to undertake specific management actions, they should be requested to develop more specific Action Plans, which will indicate how they will achieve their goals. These Action Plans should include the following information:

- **Who** will take the action;
- **What** will be done;
- **When** will it be done; and
- **How** the actions will be financed.

These Action Plans will form a component of the Supporting Strategies of the CMS. These Action Plans should also include monitoring requirements so that the CMA can ensure that the agreed actions are being carried out. The stakeholders involved should also ensure that the progress on these Action Plans be communicated to all the role-players involved in the process.



Stakeholders must understand the implications of agreeing to certain actions, and that they would have to develop Action Plans. They must recognise that these Action Plans must outline what they would do, who would do it, when it would be done and how it would be financed, in more detail. Most importantly, is the fact that these Action Plans would form part of the CMS, and are therefore binding.

Activity 9

Individual Assignment

Develop an Action Plan in terms of the future need of the water resource in your community.

- a) Write down the goals you want to achieve.
- b) Include the monitoring requirement after setting the goals.

h) Step 8 - Contributing to the Catchment Management Strategy (CMS)

The end point of stakeholders' involvement in IWRM in the Water Management Area is to contribute to the Catchment Management Strategy (CMS). This Strategy should also be opened to stakeholders' comments. However, the CMS may be a long and sometimes technical document that is not suited to most of the stakeholders' needs. The CMS should therefore be summarised into a document that spells out the above process, and its outcomes. In this way stakeholders should be able to clearly identify their needs for the use of the resource, and where and if these have had to be modified, to accommodate the needs of other stakeholders. Similarly, the interim objectives should be clearly identified, and the actions required from stakeholders spelt out.

More importantly, the CMS should indicate how the Catchment Management Agency would support the Action Plans being developed by the stakeholders. For example, in the above example catchment the CMA may decide to financially support the removal of alien vegetation, but may only provide technical support to the urban area. As such, the development of the CMS needs to iterate with the formulation of the Action Plans.

5.2 A GENDER, YOUTH AND DISABLED APPROACH

While gender quotas on committees are usually met, many people still believe that women, youth or even disabled people should not be involved in making decisions. All water and sanitation projects require mainstreaming of gender issues. Both women, men and the youth's concerns must be accommodated in the design, implementation and management of such projects.

This means that both practical and strategic needs of both sexes must be met without prejudice. Practical needs may include the provision of time saving, affordable technologies or increasing knowledge and skills related to water and sanitation matters. Strategic gender needs may involve changing the existing power relationships between men and women with a view to greater equality and freedom of choice.

Capacity building and training programmes must address the issues and implications of gender, youth and disability. Accordingly, women, youth and the disabled must be encouraged and supported to participate in all aspects of water and sanitation projects.

There should be greater awareness about the importance of gender-sensitive and gender-aware approaches to policy, planning, design and monitoring systems for water service. Capacity building and training is required to increase understanding of what "gender approach" entails. Training is also required on the application of such an approach. A gender awareness approach to assessing needs, roles, responsibilities and distribution of benefits in a community can only serve to strengthen the process.



Activity 10

Group Assignment

Divide into groups of five.

- Each group must identify stakeholders that should be involved in the IWRM process.
- Develop a participative approach that would ensure the active involvement of these stakeholders in the process.
- Make sure that your approach is gender sensitive and involves the youth and disabled.
- Discuss the process to be followed during a plenary session and write it down.

6. FACILITATE COMMUNITY PARTICIPATION AND DECISION MAKING PROCESSES

The purpose of this unit is to provide you with the skills to establish linkages with the interest groups and community leadership in your area. It will teach you how to ensure healthy and open communication between the communities (and their representatives) and the various catchment relevant structures. On completion of this module, you should also be able to facilitate opportunities to involve the communities in the local Participatory Rural Appraisal processes (PRA)

6.1 ESTABLISH LINKAGES WITH COMMUNITY LEADERSHIP AND INTEREST GROUPS

The aim of this unit is to move our attention away from other stakeholder groups for a while and to concentrate on stakeholder groups based in the community. The objective is to ensure that community views are well represented, and, more importantly, voiced in catchment relevant institutions. In order to achieve this objective, it is necessary to identify community leadership and then to create linkages with them. It is important to define community leadership very broadly. One should start with the 'official' leaders such as the councillors of the local authority, or, in the rural areas, the chief and councillors of rural institutions. But there are also other leaders that are able to voice the community's vision and needs. Leaders of women's groups, youth leaders and cultural leaders should also be identified.

A word of warning is that no community leader should be overlooked. We realise that it is just about impossible not to 'overlook' some of the leaders simply because you are not aware of them or you do not regard them as community leaders. Be prepared to get some problems in this regard. Information in this regard could be obtained from other community leaders or community members themselves. Ask them whether there are any additional role players that you should involve in the process to ensure that you have identified all the possible leaders.

We must also remember that when we identifying community leaders, all the environmental aspects come into play. Our communication with a leader will therefore be viewed through political, social, cultural and other viewpoints. The general public will look for all preferences as to a political party, an economically specific target or gender and complaints about favouritism could be made. It is quite a difficult task to ignore all of these. One should again emphasise that water relevant matters have political, social, economic and even perhaps cultural ramifications, but you have to stay as objective as possible throughout the process.

Interest groups should also play a role and be involved in the process. Interest groups can be categorised as role players or sectors that would have an interest in water resources. For each community these interest groups would differ. Community members and community leaders could again assist you in identifying these groups that should form part of the process.

To establish linkages one would either communicate with these leaders and interest groups on a one-to-one basis or would organise them in a workshop. Perhaps a series of workshops, one for every category of leader or each category of interest group, would be necessary. The important point here is that a linkage established through a workshop or interview would not be enough. The linkage would have to be institutionalised through a system of continuous communication. What this system will look like and how it will operate will depend on the specific situation.

One should just remember that the structures formed to continue the communications should be manageable, and the way in which they would share information or communicate with each other, should be easy to implement. So a linkage structure for leaders could differ from a linkage structure for stakeholders that we have discussed earlier.

6.2 ESTABLISH A COMMUNICATION NETWORK INCLUDING COMMUNITY LEADERSHIP

a) Networking

Networking has been very popular a few years ago, but the obstacles to networking have dampened the enthusiasm. Yet, a communication network can be regarded as essential in the catchment relevant situation. Organising a network is not easy. In the first place you need a structure consisting of reliable information sources, clean and reliable communication channels and stations or bodies that are keen to make use of the network. Then, secondly, you need the network to function; in other words, relevant, appropriate information should flow along the communication channels and should be used to the benefit of all.

There are three essentials for networks to operate successfully:

- The network must consist of eager and willing participants. There is no sense in forcing people or institutions into such a structure. The very life of the structure depends on the active and spontaneous participation of all parties.
- The flow of communication should not be one-way. A network is not there to assist some government office in disseminating information quickly and effectively. A network is a multi-directional structure to enable communication between all participants in the network. The flows from and to the official structures should be of equal strength, and hopefully the flow among the participants would be just as vigorous, which will reveal problem situations, such as conflict.
- The flow of information along the network should have meaning. A network aims at achieving more than an able communication flow. Eventually the communication flow is a means to an end, i.e. a broader representation base and more sensitive management of the whole process.

b) Setting up a Network

In setting up a network one should not only be extremely careful to erect yet another white elephant, but one should follow certain steps that will make it clear if there is any eagerness among the communities and their leaders for such a venture. The following steps can be followed:

- Establish the preconditions for a network.

A network is an idea, a vision that must be “sold” to the community in order to be accepted. A network is only possible if the number of role players shares the vision of the network. We are looking for a general realisation of the need for a network among structures of communities and catchment relevant institutions.
- Testing the waters.

The expression of the potential network must be followed by a deeper examination of the idea's viability. Four tests are suggested in this regard.

- Ensuring that the proposed network does not threaten organisational or any other domain.
 - Ensuring that the proposed network does not threaten organisational or any other autonomy.
 - Sketch a picture of potential domain consensus.
 - Check the limits of pre-existing networks.
- Initiating the idea of a network.

From the very first discussion that broaches the idea, attention must be given to the mood and setting of the exploratory discussion. If parties to the proposed network do not see it as essential, they will not easily become part of the process.

- Defining the venture.

Clear definitions of member and team roles and responsibilities need to be developed. If the idea of a network is to work, a clearly identifiable team must be developed to show that it can act independently from other loyalties.

- Invigorating the network.

A network has its low points and pitfalls. Surmounting these requires insight, patience, sensitivity and perspective. There are two factors that play a role in invigorating a network:

- The greater the complementarities of functions between the network and the individual members, the greater the likelihood of spirited participation.
- The larger the network group, the more likely it is that an uncooperative coalition will develop within.

- Evaluating the network.

Networks should be evaluated even more frequently than more established organisational ventures. The validity of the initial idea that brought the network into existence requires renewal and review.

6.3 CREATE OPPORTUNITIES FOR PARTICIPATORY RURAL APPRAISAL (PRA)

a) Principles of PRA

There is hardly a better way to get people to participate and to gather from them their views and perceptions than Participatory Rural Appraisal (PRA), which is a misnomer because it is not just meant for rural areas, but works just as well for urban areas. PRA is a method whereby the local people are the 'researchers' and they use a string of methodologies to 'discover' their own situation and to devise solutions to their problems. It suits the situation in most deprived areas, but is not exclusively meant for such areas. It conforms to the principles of human orientation, participation, empowerment and ownership.

The basic principles of PRA emphasise:

- Optimising trade-offs, i.e. relating the cost of learning to the usefulness of information. Trade-offs relate to the choice between quantity, relevance, accuracy and timeliness. Notions embodied in this principle are optimal ignorance - knowing what is not worth knowing, and appropriate imprecision - not measuring enough of what is needed.
- Offsetting biases. These biases discriminate against rural areas and the poor. These biases can be neutralised if the facilitator is relaxed, probing, unimposing, unhurried, willing to listen rather than to lecture and interested in seeking out the poorest of the poor.
- Learning with and from poor people. This learning takes place directly, on site and face-to-face.
- Rapidly and progressively learning the flexible use of methods, opportunism and improvisation through conscious exploration.

The objective of PRA is to gather field data or information in a simple yet reliable manner and to analyse it by using local or indigenous knowledge and perceptions of reality. But it goes further than mere analysis. Those who have participated in the research and analysis continue to participate in the effort to improve the situation. Their participation in the research and analysis has committed them to go the whole way.

PRA is different from other research techniques in various ways. Some of them are:

- Reversal of reference.
Instead of outside knowledge to identify and analyse insider perceptions and realities, the insiders, the local people, do both. Their frame of reference is used for analysis and interpretation.
- Reversal of modes.
Modes of interaction and analysis are reversed from their normal directions in three ways, i.e.
 - From individual to group.
 - From verbal to visual.
 - From measuring to comparing.
- Reversal of relations.
A reversal of relations' changes the relationship from suspicion and reserved to confidence with rapport.
- Reversal of power.
PRA has stressed the resignation of power and shifting much of the initiative and control to the local people. Therefore there is a movement away from extracting towards empowering.

b) PRA Methods

The methods used by PRA are as follows:

- Secondary data review.
- Direct observation.
- Transects and group walks.
- DIY by taking part in activities.
- Key informants.
- Semi structured interviews.
- Group interviews and discussions.
- Chains (sequences) of interviews.
- Key indicators.
- Workshops and brainstorming.
- Sketch mapping.
- Aerial photographs.
- Diagramming.
- Wealth ranking.
- Other ranking and scoring.
- Measurement and qualification.
- Ethno historic and trend analysis.
- Time lines (chronologies of events).
- Stories, portraits and case studies.
- Team management and interactions.
- Key probes.
- Short, simple questionnaires.
- Rapid report writing in the field.

One can conclude by stating that PRA is a useful tool to gather communities' opinions and needs in terms of water resources as it is described by the following terms: local people's capabilities, facilitating, participatory and empowerment of local people. PRA methods are based on one of the foundations of effective communication, namely establishing rapport, such as participation by the outsider, respect for rural people, interest in what is being said, patience, submissiveness and the use of materials that would empower communities.

6.4 INSURE HEALTHY COMMUNICATION BETWEEN THE COMMUNITY AND CATCHMENT RELEVANT INSTITUTIONS

We are concerned about the community. We do not want many stakeholder groups to make a lot of noise while the community is silent. A silent community is usually also a passive one and will eventually have very little to do with the Catchment Management Strategy.

The previous sub units have identified structures and methods to respond to the voice of the community. All that is left is to use the methods and to create the structures and to keep everything alive.

The next three units will concentrate on the communication flow from the facilitator/mentor to the community and other stakeholders, but that does not mean that the reversed flow from the community is of less importance. The information flow towards the community must enable the community to react and present its views, perceptions and preferences, in other words, communicate back. That is the one reason why we have given attention to PRA in the previous sub unit.

It is thus emphasised that opportunities for feedback must be created to enable and promote communication initiatives between the community and catchment relevant institutions. Face-to-face communication would be the best way to deal with this as it allows for direct feedback. Examples are the public meetings, PRA, discussions with community leaders and stakeholders, as well as workshops. Be sensitive to the feedback received and adjust the communication process to suit the needs of those involved in the process.

Activity 11

EXERCISE 6

Divide into four groups. Within each group, discuss the aspects indicated below. On reaching consensus, formulate the groups' viewpoint in writing. Choose a representative to give feedback to the plenary session.

- 1) Make a list of stakeholder groups within the community. How would you ensure that no one or group has been accidentally overlooked?
- 2) Discuss how you would set up a communication network that includes community leadership.
- 3) How would you create opportunities for participatory rural appraisal (PRA)?
- 4) How would you encourage community participation in the communication process?

7. ENSURE THE ALIGNMENT OF STAKEHOLDER NEEDS

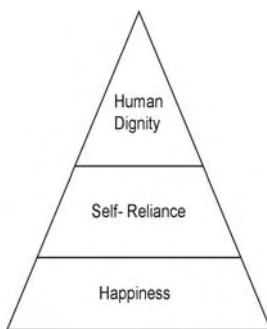
The **purpose** of this unit is to:

- ❖ Explain how one could develop common objectives through consensus building activities and how one would establish a process towards more equity.
- ❖ Explain the aspects that need to be taken into account in terms of capacity building.
- ❖ Provide a detailed discussion on the development of a catchment management strategy to ensure that the needs of the community are included.

7.1 DEVELOP COMMON OBJECTIVES THROUGH CONSENSUS SEEKING

In the workshops seeking common objectives that will bring stakeholders with conflicting needs together, conflicts will have to be resolved using the principles of equity, beneficial use and sustainability. Stakeholders must understand that the process is consensus driven where options are presented to conflicting stakeholders in joint workshops and where it is then driven to the point where potential conflicts are eliminated. Stakeholders should also recognise that this is an iterative process aimed at identifying what has to be done in the longer term to ensure more equitable, beneficial and sustainable use of the resource.

7.2 ESTABLISH A PROCESS TOWARDS MORE EQUITY



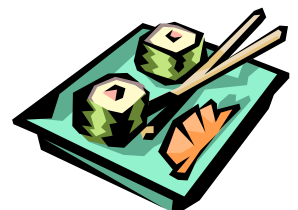
One of the most important IWRM issues in the South African context is that use of the water resource still remains skewed towards people advantaged by the previous system. This inequality pervades all aspects of interactions with stakeholders and their ability to use the resource. There is therefore a risk that the IWRM process would perpetuate these inequalities. In this respect there may be a tendency to continue supplying users that generate wealth and jobs in the catchment, particularly when faced with the difficulties of ensuring equity in all aspects of life.

This is in direct conflict with the ethic or principle of human orientation. This principle can be explained as follows:

Poor people have certain basic that are not fulfilled, such as food, clean water and shelter. At the same time, though, they also have abstract needs that also need fulfilment, such as happiness, self-reliance and human dignity.



In fact, poor people's physical and abstract needs go hand in hand and are present at the same time. The principle that must be followed here is that while people's concrete needs are addressed their abstract human needs must also be addressed. One cannot separate the physical aspects of a project from the abstract human aspects.



They must go hand in hand otherwise we do not have development. It also means that under no circumstances may we address the basic physical needs to the detriment of the people's human dignity. The human fabric of people may never suffer as a result of so-called physical development. Those who are tasked to mobilise people must make it their objective not only to mobilise people for physical development, but also to help people gain in self-reliance, happiness, fulfilment and eventually human dignity.

As indicated previously, the government has committed itself to people or human oriented governance, as captured in the Batho Pele (people first) principle. This principle stipulates the ethical code to be adhered to by the stakeholders involved in the IWRM process. As the name states, those involved in the process should give priority to the people's needs and objective experts, with experience in the field of water resources management, should therefore facilitate the IWRM process based on the Batho Pele principle.

These facilitators should also receive attitudinal capacity building. They should receive the following clear messages from capacity building exercises that they attend:

- ❖ Do not regard yourself as a knight in shining armour who will save the people. You are not superhuman and it is not your job to save the people.
- ❖ Guard against paternalism. The people are not children awaiting your kindness and leadership.
- ❖ Have respect for the knowledge and wisdom of the people. The fact that some of them are illiterate and most of them are not well educated does not mean that any of them are stupid.
- ❖ Respect the people's views and feelings. These things are dear to them and disrespect will solicit the wrong reaction.
- ❖ Respect the people as human beings. They might be suffering a lack of human dignity that should not be made worse by the facilitator's attitude.
- ❖ Have and show compassion for people who are suffering in poverty. Aloofness never goes down well, but compassion generates a willingness to accept you and to work with you.
- ❖ Regard yourself as the people's servant and supporter. This will take care of your position vis-à-vis theirs.
- ❖ Be humble. Poor people are usually very humble and you should not stand out like a sore thumb.
- ❖ Align yourself with the people's success. They are so seldom successful in a spectacular kind of way and they therefore get so little credit for anything, that you can acknowledge their accomplishments.

However, it is impractical to forcibly change the water use patterns in the short-term by taking water away from the present users just to secure more equitable use. It is therefore critical to establish a process of moving towards the more equitable use of the water resource within the longer term, say 15 to 20 years, and to uncouple this from the practicalities of trying to achieve this in the short-term. This is therefore only possible by highlighting the present inequities in the use of the water resource, and in the economic returns from use of the resource, and then to establish a process of change. In this way the practicalities around changing water use patterns only determine the size of the step taken, and not whether the step is taken. It is also possible to test whether the short-term steps still lead towards the long-term goals.

Activity 12**Individual Assignment.**

You are the facilitator to facilitate the IWRM process:

Can you think of other aspects, apart from these mentioned in the manual, that a facilitator should take into account in terms of capacity building to ensure that the needs and activities of the community are respected?

7.3 THE CATCHMENT MANAGEMENT STRATEGY

A strategy is usually the result of a policy that is based on a certain vision, mission and objectives. It is about doing things and planning how these things should be implemented (how it should happen). Where a policy tells us what we believe and how the future should look, a strategy tries to put the belief embodied in the policy, in practice and tries to realise that which the policy sees as what should be. A strategy indicates what structures should be used; which of those should be newly created and what should be used from the current stock. A strategy is also interested in action, what should happen in these structures? Who should be responsible for what? One of the most important aspects of a strategy is that it provides sequence; where will we start; what will come first and second and last; and what must be in place before a next step can be taken.

From the strategy implementation plans will be drawn up; plans that would put the strategy into practice. All these plans will consist of a task, how the task is to be done, who will be responsible for the task, and when the task should begin and end. Added to this budget detail for every plan must be worked out and the funds obtained through the channels in place for this. If the plans are carried out there will eventually be a structure as well as a contingency plan in place.

A number of processes are encompassed by IWRM within a single Water Management Area. These processes would inter alia ensure the establishment and functioning of water management institutions and would ensure the routine water resources management functions such as pollution monitoring and management, the operation of impoundments and interbasin transfers and the administration of the water use process. It is obvious that these different processes must be brought together in a strategy because IWRM encompasses all of these issues.

DWAF's guidelines for a catchment management strategy indicate that such a strategy would consist of a Situation Assessment, Foundation Strategies that provide the institutional and financial framework for the CMA, and Supporting Strategies that address water resources management issues. Successive Catchment Management Strategies would have to outline a gradual process of realising the long-term needs of the stakeholders. The IWRM process must therefore move from establishing the long-term goals for the WMA to determining what steps can be taken in the next five years. The next step is to determine the management objectives associated with these goals. This will be followed by allocating these tasks to stakeholders. The final step would be to decide what local actions are required to achieve this. Ultimately, these steps would be outlined in the Supporting Strategies component of the strategy.

This process will be revisited every five years to fit into the revision of the Catchment Management Strategy. Stakeholders could then reaffirm or modify their long-term goals and could then establish new interim objectives for the next five years. In this scenario the "integrated" component of IWRM is a product of reconciling the different users' needs and of identifying options to address these conflicts. Similarly, the use of a range of water resources management tools to support different steps in this process also ensures integration of the various components of water resources management. It is therefore not necessary to understand all the complex land use/water use interactions, but only those that result in conflicting water use. This limits the resources required to give effect to IWRM. More importantly, building stakeholder participation within this framework ensures that the public participation process can be planned and merged completely within the IWRM process itself.

Activity 13

Group Assignment.

Divide into groups of five: Use a poster and draw an organogram of the steps in a management strategy

8. ENSURE PARTICIPATORY AND INFORMED DECISION MAKING

The **purpose** of this unit is to:

- ❖ Provide you with information on the establishment of appropriate communication channels for information dissemination;
- ❖ Explain the promotion of open and transparent leadership within catchment relevant institutions.
- ❖ Emphasise the importance of group decision-making and the management thereof, as well as the promotion of subsidiary.

8.1 ESTABLISH APPROPRIATE COMMUNICATION CHANNELS FOR INFORMATION DISSEMINATION

You cannot make informed decisions if you do not receive the necessary relevant information. For this reason information dissemination is part of the mobilisation and empowerment drive. No community lives in isolation. There is a constant flow of information to and through a community. This information covers all aspects of life and a lot of it is not "raw" information. Much of it is interpreted information, in other words, someone has already interpreted the raw information and it is the interpreted version that is disseminated. Most educational information falls in this category. Information can also be of an interpretative nature. In other words, the information explains or interprets something, for example, information on why service fees must be paid. Information can also be of a motivational nature where the receiver of the communication is called upon to do or support something. Political information is usually of this nature, but something like catchment management can also carry motivational information.

In a catchment relevant situation a process of regular ongoing communication is required once stakeholders have been identified to ensure that effective linkages can be created for their participation. Both the mechanisms for communicating and the content of communication will need to be based on the needs of each stakeholder group as well as the particular stage in which the process is.

In the case of **IWRM specific information** is needed. Most of the information will be water related, but then still with different objectives in mind.

8.1.1 Motivational information

Information should not only speak to the minds of people, but also to their hearts. Their commitment to IWRM and their organisational obligations must be established and for that motivational information is needed.

8.1.2 Organisational information

People like stakeholders find themselves within organisations and the one organisation exists within the other. It is therefore necessary to know how organisations work and what organisational obligations exist, for example, the obligation to attend meetings.

8.1.3 Management information

People such as the stakeholders will fulfil certain managerial functions within catchment relevant institutions. They will also have linkages with managers and management systems and they need to know and understand how these work.

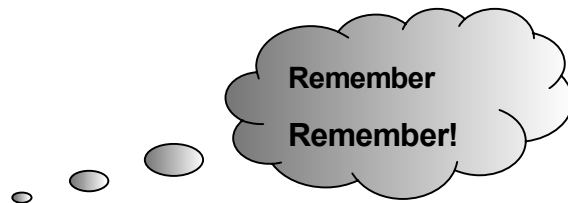
8.1.4 Professional / technical information

This is the information that stakeholders need in order to make informed decisions because most of their decisions will be of a technical nature. This does not mean that the other types of information will also contribute to them forming opinions and making decisions.

All this information must be channelled to the target audience and for that you **need communication channels**. These channels must satisfy certain requirements:

- They must be without obstruction because obstructions hinder or stop the flow of information.
- They must not be too long because long channels take longer to disseminate information and can slow down the flow to a trickle.
- They must be clean and no pollution of the information must be possible.

Information gets polluted because the senders or handlers of information are not careful. Sometimes information gets polluted because someone has an ulterior motive like political or financial expediency.



One of the most important requirements is that the channels must be connected to a source of information

Just as a water pipe can only provide water to the tap if it is connected to a reservoir, so can communication channels only provide information if they are connected to a source.

However, four things can go wrong with information at the source.

- Information can get polluted at the source for the same reasons that it becomes polluted in the channel. Political rhetoric and over simplified "recipes" are usually the worst cases of information pollution.
- The information can dry up. IWRM and the activities of CMAs are long-term activities that will need information for a long time. A system of information sourcing must be in place so that the necessary information will be available for a long time to come.
- Information can get outdated very quickly. This goes especially for technical information. Unfortunately outdated information is just as bad as no information. So, stakeholders must receive the latest, verified information.

- Information can get overdosed. Information of a general nature that is not verified for its specificity is sent to participants. Eventually they have a mountain of information that is not to the point. A thin document dealing specifically with the subject at hand, is better than ten thick documents dealing with peripheral matters.

Communication channels can experience problems too. They can be

- Too long, causing a slow flow of information and usually a long wait for it.
- Full of obstructions that can block information totally or to some extent.
- Without a specific destination so that the information does not reach someone or some group specifically.

There are many information channels to a community. You get from mass media such as television, radio and newspapers to small interest groups with very focused interests. In our case one would make use of mass media and other large distributors of information such as schools only at the start to announce and introduce something to the larger public. But as the catchment relevant institutions get established and the stakeholders become involved, it seems that more focused channels such as the stakeholder groupings and the various structures regarding IWRM would be the ideal information channels.

In this regard the following **channels or mechanisms** can be used for the following **target audiences**:

- For national government - cluster briefings, workshops, bi-laterals, memorandums
- For provincial governments - MinMecs, workshops, information packs, bi-laterals
- For local authorities - Workshops, bi-laterals, information kits, publications such as brochures, interactive CDs, local government publications
- Traditional leadership - Bi-laterals, publications, provincial government structures
- Local government associations - Workshops, information kits, interactive CDs, publications
- Water Management Institutions - Workshops, publications, information kits, bi-laterals, interactive CDs
- Industry/business - Workshops, publications, briefings, exhibitions
- NGOs - Meetings, publications
- CBOs - meetings, publications
- Formal agricultural sector - Workshops, publications, exhibitions, media placement in sector publications
- Informal agricultural sector - Meetings, radio
- Parastatals and political organisations - Meetings, publications
- Media - Briefings, liaison, information kits, field trips
- General public - Industrial theatre, advertising - radio, print, media placement supplements, articles, interviews, posters, leaflets, banners, newsletters, website, T-shirts, caps.

Activity 14

Group Assignment.

Divide into your groups of five.

- ❖ Discuss how you would create and distribute “motivational information” amongst stakeholders involved in a catchment management area.
- ❖ Take care to avoid too long channels of communication or polluting the information

8.2 ENSURE OPEN LEADERSHIP WITHIN THE CATCHMENT RELEVANT INSTITUTIONS

The well being of structures such as forums and committees is very dependent on their leadership. By leadership we do not only refer to a single leader such as a chairperson, but rather to a leadership corps such as an executive committee or governing body. The leadership of a group determines to a large extent the amount and calibre of communication and the amount and calibre of communication similarly determine the success of the leadership. We therefore have two interdependent items - **leadership and communication**.

Communication can only be successful in an **open situation**. This goes especially for heterogeneous groups. The openness of a group is determined by its leadership. In this situation the leadership maintains a balance between task and group orientation. The leadership receives inputs from the group and reacts to these inputs by making decisions. The group who are aware of the decisions being made, react to the decisions and this reaction is then the next input for the leadership to react on. This process goes on and on and the whole group becomes part of the decision-making because everyone can influence decision-making directly. In this situation the leadership knows the needs and sentiments of the group so that it can react to these and the group knows what the leadership is doing about its needs and sentiments. This is sympathetic leadership and participatory management. This leads to a vibrant group that builds confidence and self-reliance, which strengthens the leadership.

If the leadership takes action without informing or involving the group members, or makes decisions without the knowledge of the other members, and if the members do not know what the leadership is doing, we have a **closed situation**. It is obvious that there can be no healthy, dynamic communication in such a situation. In such a situation there is little or no sharing of ideas, little or no sensitivity for the feeling or the opinion of others, little or no transparency, and little or no concern from the leadership for group well being. This type of situation may often be the result of the leadership being overly task oriented. The result of this is an ever-widening gap between the leadership and the other members, and a loss of enthusiasm among the ordinary members who rightly do not feel themselves part of the action. When communication is healthy and vibrant in an open situation, a certain cyclical dynamism is created between the leadership and the rest of the group.

Our main goal in this competence unit is to ensure participatory and informed decision-making. If the leadership of catchment relevant institutions are open and the cyclical input-output model works, we will reach our goal.

But do stakeholder groups and leaders of these groups know how important this open model is? If they do not, it seems as if capacity building should take place on this matter, not only for the group leadership, but for all members of groups so that whole groups can become aware of the ideal situation that will ensure participatory decision-making. Poor or ineffective participatory decision-making is not always the fault of the leadership. Ordinary members and supporters are often unwilling to participate in decision-making because they are unwilling to share the responsibility with the leadership or they are just plain lazy to add to their responsibilities. Capacity building should make it clear that while the leadership has responsibilities, the membership also carries obligations.

8.3 STRENGTHEN MANAGEMENT OF GROUP DECISION-MAKING

It is clear that catchment relevant institutions need group decision-making, but it is necessary to manage such a process. The manager of such a process should know that it has advantages and disadvantages. We will first look at the advantages:

- ❖ Individual specialists can approach a problem from different viewpoints in the group.
- ❖ Coordination of activities and decisions of separate departments can be achieved through interaction and joint decision-making in groups.
- ❖ Motivation of individual members to carry out decisions may be increased by the feeling of being part of the decision-making process.
- ❖ Groups provide a means by which personnel members can be trained in decision-making.
- ❖ Groups permit representation of different interest groups in the decision-making process.
- ❖ Groups provide the opportunity that experts from outside an organisation can be made part of the decision-making process.
- ❖ Groups may also be a way to democratise decision-making by getting members of the public in these groups so that their preferences, fears and knowledge are part of the process.
- ❖ Group decisions are a good way of creative thinking because fragmentary ideas from individuals usually create a chain reaction in the minds of others so that a decision is built like a jigsaw puzzle.

The disadvantages are the following:

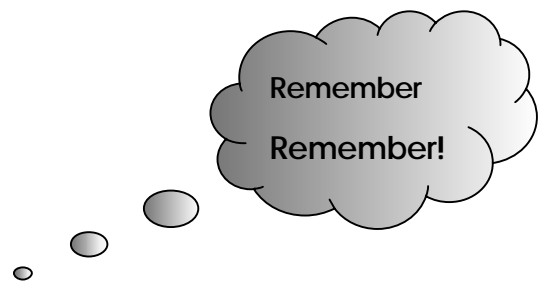
- ❖ Considering the value of the time of each individual member, groups are expensive.
- ❖ The length of time it takes a group to come to a decision makes it inappropriate for prompt decision-making.
- ❖ Group action may lead to compromise and indecision.
- ❖ Group decision-making can be a sham where very senior people are present.
- ❖ Group decisions may lead to a situation where no one takes responsibility for a decision.

Some guidelines for successful group decision-making are as follows:

- ❖ The physical layout, size of the group and general atmosphere are important factors determining the effectiveness of decision-making.
- ❖ Threat reduction is an important objective in the planning of group action so that the group will shift from interpersonal problems to group goals. The **golden rule** should be: **No personal attacks allowed!**

The best **group leadership** is performed by the **entire group**. It is not the job of the chairperson or any formal leader. A group that functions well tends to function informally with no single person providing all the leadership. The decision-making process should continue until the group reaches consensus upon which it can formulate a solution. If the group action results in a minority opinion, the group has failed to maximise its effectiveness.

Any group should be made aware of the interaction process by which it arrives at solutions. The individual members must be made aware of their individual and collective role and responsibility. In this manner the skill of being a member of a group becomes a distinguishable skill that can be developed. Group members should also be made aware of problem solving and decision-making models and then they can choose a model that suits their situation or they can devise their own process. The group should explicitly formulate goals. They should not be fenced in by predetermined rules, but should rather be guided by their own predetermination of goals. It would assist the group if they would formulate an agenda, but it should never be regarded as a blueprint.



It is important that a group gets the necessary information that will enable it to make enlightened decisions.

It goes without saying that a manager, executive or official may never ignore or override the decision made by a group.

8.4 PROMOTE SUBSIDIARITY

Subsidiarity, the process of devolving decision-making down to the lowest possible level, is becoming increasingly the accepted way of managing natural resources. Agenda 21 makes special provision for this by promoting Local Agenda 21 activities to improve sustainable use of resources. This is because local people can best identify their needs with respect to use of the resource, derive direct benefit from its sustainable use, and are placed at the point of use and can therefore best manage this use. Schedule 5 of the Constitution makes provision for subsidiarity by devolving governance of selected issues to local or provincial government. While Schedule 5 excludes water resources management, the principle of subsidiarity should still underlie IWRM within the WMAs.

South Africa has other special needs with respect to subsidiarity. The majority of South Africans have long been denied any say in their own governance or the use of resources. This together with a history of inequitable access to resources has meant that the requirements for stakeholder participation are particularly high. There is also an increasing demand from previously deprived communities for the more equitable use of resources. Unfortunately, many of these communities remain disadvantaged due to their remote position and poor education. This means that the larger water users often dominate and subjugate poorer communities' needs.

It is therefore necessary to look anew at the principle of participation to see what it means and what it does not mean and what it includes and excludes. This principle is worded as follows:

We are mobilising people to participate in development efforts or projects, but we must have a clear view of what participation really means. We cannot mobilise people for a limited, prescribed, or token participation. Participation does not mean involvement. When we involve people in projects, we allow them in, under certain conditions to take part in certain actions in a prescribed way. When people are mobilised to participate, they do so fully in all aspects of the project. Then they become part of the decision-making and planning of the project. They are part of the implementation and evaluation of the project. And, if need be, they decide on course adaptations to keep a project on track; in short, then they participate fully in the management of the project..

So, when people are mobilised to participate in a project, they are not just there to make them feel part of the project; they are not present so that we can make use of their local practical knowledge; they are not there to do the physical work. They are there because it is their democratic right to be there and to make decisions regarding the project because it involves their future. The guiding principle is quite clear: Do not mobilise people to play a minor role in a project and to fill a subordinate position in relation to professionals, bureaucrats and donors. If the people are not the main role players there is something wrong with their participation.

One of the greatest challenges facing IWRM is to ensure that these stakeholders' needs are absorbed into the process of formulating the Catchment Management Strategy.

Activity 15

Individual Assignment.

Think of any type of group to which you belong to, write down the following: -

- 1) Analyse the behaviour of the group during a discussion or problem-solving session.
- 2) Determine whether one person dominated the group.
- 3) Were all the members encouraged to communicate and participate?
- 4) How do you experience the leadership of the group?

Once you have completed your analysis, go back to your group.

How would you improve the participation and communication in the group. How would you ensure group decision-making?

9. FACILITATE THE EXTENSION OF COMMUNITY-BASED SERVICES WHERE AND WHEN APPROPRIATE AND FEASIBLE

The **purpose** of this unit is to:

- ❖ Explain the methods to identify community needs regarding water management on a continuous basis.
- ❖ Provide information to enable the participants to ensure that the catchment management strategy allows for the extension of community-based services.

9.1 ESTABLISH AN ONGOING IDENTIFICATION OF COMMUNITY NEEDS REGARDING WATER MANAGEMENT

The one very important thing about the whole process that has been discussed in this module is that it is a continuous process. It may have a beginning, but it does not have an end because new needs are born as existing ones are solved. Further, it is important to remember that the catchment relevant situation is a very fluid one. The situation can change all the time because the circumstances are subject to change. Worse is that these changes usually cannot be predicted. There is therefore something of crisis management always attached to the situation. So, we can say emphatically that a once off needs identification will not be enough. We will very soon find ourselves removed from reality. We must devise a system wherein water management related needs identification can take place on a regular basis.

Such a system can be carried by Participatory Rural Appraisal (PRA). There is hardly a better way to get people to participate and to glean from them their views and perceptions than PRA, which is a misnomer because it is not just meant for rural areas, but works just as well for urban areas. PRA is a method whereby the local people are the "researchers" and they use a string of methodologies to "discover" their own situation and to devise solutions to their problems. It suits the situation in most deprived areas, but is not exclusively meant for such areas. It conforms to the principles of human orientation, participation, empowerment and ownership.

The basic principles of PRA emphasise:

- ❖ **Optimising trade-offs**, i.e. relating the cost of learning to the useful truth of information. Trade-offs relate to the choice between quantity, relevance, accuracy and timeliness. Notions embodied in this principle are optimal ignorance - knowing what is not worth knowing, and appropriate imprecision - not measuring more precisely than is needed.
- ❖ **Offsetting biases**. These biases discriminate against rural areas and the poor. These biases can be neutralised if the facilitator is relaxed, probing, unimposing, unhurried, willing to listen rather than to lecture and intent on seeking out the poorest of the poor.
- ❖ **Learning with and from poor people**. This learning takes place directly, on site and face-to-face.
- ❖ **Rapidly and progressively learning** the flexible use of methods, opportunism and improvisation through conscious exploration.

The objective of PRA is to gather field data or information in a simple yet reliable manner and to analyse it by using local or indigenous knowledge and perceptions of reality. But it goes a step further in that it wants to start something. Those who have participated in the research and analysis continue to participate in the effort to improve the situation. Their participation in the research and analysis has committed them to go the whole way.

The institutionalisation of PRA can go a long way to obtain the water catchment related needs of the community on a regular basis. Several of the PRA methods can be used to focus on water and related problems and needs, such as:

- ❖ Secondary data review
- ❖ Direct observation
- ❖ Transects and group walks
- ❖ Key informants
- ❖ Semi-structured interviews
- ❖ Group interviews and discussions
- ❖ Chains (sequences) of interviews
- ❖ Key indicators
- ❖ Workshops and brainstorming
- ❖ Sketch mapping
- ❖ Aerial photographs
- ❖ Diagramming
- ❖ Wealth ranking
- ❖ Other ranking and scoring
- ❖ Measurement and qualification
- ❖ Ethno-histories and trend analysis
- ❖ Time lines (chronologies of events)
- ❖ Stories, portraits and case studies
- ❖ Key probes
- ❖ Short, simple questionnaires
- ❖ Rapid report writing in the field.

If this approach is used the community members will not only provide regular inputs regarding their water related needs, but they will become engrossed in the whole process so that they will go through a process of increasing participation.

Activity 16

Group Assignment.

Divide into groups of five

Discuss the challenges that one would experience when undertaking a process of Participatory Appraisal.

9.2 ENSURE THAT THE CATCHMENT MANAGEMENT STRATEGY ENABLES THE EXTENSION OF COMMUNITY BASED SERVICES

Just as the situation is subject to change and needs identification must be done regularly, so must the strategy be flexible to accommodate new needs and provide new services. The foundation strategies and the supporting strategies can never be blueprints cast in concrete. Through the continuous communication with stakeholders as described in a previous sub unit, strategy is being informed and changed to suit the changing situation. Strategy can never stop being revised. We can talk of successive Catchment Management Strategies that will have to outline a gradual process of realising long-term needs of the stakeholders through the identification of new needs or new found needs. It is, however, important to maintain the focus, to try to be as water catchment related as possible although we know that there must be some trade off between community social needs and the needs lying within IWRM. Secondly, we must also remember to separate the short-term necessities and practicalities from the long-term needs and goals.

Development depends not only on strengthening the administrative capacity of diverse organisations, but also on creating an effective institutional network through which public services and privately produced goods can be delivered effectively. If we want to respond more effectively to the needs of the previously disadvantaged groups, the hold of elitist politics must be broken and it must be replaced with organisations or coalitions strong enough to represent the interest of the poor when decisions about them are made. Added to this, an effective institutional structure for delivering services and technology and other resources to those who need them, must be established.

The capacity of private and public organisations to deliver services to the poor was one of the most crucial factors in the past affecting the success of development projects. In many rural areas essential services did not exist or were provided only in traditional forms. The public institutions through which services were delivered were either missing or did not serve the majority of people, indeed, they often exploited the poor. Moreover, institutions in rural areas were rarely linked into a network of supporting institutions to allow continuous, reliable and efficient flows of services, or they had low levels of administrative capacity and were unable to deal with the complex problems of development.

Although the concept of appropriate technology is well established, relatively little attention has been given to its organisational dimensions or to characteristics of adaptive institutions for delivering social services. Let us look at this aspect more closely.

- ❖ Adaptive institutions, like appropriate technology, must be responsive to diverse problems and conditions found in deprived areas. Beneficiaries are often quite heterogeneous; the urban dwellers have different needs than rural farmers and their settlement patterns are usually so dissimilar that a delivery system designed to meet the needs of only one group will overlook or inadequately serve the others.
- ❖ Adaptive institutions must be complementary and able to integrate the services of many other organisations with those that they provide.
- ❖ Adaptive institutions must be linked both vertically and horizontally to provide a network of services and to increase the quality and reliability of delivery.
- ❖ Adaptive organisations must also be built on culturally accepted arrangements, practices and behaviour. Although they must be culturally acceptable, the institutional network must be designed to transform traditional practices and behaviour into more suitable arrangements for economic growth and equitable income distribution. Moreover, they must gradually replace those traditional institutions that are incapable of change.

- ❖ Adaptive institutions must be designed in conjunction with beneficiaries and be open to local partnership and leadership. Efficient and effective service delivery can rarely be attained through standardised locational criteria or by mechanisms designed by professional technicians and administrators. It depends on an intimate understanding of people's varied behaviour and motivations, something that is unlikely to occur without the participation of intended beneficiaries.

Activity 17

Individual Assignment.

Write notes of the following problems: -

- ❖ How could the members of the Catchment Management Forum ensure that the forum is “adaptive”
- ❖ How would the CMF assist to ensure that the catchment management strategy allows for the extension of community-based service?

9.3 ENSURE CONTINUOUS CATCHMENT MANAGEMENT CAPACITY BUILDING

We have seen that needs identification is a recurring process. We have also seen that strategy needs to be revised regularly.

It is a simple deduction to say that capacity building is subject to the same flexibility and must therefore be revised regularly. Capacity building flexibility is grounded in three aspects.

- ❖ The capacity building content or training matter must undergo changes as the situation on which it is based undergoes changes.
- ❖ The instructional matter must be extended to cover new fields of need and activity
- ❖ The capacity building must be extended to new groups of individuals and stakeholders as they become role players and thus important for IWRM.

Clearly, we cannot sit back and be content with a first instalment of capacity building efforts. What we are doing now can only be the very small beginning of a very long and comprehensive process. The emphasis is here on the process because capacity building will only continue in an orderly fashion if there is a system that will drive a process of long-term capacity building.